



# Horse Racing Commission

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

Horse Racing Commission 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 Racing Commission.

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 Racing Commission, 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 Racing Commission**

In 1992, the Kentucky Racing Commission was created out of the Kentucky State Racing Commission and the Kentucky Harness Racing Commission. The Commission is an independent agency of state government charged with the responsibility of regulating the conduct of horse racing and pari-mutuel wagering on horse racing and related activities within the Commonwealth of Kentucky. The Commission is attached to the Public Protection Cabinet for administrative purposes.

The Commission operates under KRS 230. The Commission consists of thirteen (13) members appointed by the Governor, with the secretaries of the Public Protection Cabinet, Tourism, Arts and Heritage Cabinet, and Economic Development Cabinet serving as ex officio, nonvoting members.

# RECORDS RETENTION SCHEDULE

## Signature Page

Kentucky Horse Racing Commission

March 8, 2018

Agency

Schedule Date

September 12, 2019

Unit

Change Date

September 12, 2019

Date Approved By Commission

## APPROVALS

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

  
\_\_\_\_\_  
Agency Head

  
\_\_\_\_\_  
Date of Approval

  
\_\_\_\_\_  
Agency Records Officer

  
\_\_\_\_\_  
Date of Approval

  
\_\_\_\_\_  
State Archivist and Records Administrator  
Director, Archives and Records Management Division

**SEP 12 2019**  
\_\_\_\_\_  
Date of Approval

  
\_\_\_\_\_  
Chairman, State Libraries, Archives, and  
Records Commission

**SEP 12 2019**  
\_\_\_\_\_  
Date of Approval


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

  
\_\_\_\_\_  
Records Analyst/Regional Administrator

  
\_\_\_\_\_  
Date of Approval

  
\_\_\_\_\_  
Appraiser/Archivist

  
\_\_\_\_\_  
Date of Approval

  
\_\_\_\_\_  
State/Local Records Branch Manager

  
\_\_\_\_\_  
Date of Approval

The determination as set forth meets with my approval.

  
\_\_\_\_\_  
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**

Public Protection Cabinet  
Horse Racing Commission

**Record Group  
Number  
2480**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>00973</b>	<b>Color Book</b>	CLOSED SERIES: This series documented color registration and in some cases, rulings, licenses issued and trainers' names.  Note: The library at Keeneland holds the only known copies of this publication (1932, 1934, 1936, 1937, 1940, 1941, 1952, 1957, 1958, 1959, 1960 and 1961).
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Owner/stable name, color and year.
	<b>Retention and Disposition</b>	Retain permanently.

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**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Public Protection Cabinet  
Horse Racing Commission  
Incentives and Development

**Record Group  
Number  
2480**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>00977</b>	<b>Kentucky Quarter Horse, Paint Horse, Appaloosa &amp; Arabian Development Fund</b>	This series documents distribution of funds to eligible horses according to KRS 230.445 and 810 KAR 7:060. Money allocated to the fund is a percentage of handle and is used to supplement purses. This program benefits the owner of the horse.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Copies of DOR Form 73A100, lists of dams, stallions, weanlings, yearlings and horses of racing age nominated to participate; deposits and purse requests.
	<b>Retention and Disposition</b>	Retain permanently.
<b>05535</b>	<b>Backside Improvement Fund File</b>	This series documents the Backside Improvement Fund. According to KRS 230.218 and 810 KAR 7:010, this fund allows for improvements to be made on the "backside" of thoroughbred racing tracks that average \$1,200,000 or less pari-mutuel handle per racing day on live racing. Backside facilities are those facilities at thoroughbred racetracks where horses are stabled and quartered and where stable employees work and live.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Invoices, reimbursement requests, cash transmittals, descriptions of improvements, and photographs.
	<b>Retention and Disposition</b>	Retain for fifteen (15) years, then destroy.
<b>05537</b>	<b>Unclaimed Pari-mutuel Tickets File</b>	This series documents activities pertaining to the collection of unclaimed pari-mutuel tickets according to KRS 230.362 and KRS 230.374. Any ticket over one year old and assumed abandoned is turned over to the Kentucky Horse Racing Commission and redistributed to the Kentucky Racing Health and Welfare Fund.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Invoices, letters to racetracks, county sheriff office, newspaper clippings, and affidavits of unclaimed tickets.
	<b>Retention and Disposition</b>	Retain for eight (8) years, then destroy.
<b>05539</b>	<b>Kentucky Thoroughbred Breeders Incentive Fund File</b>	This series documents participants in the Kentucky Thoroughbred Breeders Incentive Fund (KBIF) according to KRS 230.800 and 810 KAR 1:070. The fund was created to encourage breeding in Kentucky. Each breeding season broodmares are nominated to the KBIF, and the resulting foal is eligible to earn breeder awards for winning eligible races throughout the world. Money is generated by the 6% sales tax due when you breed a mare to a stallion in the Commonwealth. KBIF receives 80% of the sales tax collected. This program benefits the breeder of the horse.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Multiple forms (application, agent, claim, late filing, mare ID, moving mare, transfer mare and withdrawal from program), invoices, cash transmittals, letters to breeders.
	<b>Retention and Disposition</b>	Retain permanently.

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**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
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Public Protection Cabinet  
Horse Racing Commission  
Incentives and Development

**Record Group  
Number  
2480**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05541</b>	<b>Kentucky Thoroughbred Development Fund File</b>	This series documents distribution of funds to Kentucky Thoroughbred Development Fund (KTDF) eligible horses according to KRS 230.400 and 810 KAR 7:030. The purpose of KTDF is to encourage breeding and racing in Kentucky. Money allocated to the fund is a percentage of handle and is used to supplement purses. This program benefits the owner of the horse.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Copies of DOR Form 73A100, distribution requests, payment requests, horse ID sheets verifying the horse is KTDF eligible, handle and percentage paid to fund.
	<b>Retention and Disposition</b>	Retain permanently.
<b>06236</b>	<b>Kentucky Horse Breeders' Incentive Fund Files</b>	This series documents participants in the Kentucky Horse Breeders' Incentive Fund (KHBIF) according to KRS 230.804 and 811 KAR 2:120. The fund was created to encourage breeding in Kentucky. The fund operates on a three (3) year cycle, and Kentucky breed affiliates apply to be a member organization for the period. Annually, money is allocated to each affiliate to be awarded to members for breeding, owning, and showing in Kentucky. Money is generated by the 6% sales tax due when you breed a mare to a stallion in the Commonwealth. KHBIF receives 7% of the sales tax collected. The fund is often referred to as "Non-Race" because the fund was set aside for all other breeds to earn money competing in shows and contests rather than racing.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Claim forms; applications; invoices; cash transmittals; letters to breeders, owners, and Kentucky affiliates; and IRS filing for foreign withholdings.
	<b>Retention and Disposition</b>	Retain permanently.
<b>06913</b>	<b>Eligible Horse List and Registration File</b>	This series documents horses nominated or eligible for the Kentucky Sire Stakes Program and horses registered for the Kentucky Standardbred Development Fund (KSDF) and Kentucky Standardbred Breeders' Incentive Fund (KSBIF) according to 810 KAR 7:040, KRS 230.802, and KRS 230.770.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: list of registered yearlings, two-year-olds, three-year-olds, mares, stallions, eligible horses running in stakes; list of leading earnings; purse request for each stake race; invoices for advertising; promotions; trophies; and event planning information.
	<b>Retention and Disposition</b>	Retain permanently.



**STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION**

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
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Public Protection Cabinet  
Horse Racing Commission  
Legal

**Record Group  
Number  
2480**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>00964</b>	<b>Case Files</b>	This series documents financial responsibility cases, administrative hearings, circuit court cases, and all appellate cases. These files would include pleadings, exhibits, transcripts, orders, opinions, and final decisions of any nature, including open records decisions.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Complete case files, (administrative, circuit and appellate court), police reports, news articles, open record requests and responses, financial responsibility correspondence, miscellaneous correspondence regarding legal issues relating to the Kentucky Horse Racing Commission.
	<b>Retention and Disposition</b>	Transfer to the State Archives after case is closed and all appeals have been exhausted, for permanent retention. Maintain non-litigation case files ten (10) 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**

Public Protection Cabinet  
Horse Racing Commission  
Licensing

**Record Group  
Number  
2480**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>00736</b>	<b>Master License File</b>	This series documents approved applications for licenses and all activities and processes related to licensing per KRS 230.290, KRS 230.300 and KRS 230.310.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Approved applications; authorized agent applications; Workers' Compensation Certificates of Insurance; related correspondence of trainers, drivers, vendors, veterinarians, racing officials, announcers, grooms, stables, farriers, mutual employees, and owners.
	<b>Retention and Disposition</b>	Transfer to State Archives five (5) years after last activity for permanent retention.
<b>00737</b>	<b>Investigation File - Denied Applicants</b>	This series documents denied applications for horse racing. Applications are submitted by owners, trainers, and jockeys.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Denied applications, interviews, inquiries, correspondence, and final determination.
	<b>Retention and Disposition</b>	Destroy seventy-five (75) years after file initiated or after death of applicant.

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Public Protection Cabinet  
Horse Racing Commission  
Pari-mutuel Wagering and Compliance

**Record Group  
Number  
2480**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06908</b>	<b>Association License File</b>	This series documents applications for an association seeking a license or a renewal of a license to conduct a horse race meet according to KRS 230.280.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Association's annual racing license applications (including exhibits and attachments), correspondence pertaining to application, subsequent amendments to the application, incident reports, and any other document used in the course of regulation of the racing association.
	<b>Retention and Disposition</b>	Retain for ten (10) years, then destroy.
<b>06909</b>	<b>Advance Deposit Wagering License File</b>	This series documents applications for an advance deposit wagering company seeking a license or a renewal of a license to conduct advance deposit wagering according to KRS 230.260.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: applications for an Advance Deposit Wagering (ADW) company's annual license application (including exhibits and attachments), correspondence pertaining to the application, subsequent amendments to the application, incident reports, correspondence related to complaints regarding the ADW, and any other document used in the course of regulation of the ADW company.
	<b>Retention and Disposition</b>	Retain for ten (10) years, then destroy.
<b>06910</b>	<b>Totalizator License File</b>	This series documents applications for a totalizator company seeking a license or a renewal of a license to provide totalizator services according to KRS 230.260.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: totalizator company's annual totalizator application (including exhibits and attachments), correspondence pertaining to the application, subsequent amendments to the application, incident reports, correspondence related to complaints regarding the totalizator company, and any other document used in the course of regulation of the totalizator.
	<b>Retention and Disposition</b>	Retain for ten (10) years, then destroy.
<b>06911</b>	<b>Handle and Taxation Report File</b>	This series documents reporting of pari-mutuel handle and taxation amounts from racetracks, simulcast facilities, and advance deposit wagering companies on Department of Revenue forms 73A100(6-15), 73A101(6-15), and 73A102(8-14).
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Pari-mutuel reports from racetracks, simulcast facilities, and advance deposit wagering companies.
	<b>Retention and Disposition</b>	Retain for ten (10) years, then destroy.

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Public Protection Cabinet  
Horse Racing Commission  
Pari-mutuel Wagering and Compliance

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06912</b>	<b>Historical Horse Racing, Simulcast and Advanced Deposit Wagering Files</b>	This series documents live, simulcast, historical horse racing, and advance deposit wagering reports received from tote vendors and accounting application companies (e.g. CHRIMS -- originally named California Racing Information Management System) regarding settlements and distributions, including the daily processing of pari-mutuel pools by location, association, and type of race.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Pari-mutuel reports from tote vendors and accounting application companies.
	<b>Retention and Disposition</b>	Retain for ten (10) years, then destroy.

**STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION**

**Archives and Records Management Division**

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**STATE AGENCY RECORDS  
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Public Protection Cabinet  
Horse Racing Commission  
Stewards

**Record Group  
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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>00741</b>	<b>Race Meet Results File</b>	This series documents results of races during a race meet -- order of finish, injuries, and discrepancies.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Judges sheets, programs for each racing day and pari-mutuels.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
<b>00967</b>	<b>Stewards' Report</b>	This series represents Stewards' reports of changes in races (scratches, jockey changes, etc.), weather and condition of the track.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Daily reports taken by stewards.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>06905</b>	<b>Thoroughbred/Standardbred Investigative File</b>	This series documents investigations of Kentucky licensees. It may document drug testing, violations and criminal histories, and includes information provided by racing associations, the Thoroughbred Racing Protective Bureau, Kentucky Horse Racing Commission Enforcement Division, Association of Racing Commissioners International (ARCI) records, documents obtained from other jurisdictions, documents presented at Stewards' hearings, and sometimes audio recordings of such hearings.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Individual case files/investigative files.
	<b>Retention and Disposition</b>	Retain seventy-five (75) years after final adjudication and/or issuance of Steward's ruling.
<b>06906</b>	<b>Stewards/Judges Rulings</b>	This series documents all determinations, decisions, and orders duly issued in writing and posted of the stewards, judges, or Commission.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: date of issue, final ruling of steward, judges, or Commission.
	<b>Retention and Disposition</b>	Retain permanently.
<b>06907</b>	<b>Bills of Sale / Lease Agreements File</b>	This series documents private sales to establish any right, title, or interest in a horse. It also documents lease agreements that conform to the conditions set forth in 810 KAR 4:090, Section 6 and establish any right, title, or interest in a horse.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Bill of Sale or Lease Agreement.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.

**STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION**

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**STATE AGENCY RECORDS  
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Public Protection Cabinet  
Horse Racing Commission  
Veterinary Services

**Record Group  
Number  
2480**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>00968</b>	<b>Positive Drug Test File</b>	This series documents the full history of a sample beginning with identification of the horse, through sample collection and processing in the Test Barn, completion of analysis at the official laboratory, and resulting in a Certificate of Analysis. Contents of this file are used by Commission Stewards and Judges in conducting hearings and making penalty determinations. Those files are also made available to attorneys in cases where medication violations are charged.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Copies of Test Barn security log, Test Barn daily log sheet, sample ID cards from affected horse, chain of custody documents and sample inventory forms that accompany samples to the official laboratory, copy of screening analysis report, final analysis report, spilt sample analysis, and shipping receipts associated with spilt sample analysis or other requested additional testing.
	<b>Retention and Disposition</b>	Retain for five (5) years after final case disposition, then destroy.
<b>04851</b>	<b>Daily Log Sheet File</b>	This series documents all the actions of KHRC veterinarians on race day with respect to horses recommended for scratches due to health related conditions; horses placed on the veterinarians' list for injury, illness, or unsoundness; horses released from the veterinarians' list after having been demonstrated to have recovered from injury, illness, or unsoundness; horses reported to have been treated with Extracorporeal Shock Wave Therapy; horses having undergone palmar digital neurectomy; or other regulated procedures.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Race date, track name, name of horse, name of trainer, health related information, action taken by KHRC veterinarians, and name of veterinarian.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>04852</b>	<b>Daily Veterinarian Inspection File</b>	This series documents the results of pre-race examinations, post race evaluations, and regulatory examinations performed on days other than when the horse is scheduled to race, and are electronically housed by InCompass. The records are accessible by Kentucky Horse Racing Commission (KHRC) veterinarians in order to log exam findings and to consult previous exam findings to determine if there have been changes to a horse's condition that are associated with increased risk of serious injury and would warrant recommending withdrawal from a race. While each horse's health information is housed in the InCompass system, KHRC veterinarians generate reports for individual horses as required for investigations conducted by the Stewards.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Track name, race date, race number, horse name, barn number, name of trainer, owner name, detailed physical description, records of pre-race examination findings, and Lasix status.
	<b>Retention and Disposition</b>	Information is provided to vendor and maintained in external database. Retain for five (5) years, then destroy. Transfer reports generated from database for investigations to series (06905) Thoroughbred/Standardbred Investigative Files.

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Public Protection Cabinet  
Horse Racing Commission  
Veterinary Services

Record Group  
Number  
2480

Series	Records Title and Description	Function and Use
04853	<b>Horse Injury Report File</b>	This series documents information related to horse injuries and is entered in the Incompass-housed Equine Injury Database. This electronic file is password protected, but if required, KHRC veterinarians are able to generate reports specific to an individual horse, trainer, or racetrack as might be warranted during an investigation. Reports can be generated for individual horses, trainers, racetracks, racing surfaces, horse age or gender, and race characteristics. In addition, all horses that die or are euthanized as a result of participation in a race are subjected to post-mortem examination by a Board Certified Veterinary Pathologist. These reports provide objective information about the health of the horse at the time of the fatal incident, as well as insight into the horse's health prior to death. Reports are useful when stewards and judges conduct mortality reviews and assisting stakeholders in processing equine mortality insurance claims.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Race date, name of horse, racetrack, trainer name, racing surface, time and location that injury was sustained, diagnosis, and case outcome-- either fatality or non-fatality.
	<b>Retention and Disposition</b>	Retain for eleven (11) years, then destroy.
04854	<b>Veterinary List File</b>	This series documents horses that are identified by Commission veterinarians as unfit to race as the result of a health condition and are established as ineligible to enter in the InCompass system. The electronic list is updated weekly and posted on the Kentucky Horse Racing Commission's (KHRC) website. Racing Associations may elect to publish the Veterinarian's List in the racing office of racetracks where live racing is being conducted. KHRC veterinarians may produce hard copy reports of this records as required by the Stewards.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name of horse, name of trainer, date entered on list, reason, scratch/run, release date, signature of Commission veterinarian and related documentation.
	<b>Retention and Disposition</b>	Information is provided to vendor and maintained in external database. Retain for five (5) years, then destroy. Transfer reports generated from database for investigations to series (06905) Thoroughbred/Standardbred Investigative Files.
04855	<b>Veterinary Report of Horses Treated (Daily)</b>	This series documents the administration of raceday furosemide (Salix) by Commission veterinarians.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: horses' names, identifying information (tattoo/freeze brand/microchip and detailed physical description), trainers' names, horse location, dose of furosemide administered, and the identity of the Commission veterinarian performing the administration. This file may also contain reports submitted by practicing veterinarians when regulated treatments (extra-corporeal shock wave therapy, castration, neurectomy) or administration of medications which require reporting.
	<b>Retention and Disposition</b>	Retain for three (3) 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**

Public Protection Cabinet  
Horse Racing Commission  
Veterinary Services

**Record Group  
Number  
2480**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05540</b>	<b>Equine Drug Research Council / Equine Drug Testing File</b>	This series documents drug testing performed and includes screening and final reports for cleared samples, records and materials from Equine Drug Research Council (EDRC) meetings, and reports of intelligence gathered or research performed, or funded by, the EDRC. Drug testing is performed on the winner of each race and additional horses as designated by the Stewards or Judges. Horses may also be subjected to pre-race blood testing to detect the prohibited practice of bicarbonate loading, tested following training exercises, or at any time for out of competition testing to detect prohibited substances. This file also contains documents produced at the Test Barn by Kentucky Horse Racing Commission employees and reports produced by the official laboratory for tested samples that were negative for regulated or prohibited substances.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: sample ID cards, Test Barn security logs, screening results, final reports, research proposals, and research reports.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.



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# *Electronic System With Included Records Series*

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## **Public Protection**

### *Kentucky Horse Racing Commission*

### **Breeders' Incentives and Development**

**System Description:** The Jockey Club Information System (TJCIS) is a global database for Thoroughbred pedigrees and race records providing instant access to information such as horse names, mare produce records, race records for mares and each foal, sales records, sire records, etc. Through TJCIS verification, owners can nominate eligible pregnant mares to the Kentucky Breeders' Incentive Fund, registering and nominating the unborn foal for each breeding season to participate in the program. Breeders must set up a username and password for accessing the system. At the end of each calendar year, award winnings are generated based on qualified races that KBIF registered horses have won

**System Contents:** Information entered by registrant using his/her username and password, or by KHRC staff, includes various interfaces with breeder name, contact information, association, registered mare identification, nominated in-utero foal, sire, and payment processing.

### **General Schedule Items:**

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**System Title:** The Jockey Club Information System

**Alternate Title:** TJCIS

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

**Disposition Instructions:**

05539 Kentucky Thoroughbred Breeders Incentive Fund File

Retain permanently.

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# *Electronic System With Included Records Series*

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## **Public Protection Cabinet**

### *Kentucky Horse Racing Commission*

#### **Division of Breeders' Incentives and Development**

***System Description:*** The Kentucky Quarter Horse, Paint Horse, Appaloosa, Arabian Development Fund (KQHAADF) system is used to collect and store data related to KQHAADF eligible horses. It also records results each year and money earned.

***System Contents:*** Information entered by KHRC staff includes breeder and owner contact information and association, horse participant and results.

***General Schedule Items:***

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***System Title:*** Kentucky Quarter Horse, Paint Horse, Appaloosa, Arabian Development Fund     ***Alternate Title:*** KQHAADF

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<b><i>Series #:</i></b>	<b><i>Series Title:</i></b>	<b><i>Disposition Instructions:</i></b>
00977	Kentucky Quarter Horse, Appaloosa & Arabian Development Fund	Retain permanently.

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# *Electronic System With Included Records Series*

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## **Public Protection Cabinet**

### *Kentucky Horse Racing Commission*

#### **Division of Licensing**

***System Description:*** The Association of Racing Commissioners International (ARCI) Database system is maintained by and for ARCI member regulators, including the Kentucky Horse Racing Commission (KHRC). As an ARCI member agency, information housed in this electronic database is accessible to and supplemented by approved KHRC staff. The ARCI Licensing System contains information for all persons who participate in horse racing activities in Kentucky. Information contained in the system is used by the Kentucky Horse Racing Commission to regulate the Kentucky horse racing industry by issuing licenses to any and all individuals who may work at racetracks, including jockeys, trainers, owners, agents, stable employees, veterinarians, farriers, racing officials, equine therapists, mutual clerks, and vendors. The system is also used to print licensee badges. Data is entered by, accessible to, and supplemented by approved agency staff. The database contains both public and secure restricted information per KRS 61.878 (1)(a) and KRS 61.878 (1)(c).

***System Contents:*** The ARCI Licensing System may include: licensee contact information, including names, addresses, and phone numbers, past history, current standings, fines, regulatory rulings, employer and trainer information, photographs, and payment information.

#### ***General Schedule Items:***

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***System Title:*** Association of Racing Commissioners International ***Alternate Title:*** Licensing System, ARCI  
Database

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

***Disposition Instructions:***

00736 Master License File

Transfer to State Archives five (5) years after last activity for permanent retention.

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# *Electronic System With Included Records Series*

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## **Public Protection Cabinet**

### *Kentucky Horse Racing Commission*

#### **Pari-Mutuel Wagering and Compliance**

***System Description:*** The CHRIMS system is a database used by the pari-mutuel industry specializing in accounting applications and pari-mutuel settlement outsourcing and wager tracking, providing customized reports and consulting services to assist with analyzing trends, budgets, and projections. Data are collected via automatic report from tote vendors and accounting application companies. Reports collected include live/simulcast horse racing, advance deposit wagering reports, and information regarding settlements and distributions, including the daily processing of pari-mutuel pools by location, association, and type of race. Information contained in the system is restricted per KRS 61.878 (1)(c).

***System Contents:*** CHRIMS may contain: total handle, wagering commission, wagering adjustment figures, breakage, and payments to winning patrons.

#### ***General Schedule Items:***

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***System Title:***   **CHRIMS**

***Alternate Title:***

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***Series #:***   ***Series Title:***

***Disposition Instructions:***

06912    Historical Horse Racing, Simulcast and Advanced Deposit  
          Wagering Files

Retain for five (5) years, then destroy.

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# *Electronic System With Included Records Series*

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## **Public Protection Cabinet**

### *Kentucky Horse Racing Commission*

#### **Veterinary Services**

**System Description:** InCompass is a centralized system used by the North American horse racing industry to log veterinary exam findings and consult previous exam findings to determine if there have been changes to a horse's condition associated with increased risk of serious injury. InCompass is accessible to racetrack veterinarians outside of Kentucky, as well as Kentucky Horse Racing Commission veterinarians. Information for each horse and its current condition is accessible to veterinarians at each racetrack, but only the veterinarian at the racetrack where the horse is currently entered in a race has the ability to add to the horse's history. Information in the system is restricted per KRS 61.878(1)(c).

**System Contents:** The InCompass system may contain: horse name, horse identification information, breeding, trainer, owner, date of exam, exam findings, Lasix status, race history, racing eligibility, and published exercise history.

#### **General Schedule Items:**

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<b>System Title:</b>	<b>InCompass Solutions</b>	<b>Alternate Title:</b>
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<b>Series #:</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>
04852	Daily Veterinarian Inspection File	Information is provided to vendor and maintained in external database. Retain for five (5) years, then destroy. Transfer reports generated from database for investigations to series (06905) Thoroughbred/Standardbred Investigative Files.
04853	Horse Injury Report File	Retain for eleven (11) years, then destroy.
04854	Veterinary List File	Information is provided to vendor and maintained in external database. Retain for five (5) years, then destroy. Transfer reports generated from database for investigations to series (06905) Thoroughbred/Standardbred Investigative Files.

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