



Kentucky Horse Park

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

Horse Park 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 Horse Park.

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 Horse Park, 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.

Kentucky Horse Park

The Kentucky Horse Park Board, created in 1979, was renamed the Kentucky Horse Park Commission in 1986. In 1984 the Commission was removed from the Commerce Cabinet and attached to the Tourism Cabinet for administrative purposes. The Commission, as provided in KRS 148.260, is composed of thirteen members, eleven of whom are appointed by the Governor. Two appointees represent the equine industry and two are active in industry and commerce. The Secretaries of the Cabinet for Economic Development and the Tourism Cabinet serve as ex-officio members, with full voting rights. The Commission meets quarterly and is headed by a chairperson appointed by the Governor. Duties of the Commission include formulating policies and procedures and promulgating rules and regulations governing the 1,032 acre Kentucky Horse Park. The Commission appoints an executive director to be the chief administrative officer and secretary of the Commission and to serve as the administrative head of the Kentucky Horse Park.

RECORDS RETENTION SCHEDULE

Signature Page

Kentucky Horse Park
Agency

March 1989
Schedule Date

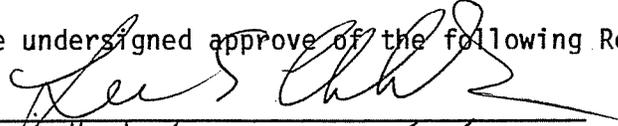
Unit

Change Date

March 9, 1989
Date Approved by Commission

APPROVALS

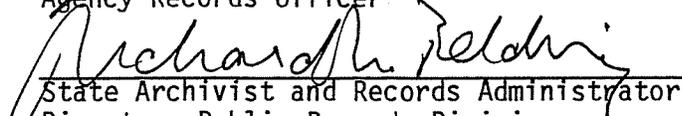
The undersigned approve of the following Records Retention Schedule or Change:


Agency Head

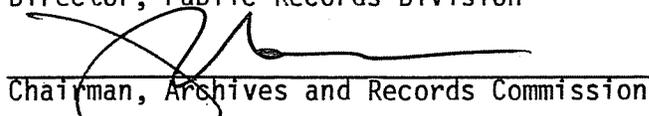
2-28-89
Date of Approval


Agency Records Officer

Feb. 27, 1989
Date of Approval

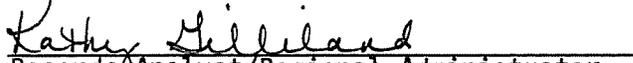

State Archivist and Records Administrator
Director, Public Records Division

March 3, 1989
Date of Approval

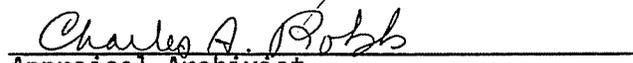

Chairman, Archives and Records Commission

3/9/89
Date of Approval

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


Records Analyst/Regional Administrator

February 23, 1989
Date of Approval

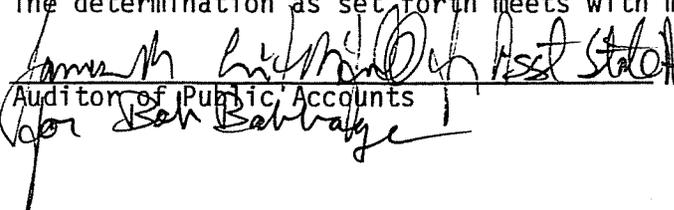

Appraisal Archivist

March 3, 1989
Date of Approval


State/Local Records Branch Manager

Feb. 23, 1989
Date of Approval

The determination as set forth meets with my approval.


Auditor of Public Accounts
for Bob Babbage

March 6, 1989
Date of Approval

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

STATE AGENCY RECORDS
 RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
 Kentucky Horse Park
 Education Serv. of KY Horse Park

Record Group
 Number
 1402

Series	Records Title and Description	Function and Use
03413	Museum Education File	The purpose of this file is to provide a resource of educational materials. The materials are used for tours, and for informational and educational presentations to schools. The provide a record for school visits and educational services of the Kentucky Horse Park. Slides, vcr tapes, and other resources and educational mateials give students and general public some insight into the historical significance of the horse, the role of the horse in present dy society, in particular, its importance in Kentucky inducstry. These pieces of information are changed as new materials are created, organized, or become available.
	Access Restrictions	None
	Contents	Correspondence, mailing lists, VCR tapes, slides, pamphlets, tour reservation, pre and post visit educational materials, tor scripts, resource materials for tours, educational materials.
	Retention and Disposition	Maintain in current file. Destroy obsolete material as needed.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
 Kentucky Horse Park
 Equine Operations

Record Group
Number
1402

Series	Records Title and Description	Function and Use
03401	Individual Equine Record (V)	This series was originated to have an information file for every animal housed at the Kentucky Horse Park, past and present. When a horse is stabled at the Horse Park, the following documents are completed; the contract or donation agreement (lending papers), health records, and registration records. If a horse is sold, traded or returned to its original owner, the original records will stay at the Horse Park. Copies are made and given to the owner. ** Reference to these files is dependent on the horse, type of horse, age and health of the horse, also the use of the horse. NOTE: The Individual Equine Record of the horses used by the Mounted Police are maintained in the Mounted Police office.
	Access Restrictions	None
	Contents	registration papers; donation or loan agreement; receiving and departure forms; medical records; training records.
	Retention and Disposition	Destroy five (5) years after departure or death of horse.
03402	Kentucky Equine Institute Student File (V)	The Kentucky Equine Institute was created to provide unique education opportunities for students to study and work with 30 breeds of horses and to become well qualified and conscientious employees of the equine industry. Funding for the Institute is primarily provided by tuition. The program includes instruction in anatomy, physiology, reproduction, nutrition, stable management and health for a 5 month period of time. This series originates when a student makes application for acceptance, then it is maintained keeping records of the student's grades and activities through graduation. It is the record source for employment and referrals following graduation. This series documents the scholastic activities of a student during his/her training at the Kentucky Equine Institute. Reference to the file is dependent upon calls or inquiries from potential employers. They are subject to audit by the Veterans Administration in case of students that are veterans.
	Access Restrictions	Krs 61.878 (la,e)
	Contents	application; transcripts/copies of tests; recommendation forms (3); final grade summation; copies of diploma; applications for scholarships; resumes.
	Retention and Disposition	Retain for twenty (20) years.
03403	Seattle Slew Scholarship File	This series documents those students who have received Seattle Slew Scholarships and the amount of the scholarship. Student are selected on the basis of economic needs by the Board of Directors of Kentucky Equine Institute (K.E.I.). Information and applications on the students selected go into the K.E.I. student file(03402). The Seattle Slew Syndicate originated this scholarship by auctioning a progeny of Seattle Slew. (The Foundation is a smaller committee of the Seattle Slew Syndicate.)
	Access Restrictions	None
	Contents	list of students awarded scholarships; date of term; amount of money awarded; correspondence.
	Retention and Disposition	Retain for one (1) year.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
 Kentucky Horse Park
 International Museum of the Horse

Record Group
Number
1402

Series	Records Title and Description	Function and Use
03404	Master Accession Ledger (V)	This series provides documentation for the identification of every item that has been acquired by or donated to the Kentucky Horse Park Museum, the value of the item, and its donor or source. The ledger is referred to in locating files, identifying donors, making an inventory of the Museum's holding for insurance purposes and determining values of like items. It notes if the item is currently on exhibit or can be found in storage. A brief description of the article is given, and a nomenclature category included to standardize classification.
	Access Restrictions	None
	Contents	name of item; brief description; source/donor; insurance value; accession number; date received; cost (if applicable); noted if item is in storage or on exhibit.
	Retention and Disposition	Retain Permanently.
03405	Master Loan Ledger (V)	This series provides documentation for the identification of every item that has been loaned to and loaned out of the International Museum of the Horse, the value of the item and its loaner (or in the case of the Outgoing Loan Form, destination of the item). When an item is loaned, this is the first record of its provenance. This series is referred to in locating files, identifying loaners, making an inventory of the Museum's holdings for insurance purposes, and determining values of like items. It notes if the loan is long or short term. Long term loans are indefinite in duration, generally a minimum of a year. Short term loans generally range about 3 months or less. A brief description of the article is given, and a nomenclature category included to standardize classification.
	Access Restrictions	None
	Contents	date received; date returned; loan number; description; insurance value; source; outgoing loan
	Retention and Disposition	Retain Permanently.
03406	Artifact Accession File	This series provides the documentation for items that have been brought to the International Museum of the Horse for donation or purchase. It contains the title of the items, description, value, and signature of donor. Research notes are included in the file. They aid in identifying the use of the item(s), determining the origin or Manufacturer of an item, the value of the items, and photos of the item. Dates of items received are verified if possible. The Memorandum of Gift (Donation Form) is an integral part of this series. This series contains information that is not available in the Master Accession Ledger (03404). As long as these items remain at the Museum, this series would be the key to any descriptive information on that item(s).
	Access Restrictions	None
	Contents	correspondence; Memorandum of Gift- containing source, description, date received, accession number, insurance value, signature of donor; photograph; research notes.
	Retention and Disposition	Retain Permanently.
03407	Artifact Loan File	This series documents items loaned to the International Museum of the Horse, either for long term/short term loans. Also those items the Museum loans to other institutions are filed with these. After the artifact or artwork is returned, the file is retained to compare values for similar items, survey a loaner's history of participation with the Museum, or reconstruct a collection or exhibit. Outgoing loan files are organized so as to keep up with pieces that are loaned out and the dates they are to be returned. Correspondence is maintained in the files. Condition of items is noted upon return. *Daily - April to October, when gallery is open.
	Access Restrictions	None
	Contents	loan form (description, loan number, provides insurance value, date received or loaned out, signature of loaner, source, length of loan, credit line of loaner)
	Retention and Disposition	Destroy five (5) years after termination of loan contract.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
 Kentucky Horse Park
 International Museum of the Horse

Record Group
Number
1402

Series	Records Title and Description	Function and Use
03408	Artifact Card File	This series provides location of each item within the International Museum of the Horse and allows sort by donor or vendor. It augments the description of the item, where space is not provided in the Master Accession Ledger (03404). This series is divided into 3 file sections arranged by 1) Accession Number, 2) Category (ie. Saddles), 3) Source or Donor/Vendor. Each card contains the same information. It is used as a reference tool and will be a key factor in the automation of the artifact description of the items in the International Museum of the Horse. Loan items are not in this index.
	Access Restrictions	None
	Contents	Accession Number; Nomenclature; Detailed Description; Condition; Value; Source: Date Received: Location in the Museum; Photograph
	Retention and Disposition	Retain Permanently.
03409	Insurance Records on Artifacts	This series is the record of coverage for items contained in the International Museum of the Horse. This series identifies the items, their accession numbers, their fair market value and appraisals, and the duration of the loan (if applicable). An inventory of the contents of the building is done annually. The Museum purchases Fire and Tornado Fund Coverage for the artifacts that belong to the Museum and items on long term loan. All-Risk Coverage is purchased for items on short term loan.
	Access Restrictions	None
	Contents	report; duration of loan; invoices for coverages; correspondence; policy on coverage; inventory of building
	Retention and Disposition	Retain for five (5) years.
03410	Museum Archive File	This series is a research and resource file for the Kentucky Horse Park employees and the general public. It is the repository for all historical information on the Park and the International Museum of the Horse as well as information and records of collections, events, facilities and horses. The major collections are: The Article Collection, Kentucky Horse Council Collection, Kentucky Horse Park History Collection, and the Rambling Willie Collection.
	Access Restrictions	None
	Contents	Correspondence, minutes, articles, photographs, negatives, park publication, race record, programs, historical research, blueprints, design plans, proposals, drawings.
	Retention and Disposition	Retain Permanently.
03411	Library Reference File	This series files by subject all pieces of information relative to horses. It contains photographs, articles, pamphlets and research pieces. It serves as a source for research. It is used to answer inquiries about particular horses, types of horse, and is a resource for generating educational materials (pre and post classroom materials for school children). Information in this file could go back to the beginning of horse history. The date of some of the documents or pieces of material go back to the early 1900's. Reference material is added to the file daily.
	Access Restrictions	None
	Contents	article, photographs, research paper, pamphlets.
	Retention and Disposition	Retain Permanently.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Kentucky Horse Park
International Museum of the Horse

Record Group
Number
1402

Records Title Series and Description	Function and Use
03412 Card Catalog	This series is an index and cross reference to the library, periodical collection, and archive file. The cards are cross referenced by subject title, and author. The periodical collection cards are referenced by title. The archive is referenced by subject within each collection.
Access Restrictions	None
Contents	Title of monograph, serial or periodical; author; publisher; date of publication; number of pages; type of illustration.
Retention and Disposition	Retain Permanently.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
 Kentucky Horse Park
 Mounted Police

Record Group
Number
1402

Series	Records Title and Description	Function and Use
03414	Courtesy Notice	<p>This series serves as a corrective measure for minor infractions. It provides documentation which may result in citations due to repeated incidents of recorded minor infractions. It serves, also, as a record of assistance given to disabled motorists. These will be retained on file for reference, especially in the case of a repeat offender. The officer is allowed to use his discretion in giving a Courtesy Notice (03414). Violations of a more serious nature or with an appearance of malicious intent could result with a uniform Citation (creating the Kentucky Horse Park Mounted Police Case file (03417). Even though these have only been used a few months, security does not anticipate further use of them after 3 months. Outside of 90 days the information is obsolete.</p> <p>Access Restrictions KRS 61.878 (1.h)</p> <p>Contents date, operator's name, vehicle make, registration #, state, trafficway, county, infraction (speeding, signal, right-of-way), deflection or Inadequate equipment, officer's Signature, badge #, Post #, motorist assistance.</p> <p>Retention and Disposition Retain for three (3) months.</p>
03415	Mounted Police Case Log	<p>This series serves as an index to the Kentucky Horse Park Mounted Police Case File (03417). As each case is created, it is in turn written into the Mounted Police Case Log (03415) by date of occurrence, name of victim or offender, and assigned the case number. It identifies the officer number and the type of case (criminal, injury, accident, other). It helps determine staff requirements, preventive crime measures and tactical decisions.</p> <p>Access Restrictions KRS 61.878 (1.H)</p> <p>Contents date, name of victim or accused, type of case (report), report #, trooper #</p> <p>Retention and Disposition Destroy after submission of Annual Report (M0022).</p>
03416	Board of Claims File	<p>This series serves as a reference copy of claims that are filed against the state due to incidents that took place at the Kentucky Horse Park. All claims are originally filed with the board of Claims. The Board of Claims will send bills to the Horse Park because of a related incident. The Captain of the Mounted Police then sends the bill with a Claims Form Back to the Board of Claims. All other information that comes to the Horse Park related to an incident will go into the file. The Board of Claims is required to complete all claims within a year's time.</p> <p>Access Restrictions KRS 61.878 (1a)</p> <p>Contents copies of claims, copy of uniform offense report, statement finding from the Board of Claims.</p> <p>Retention and Disposition Retain for one (1) year.</p>

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Kentucky Horse Park
Mounted Police

Record Group
Number
1402

Series	Records Title and Description	Function and Use
03417	Mounted Police Case File (V)	This series reflects information necessary to record police related events of a non-routine nature. The elements of this series will include a viction or an accused or both. The key document in this series is the Uniform Offense Report (U.O.R.) which describes the nature of the incident that has occurred, ie. personal injury, property damage, theft or other violation. The other forms that complete or help to make up a part of this file are triggered off of this form. As a case file is created, the supervisor assign it a case number and logs it in the Case Log (03415). It will remain in the file drawer for reference except for request from individuals, insurance companies, Board of Claims or the courts. Access Restrictions KRS 61.878 (1.h) Contents This series would include any one or combination of the following: uniform offense report; uniform citation; traffic accident report; DWI arrest report; Kentucky missing persons report; Witness interview sheet; permission to search form; advise of rights form; adult case summary; supplemental report; evidence; audiotapes; photographs; juvenile case summary Retention and Disposition Destroy three (3) years after closure of case.
03418	Mounted Police Shift Report	This series is a written account of an officers' activity while on duty. It will give a brief description of any occurrence while that officer was on duty. It also identifies the time in which something might have occurred. Access Restrictions None Contents officer's name, officer's #, date, equipment used (if applicable), weather conditions, duties performed, short explanation of occurrences, time of occurrence, Sargent's signature, Captain's signature. Retention and Disposition Retain for one (1) year.
03419	Mounted Police Personnel File	This series documents those individuals on the Mounted Police Force that have met the requirements of the Special Law Enforcement Officer (SLLEO) of the Criminal Justice Department (CJD). Part of this file will duplicate what is maintained at the CJD. The CJD holds originals of required documents, i.e., promotion, disciplinary action. This file will have other pieces of information that is not required by the CJD, such as equine training information, first aid training or general memoranda, and that which is not found in the individual's personnel file. Duties and description of a Special Law Enforcement Officer can be found in KRS 61.900 to 61.930. There is no activity with inactive employee files. All reference to or for previous employees would be handled through the Personnel Office at the Horse Park, Department of Personnel, Frankfort, or the Criminal Justice Department. Access Restrictions KRS 61.878 (la, e, f) Contents copy of Special Law Enforcement Officer application copy of Police Records check, copy of application for training , Academy scores, equine training information, first aid training, other unofficial correspondence or memoranda. Retention and Disposition Destroy five (5) years after termination of employment.