



Governor's Office

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

Governor's Office 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 Governor's Office.

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 Governor's Office, 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.

Governor's Office

The Governor is vested with the supreme executive power of the Commonwealth with the duty to take care that the laws be faithfully executed. The Governor's Office includes the Chief of Staff, administrative assistants, General Counsel, Press Secretary, legislative and public liaisons, and support staff. Its principal responsibilities are policy development and leadership including ombudsman activities and ceremonial functions, and policy formulation. The Governor, as chief administrator, ensures that state government provides needed services to the state's citizens at minimum cost to the taxpayers.

RECORDS RETENTION SCHEDULE

Signature Page

Governor's Office
Agency

March 10, 1994
Schedule Date

Unit

September 9, 2009
Change Date

September 9, 2009
Date Approved By Commission

APPROVALS

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

[Signature]
Agency Head

Date of Approval

Mike Alcorn
Agency Records Officer

11-30-09
Date of Approval

Barbara Toews
State Archivist and Records Administrator
Director, Public Records Division

09/10/09
Date of Approval

Wayne Onkst
Chairman, State Archives and Records Commission

9/10/09
Date of Approval

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

[Signature]
Records Analyst/Regional Administrator

10-5-09
Date of Approval

[Signature]
Appraisal Archivist

9/10/09
Date of Approval

[Signature]
State/Local Records Branch Manager

10-5-09
Date of Approval

The determination as set forth meets with my approval.

Bruce L. Davis
Auditor of Public Accounts

9-10-09
Date of Approval

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Governor's Office
Administration

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04347	Governor's Official Correspondence File (V)	This series documents the written letters to the Governor and his office regarding requests, constituent issues, and invitations. Almost 95% of all correspondence will be filed in the Governor's Official Correspondence File or the central files. Requests and invitations are routed to the Scheduling Office. Requests for assistance or information are referred to the Public Service Office for further review. Letters requesting special attention, assistance or information to some matter or issue are retained in this file with a copy often forwarded to the agency or staff person most capable of providing assistance. These letters, along with the Governor's response, are filed together. The agency may draft a letter to be transferred to the Governor's letterhead, or the agency may handle the matter with a copy of any correspondence filed in the central file. This practice is fairly routine throughout the Governor's Office. Every Executive Order, whether it is an appointment to a board or commission, pardon, the calling out of the National Guard, or conferring of a Kentucky Colonel, is filed in the Official Correspondence File in numerical order. Any supporting documents for an Executive Order are filed alphabetically by subject or issue.
	Access Restrictions	None
	Contents	Series contains: Letters of requests, assistance, regrets, referrals, acknowledgements
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.
04348	Mail and File Log Database - (Electronic) (V)	This series documents and tracks the correspondence received and filed in the Governor's Official Correspondence File (04347), most commonly referred to as the central files. It tracks mail specifically addressed to the Governor, and will include most of what is received in the Governor's Office. Some responses may be handled by a particular office such as Public Service or Intergovernmental Relations. As mail (addressed to the Governor) is received, it is input into the database, assigned a file number with basic information included regarding name of correspondent, subject, and county. The database does not include invitations to the Governor. Invitations to the Governor are managed by the Scheduling Office (see Scheduling Office System - 04367). Records to be filed in the central files go through the same process when routed from other areas of the Governor's Office, capturing the majority of the mail/correspondence of whether it was addressed to the Governor or another member of the staff. It also tracks records that are pulled when requested by office staff once they've been filed. Many times a copy is made so records are not shuffled in and out too often, depending on the nature or urgency of a request or need. *Mail received will be much higher at the beginning of an administration and during legislative sessions.
	Access Restrictions	None
	Contents	Series contains: File number; date received/filed; user; name of correspondent; address; sent to; topic; response date; subject; comments; reroute information
	Retention and Disposition	Transfer an electronic copy of the log, in fixed length ASCII format, to the State Archives Center at the end of the gubernatorial term for permanent retention.
04349	Mail Log - (Printout from the Mail and File Log Database)	This series documents the correspondence received by the Governor's Office. It will reflect its circulation through the Governor's Office, so that appropriate action may be taken. The Mail Log documents all correspondence addressed to the Governor. The mail is opened, reviewed, input into the Mail and File Log Database (04348), then routed to the appropriate staff assigned to deal with particular issues or matters. It may be returned to the central file area with attachments or responses. The log is printed monthly and retained in the office in a binder.
	Access Restrictions	None
	Contents	Series contains: Mail number; name of correspondent; address of correspondent; folder name; response code (yes or no); date filed
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: Printout may be destroyed after the receipt, validation and verification of the informational content of series 04348, Mail and File Log Database

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Governor's Office
Administration

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04350	File Log - (Printout from the Mail and File Log Database) (V)	This series documents the correspondence filed in the Governor's Official Correspondence File (04347) or the central files. It will reflect the circulation through the Governor's Office and any action that has been taken or responses made. Once the mail has been received and input into the Mail and File Log Database (04348), it is routed to the appropriate staff assigned to deal with the specific issues or matters discussed in the correspondence. Upon return, it is entered into the database and filed. The File Log is printed monthly and retained in a binder.
	Access Restrictions	None
	Contents	Series contains: Name/address of correspondent; folder name; file number; response code (yes or no); date filed
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: Printout may be destroyed after the receipt, validation and verification of the informational content of series 04348, Mail and File Log Database
04351	Executive Orders Commissioning Kentucky Colonels File - (Duplicate) - (Original in Secretary of State's Office)	This series documents the execution of the order by the Governor to provide a citizen with a Kentucky Colonel certificate, an honorary title conferred in recognition of a deed or service that merits recognition. The title of Kentucky Colonel originated in the state's early days, when the citizenry maintained a volunteer militia. Colonels were uniformed members of a governor's staff. Today it serves as a public relations tool of the Governor's Office, promoting the Commonwealth. Generally, most are granted the recognition. The Governor's Office mails the Kentucky Colonel certificate to the individual. The Secretary of State's Office processes the Executive Order, keeps one, and mails a second one to the Order of Kentucky Colonels in Louisville. A copy of the Executive Order is filed in the Governor's Official Correspondence File (04347).
	Access Restrictions	None
	Contents	Series contains: Executive Order (duplicate) - name of individual, date, signatures
	Retention and Disposition	File with the Governor's Official Correspondence File (04347) and transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: The document may be destroyed by the State Archives upon receipt of the Kentucky Colonel Appointments (04559) from the Secretary of State's Office
04352	Kentucky Colonel Application Card File	This series documents the honorary title as conferred by the governor in recognition of a deed or service that merits recognition. The title of Kentucky Colonel originated in the state's early days, when the citizenry maintained a volunteer militia, and some of its officers were commissioned colonels. Colonels were uniformed members of a governor's staff. As the need for a civilian militia waned, governors continued to grant commissions and the military title came to be associated with civil honor and distinction (courtesy The Kentucky Encyclopedia). Today it serves as a public relations tool of the Governor's Office, promoting the Commonwealth. Generally, most are granted the recognition. Some administrations have had age requirements (18 or older), or prisoners have been denied. Once the Governor signs the order, it is sent to the Secretary of State for his signature and the state seal. The application cards are summarized each month on a list (E0004) and filed in the Governor's Official Correspondence File (04347).
	Access Restrictions	None
	Contents	Series contains: Name; address; age; occupation; reason for recommendation; who is recommending
	Retention and Disposition	Retain in Office one (1) year then destroy.

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Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Governor's Office
Administration

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04353	Proclamation Order File - (Duplicate) - (Original in Secretary of State's Office)	This series documents recognition by the Governor and Secretary of State of the achievement(s) of an in-state organization with an official proclamation certificate. A request or notice is received then processed on the proclamation stationery for the Governor and Secretary of State to sign and to affix the state seal. There are no special requirements for the issuance of a proclamation. It is rare that they are bestowed upon individuals, and it's a matter of preference of the Governor to recognize a national or out-of-state organization. The Governor's copy is filed in the central file. The Secretary of State's Office will retain an original as does the requesting organization.
	Access Restrictions	None
	Contents	Series contains: Purpose and nature of proclamation; signatures; seal
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: This document may be destroyed by the State Archives upon receipt of the Governor's Executive Order File (04562) from the Secretary of State's Office
05444	Governor's Web Site	This series offers a snapshot of the public face of the Governor's Office on the World Wide Web (WWW). The website provides alternative access to the Governor's activities and schedule in a unique arrangement and makes multiple records record series (biography, speeches, press releases, photos) and formats (digital photography, audio and video) available in one central location. Some copies of these records series may be found elsewhere on the Governor's Office schedule, the General Schedule for State Agencies, or on the records schedule of other agencies and may come to the archives in those formats. However, the website offers a unique arrangement of these records in a way that provides more description and context and shows how the records are used by the office. The site allows for people to contact the Governor's office via email and apply for employment in the administration through the use of online forms and links to other sites. This series also includes the web pages of the Executive Cabinet, the Lieutenant Governor, the First Lady, and information about the Governor's Mansion. The website also connects to the Governor's Office's social media sites allowing for greater broadcast of the Office's activities to the public.
	Access Restrictions	None
	Contents	Series may contain: Governor's biography; organization and structure of the Governor's office and cabinet; weekly addresses in digital audio, video, and text formats, press releases, photos of events, speeches, employment information as well as the Lieutenant Governor, First Lady's and other state agency websites. The website also contains a variety of files and scripts that allow the website to function. These are covered by the series: Website Format and Control Records (E0058)
	Retention and Disposition	Through arrangement with the Governor's Office, KDLA will capture snapshots of the website at various points in time throughout the term of each governor. Specifically, ARMD staff will make sure to capture the beginning and ending of each four-year term, and any significant changes made to the overall website. Snapshots will be retained permanently.
05918	Governor's Blog	This series represents the Governor's Blog. A blog (a contraction of the term "weblog") is a type of website, usually maintained by an individual (in this case the governor) with regular entries of commentary, descriptions of events, or other material such as graphics or video. Entries are commonly displayed in reverse-chronological order. The ability for readers to leave comments in an interactive format is an important part of many blogs. The Blog provides a medium through which the governor can elaborate on policy positions, provide real-time updates and gain feedback from readers across the state. The Blog is historically important as it demonstrates how the Governor's Office is embracing new media technologies to increase communication and facilitate discussions across the Commonwealth.
	Access Restrictions	None
	Contents	Like a regular website, a typical blog combines text, images, links to other blogs, Web pages, and other media related to its topic. Most blogs are primarily textual, although some may contain photographs, videos, and audio. The Governor's blog will commonly link to press releases, speeches, and other media and items found on the Governor's website and other agency sites throughout state government.
	Retention and Disposition	Through arrangement with the Governor's Office, KDLA will capture snapshots of the blog at various points in time throughout the term of each governor. Specifically, ARMD staff will capture snapshots of the beginning and ending of each four-year term, and any point in which posts are taken offline. Snapshots will be retained permanently. Upon the end of each term, the Governor's Office will provide KDLA with copies of the files of Blog on the web server, which will be retained

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Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
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Governor's Office
Boards and Commissions

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04372	Appointments of the Governor File - (Duplicate) - (Original in Secretary of State's Office) (V)	This series documents the appointment and term(s) of individuals serving on the boards and commissions of the state, as authorized by Executive Order (04354) of the Governor. As chief administrator, the Governor makes appointments for memberships on boards and commissions authorized by statute. The Governor may make as many as 2,300 appointments during a four-year term. A number of these will require certain qualifications; some are made from a list of three submitted by an association or official; some require confirmation by one or both houses of the General Assembly. The file keeps track of appointments due, compiling recommendations, providing choices for the Governor, confirming availability, and checking backgrounds of potential appointees, as needed. He may appoint judges to district or circuit courts, Commonwealth's attorneys, magistrates, councilmen, or county judge-executives, in the case of a vacancy. Task forces are documented as well, however, they are temporary committees. The Executive Order is created, signed by the Governor and forwarded to the Secretary of State for signature. A copy is sent to the agency under which the board/commission serves, and the board or commission. A copy is filed in the Governor's Official Correspondence File (04347). The newly appointed member receives a commission letter from the Secretary of State.
	Access Restrictions	None
	Contents	Series contains: Copy of Executive Order; correspondence, recommendations; name of board or commission; name of selection
	Retention and Disposition	File with the Governor's Official Correspondence File (04347) and transfer to the State Archives Center at the end of the gubernatorial term for possible permanent retention. NOTE: The documents may be destroyed by the State Archives upon receipt of the Governor's Executive Order File (04562) from the Secretary of State's Office

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Governor's Office
General Counsel

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04354	Executive Order File - (Duplicate) - (Original in Secretary of State's Office)	This series documents the written action or order having the force of law based upon the governor's authority as chief executive of the Commonwealth. The state's Constitution requires that the Secretary of State receive a copy to affix the state seal. Executive Orders are created to announce appointments of state officials, to create boards, commissions, or task forces, to activate the National Guard in case of an emergency, for pardons, for the restoration of civil rights, or to reorganize state government/agencies. The official copy is retained in the Secretary of State's office, however, a copy is filed in the Governor's Official Correspondence File (04347) which will be transferred to the State Archives Center following the Governor's term. The General Counsel's Office, where an Executive Order is created, retains a copy for reference and research. In the early months of an administration, the Office of General Counsel is extremely busy, due to the number of executive orders required for appointments to be made. Preparing and reviewing each of these is a primary responsibility of the Counsel's Office. *The Governor's copies of the Executive Orders are separated and maintained in numerical order in the central file. However, any supporting documentation attached is filed alphabetically by the subject relating to the order.
	Access Restrictions	None
	Contents	Series contains: List of appointments, reorganization plan/chart, purpose of order
	Retention and Disposition	File with the Governor's Official Correspondence File (04347) and transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: The document may be destroyed by the State Archives upon receipt of the Governor's Executive Orders from the Secretary of State's Office
04355	Executive Order Number Log - (Ledger)	This series serves as an index to the Executive Orders (see the Executive Order File - 04354) issued by the Governor of the Commonwealth. When questions arise related to an Executive Order, the log aids staff in finding the one(s) being sought.
	Access Restrictions	None
	Contents	Series contains: Executive Order number; Executive Order with some information related to subject or issue; date of order
	Retention and Disposition	Retain in agency. Transfer one copy to the State Archives Center at the end of the gubernatorial term for permanent retention.
04356	Removals from Office - (Procedural File) (V)	This series documents the procedures, investigation or other activity involved in the removal of state or local officials appointed by the Governor. Under the terms of to KRS 63.080, the Governor has the authority to remove from office, either with or without the advice and consent of the State Senate, any person for any cause deemed sufficient, by the Removal Order. In the case of university boards, the removal must have cause. KRS 63.100 provides the Governor with the authority to remove peace officers, elected or nonelected, guilty of neglect of duty. The Attorney General's Office may direct any criminal proceedings as requested by the Governor, courts, or a grand jury. All removals may be appealed through the Court of Appeals. An order from the Governor's Office is filed with the Secretary of State who then files the order with the court clerk. It is returned to the Secretary of State when the case is final.
	Access Restrictions	None
	Contents	Series contains: Copy of Removal Order; court pleadings; supporting investigative documents
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term of the Governor that pursued removal action, providing no further action is pending. Retain permanently in State Archives.

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Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
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Governor's Office
 General Counsel

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04357	Litigation File - (Attorney's working file) (V)	This series documents the legal activities that have taken place in cases involving the Governor's Office. The Governor's Office is represented by staff attorneys or by attorneys from the Attorney General's Office (AGO). The AGO will represent the Governor's Office as it will any state agency, depending upon the lawsuit or investigative activities required. When the AGO represents the Governor's Office, copies of documents are forwarded to the General Counsel's office for review, confirmation or informational purposes. In this way, the Governor's Office has accountability in name only. In cases where the Governor's staff represents the office, the files are like other attorneys' files of state agencies. They are working and research files with memoranda, preliminary documents, investigative materials, etc. The court will have all official, permanent records.
	Access Restrictions	KRS 61.878 (1) (h) (i) (j)
	Contents	Series contains: Complaint; response(s); statements of case; affidavits; briefs; motions; memoranda; investigative information
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: If the case is open at the end of the term, transfer upon case closure
04358	Requisition Order File - (Duplicate) - (Original in Secretary of State's Office) (V)	This series documents the request of the Governor directing the Secretary of State to prepare the requisition papers for the return of a fugitive to Kentucky. The requisition order is another type of executive order (04354) and follows the same procedure as other orders. The order is returned to the Governor for his signature. The requisition and other supporting documents (but not the executive order) is sent to the Governor of the state where the fugitive is being held. The requisition order is generally initiated at the request of a Commonwealth's Attorney. The Secretary of State will keep an executed copy of the order (Governor's Executive Order File (04562) - Secretary of State schedule) with the request from the Commonwealth's Attorney. The Governor's Office does not retain duplicates of what is sent out of state. * Other supporting documents, should they exist, will be filed in the central files alphabetically.
	Access Restrictions	None
	Contents	Series contains: Copy of order with the name of the fugitive, state to which the order is filed; correspondence following case
	Retention and Disposition	File with the Governor's Official Correspondence File (04347) and transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: The document may be destroyed by the State Archives upon receipt of the Governor's Executive Order File (04562) from the Secretary of State's Office
04359	Extradition Order File - (Duplicate) - (Original in Secretary of State's Office) (V)	This series documents the request for a fugitive held within the boundaries of Kentucky to be returned to another state for prosecution. It directs the Secretary of State, by the request of the Governor, to prepare papers for the return of a fugitive to another state. When the Governor has received a request from outside of the state, an extradition order is prepared. After the Governor signs the documents, the Secretary of State keeps an executed copy of the extradition order and a copy of the supporting documentation (see Governor's Executive Order File (04562)). The Governor's warrant which was issued pursuant to the order, together with the original supporting documentation from the other state, is sent to the county attorney or Commonwealth's attorney of the county in which the fugitive is being held. The Governor's Office does not retain a copy of the other documents, only a copy of the extradition order.
	Access Restrictions	None
	Contents	Series contains: Extradition order - name of state, respective governor, name of fugitive, reason for extradition
	Retention and Disposition	File with the Governor's Official Correspondence File (04347) and transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: The document may be destroyed by the State Archives upon receipt of the Governor's Executive Order File (04562) from the Secretary of State's Office

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
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Governor's Office
General Counsel

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04360	Writ of Habeas Corpus Ad Testificandum/Ad Prosequendam Order File - (Duplicate) - (Original in Secretary of State's Office) (V)	This series documents by certified copy a court order for a Kentucky inmate to appear in U.S. District Court for testimony (ad Testificandum) or for prosecution (ad Prosequendam), specifying that the inmate will stay within the jurisdiction of Kentucky. The Secretary of State will receive only the Executive Order for the writ, but does not receive other correspondence. The correctional institution receives a copy of the writ directly from the court, exactly like the Governor's Office receives, and a copy of the Executive Order.
	Access Restrictions	None
	Contents	Series contains: Copy of writ; correspondence relating to the order
	Retention and Disposition	File with the Governor's Official Correspondence File (04347) and transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: The document may be destroyed by the State Archives upon receipt from the Governor's Executive Orders from the Secretary of State's Office

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

STATE AGENCY RECORDS
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Governor's Office
Intergovernmental Relations

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04370	Correspondence of the Intergovernmental Relations Office (V)	This series documents the activities of the Intergovernmental Relations Office on behalf of the Governor. The Office is involved in national, regional, and local issues. The staff officer keeps the Governor advised of issues and situations outside the state and within the state that affect state government. The officer is the Governor's contact with the Kentucky Congressional delegation, the Kentucky Washington, D.C. office, the National Governor's Association, and all associations to which the Governor belongs. Roles of the Governor under the interstate compacts are addressed here, such as the Interstate Emergency Management and Disaster Compact or the Southern Interstate Nuclear Compact. The series is filed in the Governor's Official Correspondence File (04347), once a meeting or project is concluded.
	Access Restrictions	None
	Contents	Series contains: Correspondence; manuals, brochures from meetings, agencies
	Retention and Disposition	Transfer to the State Archives Center as part of the Governor's Official Correspondence File (04347) at the end of the gubernatorial term for permanent retention.

STATE ARCHIVES AND RECORDS COMMISSION
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STATE AGENCY RECORDS
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Governor's Office
 Legislative Liaison

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04371	Legislator Correspondence File	This series documents the communication and activities of the Governor's Office with legislators regarding issues related to or of interest to their districts or them. It may contain bill drafts. It may contain proposed legislation a House or Senate member has agreed to sponsor. (However, once the General Assembly convenes, he may or may not continue that sponsorship.) Many bill drafts will pass through the office for review as a courtesy to the Governor before going to the Legislative Research Commission (LRC). LRC will have all official documentation as the General Assembly studies and works through proposed legislation. The bills may change many times before they go to LRC as agencies determine the final form(s) of their drafts. *Reference is high when the General Assembly is in session.
	Access Restrictions	KRS 61.878 (1) (i) (Preliminary drafts)
	Contents	Series contains: Bill drafts; correspondence; memoranda; phone messages
	Retention and Disposition	Destroy at the end of the gubernatorial term.

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STATE AGENCY RECORDS
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Governor's Office
 Press Office

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04361	Correspondence of the Press Office	This series documents letters or memoranda to the Governor, copies of editorials, or media responses to issues or topics brought to the attention of the Governor or the Governor's Office. The Press Office provides information on events and policies to the media, responds to inquiries from the media, responds to requests for interviews, sets up press conferences, maintains a newsclipping service, directs the speech writing, works with press officers of state agencies and other constitutional offices to coordinate announcements as appropriate, provides or arranges follow-up information on an announcement, and works with all media - daily and weekly newspapers, national and trade publications, television and radio.
	Access Restrictions	None
	Contents	Series contains: Correspondence
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.
04362	Governor's Biographical Background File	This series contains sets of biographical materials and official photographs of the governor for distribution to the press or others requesting it. Often before the governor is to make an appearance or speak somewhere, biographical information and/or photographs are made available to the audience.
	Access Restrictions	None
	Contents	Series contains: Biographical materials; official photographs
	Retention and Disposition	Transfer one set of materials to the State Archives Center at the end of the gubernatorial term for permanent retention.
04363	Governor's Office News Release File	This series documents state agency events, appointments to positions, activities to be announced, or notices of public interest, such as the moving or construction of industry into Kentucky. It may be that some of these announcements are executed by Executive Order (04354). Releases may be provided to the news media by fax, or put into their press boxes for pick up, or by a public announcement by the governor or executive staff member, dependent on the public interest on a particular issue.
	Access Restrictions	None
	Contents	Series contains: Press row; date; announcement
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.
04364	Governor's Speech File	This series documents speeches created and generated in the Press Office for the Governor with the assistance of various aides and Cabinet staff. Speeches are typed and printed in the Press Office. Sometimes copies are 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 Governor and staff will take for causes that he feels need attention, such as the budget/state spending, health care, or 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	Series contains: Speeches, which may be in written, audio or video format.
	Retention and Disposition	Transfer one copy of each speech to the State Archives Center at the end of the gubernatorial term for permanent retention, or consult ARMD staff for possible earlier transfer.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Governor's Office
Public Service

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04369	Correspondence of the Public Service Office (V)	This series documents the activities of the Public Service Office on behalf of the Governor. The Public Service Office has agency liaisons that serve as facilitators for the flow of information to, from and about the Governor's Office and other state agencies. Many people contact the Governor's Office with concerns, issues, questions, problems, or complaints concerning state programs. An agency liaison will meet with people and respond to correspondence. The staff is knowledgeable about policies and programs in the cabinets. Sometimes the agency is asked to draft a response for the Governor, or an agency provides a staff liaison with pertinent information in order to better respond to an individual's concern(s). The series is filed in the Governor's Official Correspondence File (04347), once there is some kind of resolution to the initial correspondence.
	Access Restrictions	None
	Contents	Series contains: Correspondence, possibly some documentation to policies or procedures
	Retention and Disposition	Transfer to the State Archives Center as part of the Governor's Official Correspondence File (04347) at the end of the gubernatorial term for permanent retention.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Governor's Office
Scheduling Office

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04365	Governor's Tentative Itinerary File (V)	This series documents the governor's scheduled activities for a three to five month period. It reflects out-of-office events and provides the Governor and staff with a working document for planning long-range activities. It is updated weekly as confirmations take place. The Governor and his staff meet weekly to review the itinerary, making decisions about where he wants to go or where he needs to be as invitations and requests are received. Most events and activities have already been examined and screened prior to the weekly staff meeting. As changes occur, and with as much of the Governor's input as possible, the Chief of Staff/Public Affairs makes final decisions as to what goes on the itinerary. It is created using the Scheduling Office System (04367) which processes all invitations to the Governor.
	Access Restrictions	KRS 61.878 (1) (i) (j)
	Contents	Series contains: Month; date issued; speeches; briefing papers; agendas; background information; list of people; request form; type of event; log-in sheet
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.
04366	Tentative Detailed Schedule - Daily Log - (Printout from Scheduling Office System)	This series documents the day-to-day meetings and activities of the Governor. It identifies by time of day where the Governor is to be and with whom. It is produced daily and reflects the next day's schedule. It provides a more comprehensive view of the Governor's activities than the Itinerary File (04365), as it may not reflect changes to the schedule. The schedule reflects in-office as well as out-of-office activities.
	Access Restrictions	KRS 61.878 (1) (i) (j)
	Contents	Series contains: Date; specific time/hour of day; sponsor of meeting/who meeting is with; name or type of event; where event is to be held
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.
04367	Scheduling Office System - (Electronic) (V)	This series documents and performs the functions of processing all invitations to the Governor. Originally installed in 1985, it maintains requests from appearances, speaking engagements, and in-office appointments, to photograph sessions with the Governor. It produces reports from in-office and out-of-office files that provide the scheduler with management information. That is, it provides the scheduler with historical information pertaining to the number of times the Governor has visited or spoken in a specific county within a prescribed time period. The requests are of two primary types: in-office and out-of-office. Each request is assigned a control number with event data. The Scheduling System is a menu driven system with successive screens. All incoming requests for in-office appointments or photograph sessions with the Governor are entered daily as received. The status of each is established by the Governor and/or the Chief of Staff/Public Affairs. Correspondence may be generated in reference to the status of the request. Some in-office requests may be referred to a member of the Governor's staff or cabinet secretary. Out-of-office requests are logged into the system by event. Summary reports and correspondence are produced from either type of entry pending the decision to regret, acknowledge or confirm the event on the calendar.
	Access Restrictions	KRS 61.878 (1) (i) (j)
	Contents	Series contains: Date of entry; date of event; type or category of event/appointment/request; who made request or sent invitation; where event is to take place; status of request; code number; response to request; summary information regarding request
	Retention and Disposition	Retain individual entries. Transfer disks to the State Archives Center at the end of the gubernatorial term for permanent retention.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Governor's Office
 Secretary of the Cabinet

Record Group
Number
1245 E

Series	Records Title and Description	Function and Use
04368	Correspondence of the Secretary of the Cabinet (V)	This series documents the activities and the communication of the Secretary of the Cabinet in relation to the Governor's Office and other cabinets throughout state government. The Secretary of the Cabinet develops and implements the major program decisions for the Executive Branch. As part of these duties, the Secretary oversees the administration of the various cabinets and agencies of state government. The role promotes cooperation and coordination among the agencies and programs. Much of the correspondence is related to this role, too, in directing the Governor's Office for Policy and Management (GOPM). GOPM assists the Governor and the agencies by providing coordination and analysis for policy formulation, state management, budget preparation and execution, and a variety of related financial processes, and ultimately, the Executive Budget.
	Access Restrictions	None
	Contents	Series contains: Memoranda; budget documents
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.
04374	Records of Cabinet Meetings	This series documents discussion, development of policy, and decisions made in meetings with Cabinet heads. Such meetings normally include the Secretary of the Personnel Cabinet. Although staff meeting minutes are generally not permanent records, this series has greater value due to the administrative level at which the meetings are conducted. *The Jones administration did not create records of its cabinet meetings. However, it is intended that this series be reflected on the retention schedule for future administrations that may do so.
	Access Restrictions	None
	Contents	Series contains: Record of discussions of policy, decisions
	Retention and Disposition	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.