



# Department for Libraries and Archives

## Records Retention Schedule

Prepared by the State Records Branch  
Archives and Records Management Division  
Approved by the State Archives and Records Commission



This records retention schedule governs retention and disposal of records created, used and maintained by the Department for Libraries and Archives. **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 Department for Libraries and Archives personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Department for Libraries and Archives to destroy the records listed, after the appropriate retention periods have passed.

Department for Libraries and Archives 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 Department for Libraries and Archives.

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 Department for Libraries and Archives, 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.

## **Department for Libraries and Archives**

The Department for Libraries and Archives addresses the state's information and knowledge needs by initiating and directing statewide activities for library and archive development and for public records management. Two divisions administer the Department's programs: Library Services, and Archives and Records Management.

**RECORDS RETENTION SCHEDULE**

*Signature Page*

Department for Libraries and Archives  
Agency

March 13, 2014  
Schedule Date

Library Services Division  
Unit

March 8, 2018  
Change Date

March 8, 2018  
Date Approved By Commission

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**APPROVALS**

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

[Signature]  
Agency Head

2/26/18  
Date of Approval

[Signature]  
Agency Records Officer

2/26/18  
Date of Approval

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

3/8/18  
Date of Approval

[Signature]  
Chairman, State Archives and Records Commission

3/8/18  
Date of Approval

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

[Signature]  
Records Analyst/Regional Administrator

February 26, 2018  
Date of Approval

[Signature]  
Appraisal Archivist

3/8/18  
Date of Approval

[Signature]  
State/Local Records Branch Manager

3/8/18  
Date of Approval

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The determination as set forth meets with my approval.

[Signature]  
Auditor of Public Accounts

3-8-18  
Date of Approval

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

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

Education and Workforce Development Cabinet  
 Libraries and Archives

**Record Group**  
**Number**  
**1670**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06872</b>	<b>Volunteer File</b>	This series documents applications to volunteer at the Department for Libraries and Archives. Volunteers must be over eighteen years of age and will be given meaningful tasks to assist with the work of the Department.
	<b>Access Restrictions</b>	Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Volunteer Application (Date; applicant's name, home address and phone, cell phone, work phone, home email, work email, preferred method of contact, age (over 18?), availability to work, languages, special skills, hobbies or interests, educational background, previous library, archival or talking book experience, limitations on lifting, emergency contact information); agreements, waivers or releases; correspondence.
	<b>Retention and Disposition</b>	Retain until five (5) years after application or last volunteer assignment, whichever is longer, then destroy.

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

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

Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06064</b>	<b>Finding Aids</b>	This series represents item- or collection-level descriptions created by Archives and Records Management Division staff. These descriptions facilitate physical and intellectual control over particular materials in the Division's possession. They also help researchers to access information in a collection and understand the records they are using. Collections at the Archives for which finding aids have been created include those for selected Circuit Court records; Confederate Veterans Home records; and Naturalization records. Most finding aids are created and maintained in database format.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Agency name; record type/series; individual name; date of record; location of record in Archives Center; general or related information.
	<b>Retention and Disposition</b>	Destroy when collection is no longer in the possession of the Archives and Records Management Division.
<b>06464</b>	<b>Attorney General Records Management Referral File</b>	This series documents referrals of state or local public agencies by the Attorney General's Office to the Archives and Records Management Division. Per KRS 61.8715 the legislature has found a direct relationship between the intent of the Open Records Act (KRS 61.870-884) and the Public Records Act (KRS 171.410-740). These referrals occur when agencies in the process of responding to Open Records appeals are found by the Attorney General's Office to have managed their records inappropriately according to KRS 171.410-740. ARMD staff meet with the agency personnel to review the records management issues raised in the matter and provide guidance. These visits are purely advisory, in no way punitive, and do not involve enforcement. A form is completed by ARMD staff documenting issues raised and actions taken. A copy of this form is sent to the Attorney General's Office for inclusion in the Open Records Decision File (04270), which has a permanent retention.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Letter of referral from the Attorney General's Office; a copy of the Open Records Decision; Request for Records Management Review Form; Open Records Decision number; Date request received from AG; Name of party involved; Records management issues raised; ARMD actions.
	<b>Retention and Disposition</b>	Send a copy of the Request for Records Management Review Form to the Office of Attorney General. Retain ARMD file for three (3) years, then destroy.

**STATE ARCHIVES AND RECORDS COMMISSION**  
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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Archival Services

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06063</b>	<b>Correspondence Log</b>	This series documents incoming and outgoing correspondence for the Research Room and Archives Center at the State Archives, along with any charges for copies and services. Research Room staff receives correspondence requesting copies of records or regarding other research matters. The correspondence is logged and the request is handled appropriately. Once a response has been sent, staff completes a Research Room Logout Form that documents steps taken and amount charged or returned. The Correspondence Log is maintained electronically as an Access Database. The Logout Form is on paper.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	CORRESPONDENCE LOG: Date received; reference number; archivist; record group number; agency name; contact name; patron name; business name; patron address, phone and fax; mail/phone/walk-in request; research fee; pre-payment; amount returned; payment; edit date; lookup; record type (judicial, state, local, federal, publication); series flag; series number; series title; record title; folder title; case number; location; inter-account or invoice; number of copies; charges; number of records used; date answered; initials; date paid; comments; date first letter sent; date second letter sent. RESEARCH ROOM LOGOUT FORM: Reference number; patron name; date answered; answered by; amount returned; number of copies; amount charged; series used; comments.
	<b>Retention and Disposition</b>	Delete database entries after five (5) years. Destroy Research Room Logout Form after six (6) months.
<b>06065</b>	<b>Record Group Code File</b>	This series represents the record group codes assigned to entities holding or managing Kentucky's public records or private records of public interest. The codes are assigned by Archives and Records Management Division staff for purposes of identification while conducting retention scheduling or other records management or archival activities. A record group is a set of records that are classified or arranged together. The record group code is a unique identifier attached to that set of records or to the entity holding or managing them. Record group codes may be assigned to state or local government agencies at all levels, individual office-holders, private entities, specific retention schedules or particular types of records.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains name of entity, record group code, notes.
	<b>Retention and Disposition</b>	Retain current file. Destroy obsolete versions as they are superseded.
<b>06533</b>	<b>Public Exhibit File</b>	This series documents exhibits displayed by the Archives and Records Management Division. Exhibits are created and displayed mainly to highlight or commemorate events, such as the anniversary of the Department's building or the 100th birthday of Dr. Thomas D. Clark. Once the displays are removed, any original records or publications that have been used are returned to the collection.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains photographs; originals or duplications of records or publications; labels or captions with descriptive information.
	<b>Retention and Disposition</b>	Retain until exhibit is removed, then transfer to Archives for permanent retention. Return any original document(s) or publication(s) to their respective location(s) in the appropriate collection(s).



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**Archives and Records Management Division**  
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**STATE AGENCY RECORDS**  
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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Archival Services

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06840</b>	<b>Expungement Order File</b>	This series documents KDLA's activities in the expungement of certain Class D Felonies from individuals' criminal records. Enacted by the 2016 General Assembly, KRS 431.073 allows the expungement of those Class D Felonies after application by the individual and upon order of the court. This includes expungement of "all records in the custody of the court and any records in the custody of any other agency or official." Upon receipt of an expungement order from a Circuit Court, KDLA staff members ensure that either the records are not in the department's custody or that appropriate steps are taken to expunge the records that KDLA does hold. The ARM Division Director then certifies that this process is complete. An expungement order may apply to an acquittal, a dismissal with prejudice, a failure to indict, or a conviction.
	<b>Access Restrictions</b>	KRS 431.073(6) - Once records have been expunged, "agencies shall reply to any inquiry that no record exists on the matter." Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: AOC-496.4 - Order on Application to Vacate and Expunge Felony Conviction, and AOC-497 - Expungement Order (for Acquittal, Dismissal with Prejudice, or Failure to Indict). These contain county; court; case number; applicant's name, address, phone number, Jail ID Number, birthdate, SSN, arrest date; Findings of Fact (charges, whether the applicant has met all statutory requirements for expungement); order denying or granting the petition; judge's signature and date; certification that the agency has no records or that expungement has been completed, agency records custodian and date. Series may contain: Uniform Citation, Kentucky State Police Certification Form, background check; Order Sealing Records for Successful Defense and Prosecution; Commonwealth Attorney's response.
	<b>Retention and Disposition</b>	Retain permanently.
<b>06843</b>	<b>Expungement Order Log</b>	This series represents a log of the expungement orders received from a Circuit Court by the Department. The log documents the actions taken to ensure that any records related to an expungement order sent to KDLA are either not in the department's possession or are properly expunged. If a record is in an order book or on microfilm, particular steps are taken to see that it is sealed and references to it are removed. These steps and the Department employee's name are logged. Once these steps have been taken, the order is certified by the ARM Division Director and sent to the court.
	<b>Access Restrictions</b>	KRS 431.073(6) - Once records have been expunged, "agencies shall reply to any inquiry that no record exists on the matter." Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Date order is received; Name of applicant; county, case/bundle/drawer number, date order filed, order book number, roll number, Film Cabinet, No records/expunged, Date certified order is sent, staff initials, comments.
	<b>Retention and Disposition</b>	Retain permanently.

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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Archival Services - Archives Center

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00641	<b>Accession Register - State Archives Center</b>	This series documents the transfer of custody of records from the originating office to the State Archives. It lists records that are received in sequence by date and accession number and serves as a finding aid until all processing procedures are completed. It is a quick reference of accessions kept by year. In the 1990s, staff began keeping the Accessions Register in electronic format.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Accession number; accession date; agency and unit; quantity; permanent location; date shelved; shelvers' initials; amount of processed/unprocessed materials (written format only); Records Group Code (electronic only); and Records Series Number (electronic only).
	<b>Retention and Disposition</b>	Retain permanently in agency.
00652	<b>Record Charge Out (V)</b>	This series documents requests by state agency personnel for records stored at the State Archives Center. This is a three part form with white, yellow and pink copies. The white copy remains with the records and must be returned to ensure proper refiling. The pink copy is placed on the shelf in place of the record and remains until record is returned. The yellow copy is placed in agency folder and remains until the record is returned. Only the agency Records Officer or agency personnel whose names are listed on the Records Request Authorization card (00628) may request records.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Requesting agency, requested by, unit, mailing address, telephone number, action taken, date, request for original/photocopy, identification number voucher/case/etc, to be returned, date record out/in, location in center, accession number, unit number, records series title, retrieved by/date, return record to the State Archive Center
	<b>Retention and Disposition</b>	Destroy white copy one (1) year after record is refiled. Destroy yellow and pink copies when record is reshelved.
006135	<b>Private Records of Public Interest</b>	This series represents materials from private sources, or the private papers of public officials, that are maintained by the State Archives as evidence of the organization, functions, policies and transactions of state government. KRS 171.620 authorizes the Department for Libraries and Archives to collect these types of materials.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains private papers and other materials of individuals or organizations and may include correspondence, publications, awards and other materials.
	<b>Retention and Disposition</b>	ARMD staff will review records, subject to approval of the Division Director. Deaccession materials not directly related to documenting the organization, functions, policies and transactions of state government. Retain the balance of materials permanently.

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**STATE AGENCY RECORDS**  
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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Archival Services - Kentucky Guide

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
03747	<b>Kentucky Guide Program Repository Files</b>	This series documents information collected by staff of the Kentucky Guide Program. The Guide Program's mission is to survey archival and manuscript repository collections in Kentucky and to compile, edit, and publish a guide to those collections. These repositories include college, state and local libraries; historical societies; museums; local governments; corporations; organizations; and holdings maintained by the Archives and Records Management Division. The National Historical Publications and Records Commission first awarded funding to the Guide Project in 1978. Continued funding for the Program has come from the Library Services and Construction Act, now the Library Services and Technology Act under the Institute for Museum and Library Services. Information on each Kentucky repository is maintained in paper format and in a database. Each file includes a description of a specific repository; a summary of its holdings; and various forms used to collect information on the Kentucky repositories over time. The forms include the Kentucky Guide Data Sheet, the Kentucky Guide Program Description Form, the Archival Control Form, and the Kentucky Guide Program Indexing Form.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Data elements at repository level include - name of repository, address, telephone, hours of operation, copying facilities, user's fee, access restrictions, acquisition policy, volume of material, inclusive dates, bulk dates, brief description, notes. Data elements at collection, subgroup, and series levels include - location of material, conference name, title, variant title, birth and death dates, form of material, inclusive dates, bulk dates, quantity, occupational title, summary, function and use, contents, historical or biographical note, preceding series, succeeding series, forms a part of, related records, predecessor agency, successor agency, location of associated materials, arrangement, access restrictions, finding aids, condition of material, notes, date of input, date of update. Data elements on indexing forms include - corporate organization name, personal name, subject, geographic, subject selector,
	<b>Retention and Disposition</b>	Transfer to State Archives for permanent retention when no longer needed administratively.

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

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

Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Archival Services - Preservation Lab

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00666	<p><b>Document Preservation Job Description (V)</b></p> <p><b>Access Restrictions</b></p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b></p>	<p>This series documents records brought into the preservation laboratory for conservation work. It lists the work to be done and the reason(s) for restoration/conservation. It also acts as an identification of ownership while the record is in the laboratory. While the preservation work is being done the job description remains with the appropriate records.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Agency name, address, person received record from, job number, date received, contact name, telephone number, received by, title of document, number of pages, number of leaves, condition of records, reason for restoration, instruction, date started, procedures list, cut down, collated, cleaned, removed tape, screened deacidified, number of leaves preserved, amount of work time date completed, date returned, cost-materials/labor. (dates and hours worked written on back by preservation laboratory staff)</p> <p>Retain permanently at agency.</p>

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

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

Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Archival Services - Publications

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00667	<b>History of the Checklist</b>	CLOSED SERIES: The work of the State Publications Program was taken over by the Joint Committee on State Documents in January 2006. This series is a narrative history of the Kentucky Checklist for State Publications. It covers the origin (1962) of the Checklist, and documents which state programs were used as a model. It also notes problems and a criticism of the first Checklist. The Publications Program is currently writing an updated History of the Checklist to include the last 28 years.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: A narrative report on the history of The Kentucky Checklist for State Publications
	<b>Retention and Disposition</b>	Retain one (1) copy in the branch. Transfer one (1) copy to the State Archives Center. Destroy excess copies when no longer needed.
04035	<b>Checklist of State Publications</b>	CLOSED SERIES: The work of the State Publications Program was taken over by the Joint Committee on State Documents in January 2006. This series was created to provide wide access to state agency publications, excluding university publications, collected by the Division's State Publications Program as required in 725 KAR 1:040. The series is published quarterly by the Division and is distributed to libraries and other research institutions across the United States and abroad. It is also made available to Kentucky state agency managers who use it to gain access to government produced reports. The series also serves as an index to the Division's microfilmed collection of state agency publications.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Cumulative key word title index, agency name index, accession number, classification number, title of publication, date of publication, physical description
	<b>Retention and Disposition</b>	Retain one (1) copy permanently in the branch. Transfer one (1) copy to the State Archives Center for permanent retention. Destroy excess copies when no longer needed.
04902	<b>Core State Publications File</b>	CLOSED SERIES: The work of the State Publications Program was taken over by the Joint Committee on State Documents in January 2006. This series documents a complete set of state agency publications held by the Department, in a microfilm format. The series serves as a processing file for conversion to a digital format. The publications identified in the series are considered essential in providing minimal reference service on Kentucky topics. The designation "core publication" was established in 1991 by the Kentucky Library Association, Government Documents Roundtable, Committee on State Publications, in consultation and cooperation with the Kentucky State Publications Program.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Various state agency publications
	<b>Retention and Disposition</b>	Destroy after reformatting

**STATE ARCHIVES AND RECORDS COMMISSION**  
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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Archival Services - Research Room

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00647	<b>Research Microfilm Finding Aid</b>	This series is an index that includes summary listings for selected permanent records held in hard copy and on microfilm by the Archives and Records Management Division. Volumes are organized by county, and include sections on available original records; Circuit Court records; County Court records; and other records available on microfilm. The listings include brief descriptions of original records and their location; and listings of the contents of microfilm rolls and roll numbers. These are intended to aid researchers in locating materials.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name of County and agency; title of original records; brief description; location; Microfilm roll number, contents, date span.
	<b>Retention and Disposition</b>	Retain current volume permanently. Destroy outdated volumes when superseded.
00648	<b>Researcher Registration Form</b>	This series documents the registration of researchers using records in the Libraries and Archives Research Room. It is used for statistical purposes, to show how many researchers were served. Researchers are asked to list the records they have used on the back of the form, so that It can also be used to track researchers in cases where records were misfiled, vandalized, or stolen.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Drivers License Number, records used. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Rules for use of archival material, signature of researcher, date, home address, drivers license number/state, records used.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
00649	<b>Research Room Record Request</b>	This series documents requests from researchers to use materials stored in the State Archives Center. It gives the archives staff the name and location of the records to be pulled. The form is in triplicate: The white copy accompanies the record to the research room. The pink copy is placed on the shelf or in the box in place of the record. The yellow copy is placed in a holding file to show if records have not been returned to the archives from the research room at the end of a business day. This series serves as a protective measure for requested records and is used for statistical purposes showing the number and types of records being used.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Researcher name, address, date, name of agency/county, unit/office, record title, date of record, location in archives, box number, condition of record, name of retriever/ date, name of refiled/date
	<b>Retention and Disposition</b>	Retain white copy for one (1) year, then destroy. Destroy pink and yellow copies once record is refiled or once researcher is told record is not available.
03749	<b>Copy Request</b>	This series documents requests to copy materials that have been used by researchers in the Archives Research Room, if the copies are made by Archives Center staff. As a rule, Research Room staff send records to the Archives Center to be copied if the number of pages requested totals over twenty five.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains; agency name, person's signature, address, phone #, Records to be copied, location, box #, number of copies, costs per page, charge, request taken by, date, request referred to, date completed, by whom, reference number, Form of payment Cash/check, Interaccount.
	<b>Retention and Disposition</b>	Destroy after three (3) years or audit, whichever is longer.

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

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

Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Director's Office

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00709	<b>Periodic Statistics File</b>	This series documents statistical and narrative information about the functions and activities of the Archives and Records Management Division and its branches. It was originally produced as a weekly statistical report. Since 1980, it has been produced on a monthly basis. The series is the primary source of information on the administrative history of the Archives and Records Management Division and is kept permanently in lieu of a published annual report.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Quarterly Statistical Reports (pre-1980): Date of quarter, record center holdings, end of previous fiscal year, holdings beginning of, records accessioned, disposal, records returned permanently to agencies, number of records destroyed in agencies, number destroyed in records center, total space cleared, number of agencies requesting records, total number of record requests number of interfiles, number of refiles, number records examined at center, memorandum. Cumulative Monthly Statistics File (post-1979): Statistical and narrative information on the different branches of the Archives and Records Management Division including the State Records Branch, Micrographics Branch, Archival Services Branch, Local Records Branch, and the Technology Analysis and Support Branch. Also, contains statistical information on the various programs of the division including the Preservation Laboratory and the State Records Center. May also include director's calendar of activity
	<b>Retention and Disposition</b>	After five (5) years, transfer to the State Archives Center for permanent retention.
03109	<b>Grant Project File (Archives and Records Management Division/State Historical Records Advisory Board)</b>	This series documents grant projects that are grant-funded through such sources as the National Historic Publications and Records Commission (NHPRC) or the National Endowment for the Humanities, etc. The projects may be administered by the Archives and Records Management Division, the State Historical Records Advisory Board, or another archival repository in Kentucky. This file will provide information on project planning, application procedures to secure grants, contract negotiations, and final results. Examples of such projects are the Machine-Readable Records Project, Reflections of the Past, and the Guide Project. This series will provide historical information on what type of grants were received by various organizations, what projects were initiated, what results were seen, what programs were continued or absorbed by the Division as on-going programs, etc. The information derived will be a valuable tool for the securing of future grants. Additionally, the creation of this series will provide a central location, upon completion of a project, for key documents crucial to the administration of grant monies.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Planning documents, applications for grants, copies of contracts and related information, addendums, agreements, periodic and final reports, fiscal reports, and related correspondence.
	<b>Retention and Disposition</b>	Retain in agency permanently or transfer to the State Archives Center for permanent retention.

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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Local Records

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03295</b>	<b>Grant Project Folder (V)</b>	This series documents the Local Records grant process from approval of application to project closure. It provides documentation of every significant activity of the project including expenditure of funds and completion of project work. The local Records Grant Program provides funds to Local Public Agencies for projects that are designed to improve the management and/or preservation of their records. Each grant application goes through a three-tiered evaluation process, including the Local Records staff, the Local Records Review Committee, the Archives and Records Commission and finally the Commissioner of the Department for Libraries and Archives who makes the final decision and makes the grant awards. Once a grant is awarded, administration rests with the Local Records Branch. This series documents that administration process.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Application form, bid proposal(s), evaluation sheet, press releases, resolution regarding codification of cities ordinances (when applicable), statement of obligation agreement (with exhibits), project status and financial expenditure report(s), with supporting documentation, amendment request form, amendment(s) to the agreement, Kentucky Department for Libraries and Archives closeout checklist, full record listing, coded certified mail cards-return receipt requested, incoming and outgoing correspondence
	<b>Retention and Disposition</b>	Five (5) years after project closure, transfer to the State Archives Center for permanent retention.
<b>03298</b>	<b>Demonstration Grant Project Folder</b>	This series documents the distribution of grant funds for the federally funded demonstration grant program. The success of this program, funded by the National Historical Publications and Records Commission in 1983, led to the establishment of a state funded Local Records Grant program. The successes and failures of grant administration procedure documented in this series, were and are important as learning tools as a state program develops. These files may also be useful for research purposes for other states considering a similar program.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Application form, agreement between the Department and Local Government, and correspondence related to the subject
	<b>Retention and Disposition</b>	Five (5) years after project closure, transfer to the State Archives Center for permanent retention.
<b>03299</b>	<b>Demonstration Grant Project Applications Not Funded</b>	This series documents applications for grants not funded under the federally-funded demonstration grant program. The success of this program, funded by the National Historical Publications and Records Commission in 1983, led to the establishment of a state funded Local Records Grant program. The successes and failures of grant administration procedure documented in this series, were and are important as learning tools as a state program develops. These files may also be useful for research purposes for other states considering a similar program.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name, address, phone number of local government; records custodian - name, title, address, phone number; fiscal official or payee - name, title, address, phone number; cost of project, project personnel, brief description of project, previous actions to protect records, lasting benefits - Will continued grant support be needed - at what level, budget, signature of two local government officials
	<b>Retention and Disposition</b>	Five (5) years after project closure, transfer to the State Archives Center for permanent retention.



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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Local Records

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03300</b>	<b>Local Records Surveys</b>	This series documents the records held by local government agencies. This series was created as a tool to collect general information about agencies' records management practices, conditions, and needs, as well as specific, series level information. This series provides the branch with basic information necessary to plan and administer the local records program. Individual surveys provides a snapshot of conditions in an office, and when considered together the surveys will provide a picture of records management conditions of local public agencies statewide. The regional administrators input the information directly into lap top computers, which are then loaded into the Survey Database. Hardcopies of each survey are also maintained.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Agency name, previous grant activity, surveyor, date of survey, series number, series title, date span, medium, cubit foot/volume, microfilmed per Kentucky Department for Libraries and Archives standards, format codes, series damage codes, physical description/remarks, records management overview, and general records management needs
	<b>Retention and Disposition</b>	Retain permanently in agency.
<b>03301</b>	<b>Grant Fund Draw Memo</b>	This series documents the checks requested for release in accordance with payment schedules in the Local Records Agreement, which is filed in the Grant Project Folder (03295). This is a memo sent to the fiscal office of the Kentucky Department for Libraries and Archives from the Local Records Branch Manager requesting that the grant check be sent to the grant recipient from funds in the Local Records subprogram.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name and address of local agency, amount of the grant, date
	<b>Retention and Disposition</b>	Destroy after three (3) years or audit, whichever is longer.
<b>03302</b>	<b>Applications - Denied Grants</b>	This series represents applications submitted for funding under the Local Records Grant Program that were denied. Deferred applications are active until either approved or denied. Approved applications become a part of the Grant Project Folder (03295). A record of denied grants is also maintained as Series 03307, Grant Project Evaluations, which is a permanent record.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name, title, address, and phone number of local government applicant; estimated project cost; How will grant funds be used; What records will you be working with; list of preferred vendor(s); What lasting benefits will be achieved; previous actions to protect records in your office; Will continued grant support be needed; two signatures of local government administrators; at least two itemized project bid proposals; application evaluation sheet
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>03307</b>	<b>Grant Project Evaluations</b>	This series was created to provide a quick reference to details of current and past Local Records grant projects. It consists of copies of the Evaluation Sheets prepared for all Local Record Grant Applications, whether awarded , denied or deferred. Although originally prepared to provide the Regional Administrator's evaluation of the project application's merits for the awarding authorities, the evaluation sheets also provide in a concise, one-page format, the specific details of the project. This information is needed by virtually all the Local Records Branch staff in the administration of the grant program. Taken as a whole, this series provides a concise historical picture of the Local Records Grant program to date. This series is cumulative.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Fiscal year, project number, amendment number (if applicable), local government (Recipient), amount requested, project proposal, evaluation and recommendations of the local records staff including the detailed description of the project and recommended budget.
	<b>Retention and Disposition</b>	Retain permanently in agency.

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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 Micrographics and Digital Imaging

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>00655</b>	<b>Microfilm Control Sheet and Inspection File</b>	This series documents the specifics of each filming project undertaken by the Micrographics Branch. It serves as an input document to the Microfilm Tracking and Accessions System. It also documents the inspection of each roll of film produced by the Branch. Information from the series is used to electronically create the Records Transmittal to the State Archives Center or the State Records Center (00629), after completion of filming projects. Information from this series is used to create agency interaccount bills and invoices for payment purposes. In those cases where information about filming projects is not entered into the automated application, this series represents the supporting documentation needed to substantiate billing records.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Microfilm Control Sheet contains - date, name of camera operator, roll number, auto feed, hand feed, reduction ratio, exposure, film size, document count, series number, record group number, agency name, administrative unit, title of record, earliest date, latest date, filming sequence, and contents. Inspection Report contains - date, agency name, camera operator initials, roll number, reviewed by, retakes, no retakes necessary
	<b>Retention and Disposition</b>	Destroy after information has been input into Series 03745, Microfilm Tracking and Accessions Subsystem, and agency interaccount or invoice has been received as paid. NOTE: Destroy after three (3) years and audit, if information has not been input into Series 03745
<b>00665</b>	<b>Accessions Register</b>	This series is a record (listing) of the security microfilm in the Archives and Records Management Division's vault. Pursuant to its authority under 725 KAR 1:020, the division maintains for security purposes the original of all microfilmed reproductions of public records that have a retention of more than seven years. NOTE: Prior to 1983, the method of assigning accession numbers did not lend itself to the maintenance of a historical file because a unique numbering system was not used. The particular value of this series is that it reflects accumulation of security microfilm over time. It represents the most complete record of the division's activity in this area. Additionally, because the series documents the yearly accumulation of security microfilm, it provides essential information needed for the division's long-range space planning efforts. In the absence of an annual report, or other comprehensive program statistical documentation, this series is critical to an understanding of security microfilm accessions.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Accession number, date of accession, series number, film size, number of rolls, record group number, agency name and administrative unit, and roll numbers
	<b>Retention and Disposition</b>	Retain permanently in agency.
<b>04174</b>	<b>Certified Vendor File</b>	This series documents the certification of individual Micrographics Laboratories to film Kentucky public records. Pursuant to KRS 171.450, the department is responsible for developing the standards and procedures for recording, managing, and preserving public records and for the reproduction of public records by photographic or microphotographic processes. Specific standards which must be met include: film formatting, proper use of targets and proper splicing; depositing of the camera original silver security master with the Archives and Records Management Division; compliance with accepted standards for film density and resolution; monthly submission of test strips of film throughout period of certification; and compliance with procedures for the transfer, evaluation and destruction of public records. To maintain certification, all submitted microfilm must pass department standards and must be filmed in accordance with department procedures. Failure to follow these standards and procedures may result in de-certification of the laboratory.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Monthly film strip test documentation, correspondence, copy of certification certificate, certification request
	<b>Retention and Disposition</b>	Destroy three (3) years after de-certification

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

Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 State Records

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00625	<b>Records Retention Schedules for State and Local Agencies (V)</b>	This series represents the retention and disposition schedules for public records, as approved by the State Archives and Records Commission. Archives and Records Management Division staff members assist agencies in drafting retention schedules, including completed Description and Analysis Forms (Series 00639) for each record series. Records are analyzed for administrative, legal, fiscal, historical and intrinsic value and assigned a tentative retention period. The schedule is presented to the State Archives and Records Commission for its review. The Commission's approval constitutes the legal authority for the maintenance and disposition of records per KRS 171.410-171.740 and 725 KAR 1:061. An Electronic System Description may be part of the Retention Schedule. These are descriptions of the electronic systems agencies use to manage records and the records maintained in the systems.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: State or Local Agency Retention Schedule: Name and description of agency, schedule date, series number, record title, vital records status (if applicable), access restrictions (if applicable), change date and action taken (if applicable), record function and use, record contents, retention and disposition instructions. May contain: electronic system description, which includes name of agency, System Title, System Description, System data elements, and series maintained on the system.
	<b>Retention and Disposition</b>	Retain permanently in agency.
00627	<b>Records Officer Designation</b>	This series documents the official designation of a Records Officer. Pursuant to the authority of KRS 171.450 and described in 725 KAR 1:010, the chief administrative officer of each constitutional, statutory, or executive agency of state or local government is required to designate a staff member as Records Officer to represent the agency in its relations with the Archives and Records Management Division. In addition to being the agency liaison with the Archives and Records Management Division, the Records Officer provides the agency with a central point to direct all records management related problems, inquiries, and requests for Records Management.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name of designee, phone number, address, e-mail address, agency/cabinet name, signature of agency head, date.
	<b>Retention and Disposition</b>	Destroy when superseded
00628	<b>Records Request Authorization</b>	This series documents the names of those persons who have authority to request records stored in the State Archives Center and the State Record Center. The person's name must be on the card and approved by the agency's Records Officer.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name of agency, unit, name of person(s) authorized, signature of Records Officer, date.
	<b>Retention and Disposition</b>	Destroy when superseded

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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 State Records

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00629	<p><b>Records Transmittal to the State Archives Center or the State Record Center - (Central File copy) (V)</b></p> <p><b>Access Restrictions</b></p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b></p>	<p>This series documents the transfer of records from an agency to the State Archives Center or the State Records Center. Records transferred to the Archives Center or the Records Center are placed in the custody of the Department for Libraries and Archives. Access to materials stored in the Archives Center is automatically placed under the control of the Department for Libraries and Archives. Unless access to them is restricted by law, those records are open to researchers. However, access to records stored at the Record Center is controlled by the transmitting agency. Researchers must make all requests for access to the records stored at the record center through that agency.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Agency name, unit, retention schedule date, total number containers, destruction date, accession number, date shelved, initialed, volume in cubic feet, record group code, location in center, container type, series number, title of records exactly as listed on the records retention schedule, date span of records in each container, restriction, if any, and authority, records officer signature, date number of pages</p> <p>Retain permanently in agency.</p>
00630	<p><b>Certificate of Disposal (V)</b></p> <p><b>Access Restrictions</b></p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b></p>	<p>Closed Series. This record has been combined with the Records Destruction Authority and Certification (00631) and is now called Records Destruction Certificate (00632).</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Retain permanently in agency.</p>
00631	<p><b>Records Destruction Authority and Certification (V)</b></p> <p><b>Access Restrictions</b></p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b></p>	<p>Closed Series. This record has been combined with the Certificate of Disposal (00630) and is now called Records Destruction Certificate (00632).</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Retain permanently in agency.</p>
00632	<p><b>Records Destruction Certificates for State and Local Agencies (Central File Copy) (V)</b></p> <p><b>Access Restrictions</b></p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b></p>	<p>This series documents the destruction of public records by state and local agencies. All public records eligible for destruction must be disposed of according to retention and disposition instructions on the Records Retention Schedule for State or Local Agencies (00625). When a record does not appear on an appropriate schedule, or when no approved schedule exists for an agency, disposal may be made only with special permission of the State Archives and Records Commission. There is no preferred method for destruction of public records generally except when a specific method is required by law. Records of a sensitive or confidential nature should be shredded. When the records are housed at the State Records Center, the records center staff will arrange for their destruction. Note: Certificate of Disposal (00630) and Records Destruction Authority and Certification 00631) were combined to create this series.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Name of agency, date, unit, schedule date, accession date, destroyed at-agency or state records center, method of destruction, date of destruction, series number, record title and description, date span of records, volume cubic foot, box/book number, location in records center, total volume of records destroyed, signature of state archives/date, signature of record center agent/date, signature of records officer or custodian/date</p> <p>Retain permanently in agency.</p>

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**STATE AGENCY RECORDS**  
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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 State Records

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00636	<b>Microfilm Quality Evaluation (Central File Copy) (V)</b>	<p>This series documents the quality evaluation of microfilm, and indicates rolls of film accepted for storage in the Archives and Records Management Division's temperature controlled vault. The film is checked for density, resolution, reduction ratio and that the targets correctly describe the images on the film. Archival microfilm to be placed in security storage should meet the requirements for residual thiosulfate concentration as indicated in the American National Standard Specifications for Photographic Film for Archival Records, Silver Gelatin Type on Polyester Base, PH 1.41-1973, or the latest density stain differential not exceed 0.02, when calculations are made by the Silver Densitometric measuring method. When the Methylene Blue test method is used, the maximum permissible concentration of thiosulfate ion in micrograms per square centimeter is 0.7. Hard copy records should not be destroyed until the corresponding microfilm has passed a microfilm quality evaluation, and has been signed off on by the manager of the Micrographic Branch of the Archives and Records Management Division (ARMD). Agencies processing their own microfilm or having it processed by a service agency should send a sample to the Micrographics Laboratory (ARMD) to be tested for thiosulfate residue.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: Accession number, agency, unit, date, roll number, schedule date and series number, inclusive dates, agency records officer signature, test roll number, density, resolution, reduction ratio, targets, comments, whether security film at Archives and Records Management Division, tested by, date, destruction approved/disapproved</p> <p><b>Retention and Disposition</b> Retain permanently in agency.</p>
00639	<b>Record Description and Analysis</b>	<p>This series documents the descriptive information needed to make a knowledgeable appraisal of a records series and assign retention and disposition instructions. The Records Description and Analysis (D &amp; A) form has been developed by the Archives and Records Management Division as the primary tool to gather the information necessary to effectively manage the records of state and local agencies throughout their life cycle. Information captured on this form is valuable to the creating agency in planning, developing, and analyzing its records and records systems; to other agencies and individuals who need to access the information; and to the Archives and Records Management Division in providing services to agencies and the general public.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: Record group number, series number, originating agency, administrative unit, physical custodian, compiler, date, phone number, title of record, variant title, original/duplicate, locations of alternate copies, information summarized in, medium, arrangement/sort sequence, index, date span/volume, in agency, in the State Record Center, in the State Archives Center, annual accumulation. Reference rate, function and use description, contents, input records, output records, vital record? yes/no, vital retention period, vital records protection instructions, access restrictions? yes/no, is records subject to audit?, auditing agency, audit retention requirement, legal requirement? yes/no, appraisal criteria, rationale for retention, agency retention, disposition instructions, Records Center retention, Archives Center retention, total retention, records analyst signature</p> <p><b>Retention and Disposition</b> Retain permanently in agency.</p>
00640	<b>Records Series Numbering Log (V)</b>	<p>This series documents the consecutive numbering of records series. The agency name is written next to the first available series number. The log is divided into sections for state agency series numbers, General Schedule series numbers, State University Model series numbers, Electronic and Local Government series numbers. It ensures that a series number is not used twice. The State Records Branch now maintains its Series Log electronically. Local Records and Electronic and Related Records are maintained in hard copy.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: Series number, agency name, notes.</p> <p><b>Retention and Disposition</b> Retain permanently in agency.</p>

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**STATE AGENCY RECORDS**  
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Education and Workforce Development Cabinet  
 Libraries and Archives  
 Archives and Records Management  
 State Records - Records Center

**Record Group**  
**Number**  
**1670P**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>00634</b>	<b>Record Request Form (V)</b>	This series documents state agency requests for retrievals of records stored at the State Records Center. This form is available digitally on the Department's website. Three copies are made of each incoming request form. One is kept with the records and must be returned to assure proper refiling. Another is placed in the box or on the shelf where the record is stored. The other is placed in a temporary file. The latter two copies ensure that the Records Center staff knows which records are out in the event of duplicate requests. The Request Form may also be a three part form with white, yellow, and pink copies. The white copy remains with the record, the pink copy goes into the box or on the shelf, and the yellow copy goes into the agency file.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name of requesting agency, requested by, unit, mailing address, telephone number, action taken, date, request for original/photocopy, identification number voucher/case/etc, to be returned, date record out/in, location in center, accession number, unit number, records series title, retrieved by/date, return record to the State Archives Center/State Records Center
	<b>Retention and Disposition</b>	Destroy copy that is on shelf or in box after record is refilled. Destroy copy that is attached to the record one (1) month after the record is refilled. Destroy copy that is in agency file after one (1) year.
<b>00637</b>	<b>Accession Register - State Records Center</b>	This series documents in a general way the transfer of custody of records from the originating office to the State Records Center. It lists records which are received in sequence by date and number and series. It is used as a finding aid until all accessioning procedures are completed and is a quick reference of accessions kept by year. Transfer is documented more specifically on Series 00629, Records Transmittal to the State Archives and Records Center.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Accession number, accession date, agency and unit, quantity, permanent location, date shelved, shelve's initials.
	<b>Retention and Disposition</b>	Retain permanently in agency.
<b>00638</b>	<b>Fee System Account Book (V)</b>	This series documents the volume of records for which any agency is being charged for storage at the State Records Center and the fee charged. This is computed on a quarterly basis. This series originated in 1982.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Agency name, date, volume added or subtracted, balance, amount billed, amount of payment received and balance due
	<b>Retention and Disposition</b>	Destroy after three (3) years or audit, whichever is longer.

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Education and Workforce Development Cabinet  
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 Commissioner's Office

**Record Group**  
**Number**  
**1670S**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00804	<p><b>State Library and Archives Building File</b></p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Contains plans, correspondence, publicity, speeches, photographs, and other material pertaining to the construction, dedication and celebration of the new State Library and Archives building.</p> <p><b>Retention and Disposition</b> After completion of project, transfer to the State Archives Center for permanent retention.</p>	<p>This series documents the construction, dedication and subsequent celebrations of the Clark-Cooper Building, which houses the Department for Libraries and Archives. Construction of the building was approved by Governor Julian Carroll, and began on December 10, 1979. The building was opened to the public on April 19, 1982 and dedicated on October 8, 1982, under Governor John Y. Brown, Jr.</p>
00807	<p><b>Special Programs/Projects File</b></p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> May include correspondence, administrative regulations, committee membership, and information relating to lawsuits</p> <p><b>Retention and Disposition</b> After completion of project, transfer to the State Archives Center for permanent retention.</p>	<p>This series documents special programs or projects in which the Commissioner or the Department is or has been involved. Examples of these include the Kentucky Bicentennial Commission, the White House Conference on Libraries, Gates Foundation Partnership, and projects related to library needs, the history of public libraries, awards bodies, literacy, and textbooks.</p>
00808	<p><b>Advisory Council on Libraries File</b></p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: Council and Subcommittee Meeting minutes; Correspondence; Summary Reports; Informational and Reference Material.</p> <p><b>Retention and Disposition</b> Retain permanently in agency or transfer to State Archives.</p>	<p>This series documents the operations of the State Advisory Council on Libraries. The council first met on June 14, 1971 in Louisville. As constituted by KRS 173.810, the Council has twenty-one members who are appointed by the governor and serve four-year terms. Four members represent public libraries; two represent school libraries; two represent college or university libraries; four represent special and institutional libraries; two represent library users with disabilities; and seven represent library users. The Council is charged with advising KDLA on federal and state library development issues. The Council currently meets quarterly, with subcommittees meeting more frequently.</p>
00809	<p><b>Trustees of Kentucky Public Libraries</b></p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains official correspondence and appointment records.</p> <p><b>Retention and Disposition</b> Retain permanently in agency.</p>	<p>This series documents appointments to Kentucky public library boards of trustees. Per KRS 173.490, when a trustee's term expires, board members must recommend two potential replacements per seat to the Department for Libraries and Archives. KDLA forwards those names to the appropriate County Judge/Executive, who makes the appointment(s) with the approval of the Fiscal Court. A trustee serves a term of four years and may serve only two consecutive terms after which s/he must wait at least one year before being reappointed. If a trustee's seat becomes vacant the State Librarian recommends two names to the County Judge/Executive, who makes the appointment with approval of the Fiscal Court.</p>

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00676	<b>Library Catalog (V)</b>	This series documents the holdings of the Kentucky State Library and is maintained through the Online Computer Library Center (OCLC). CAM staff members enter information for individual holdings into OCLC templates, and searchable catalog records are output from those templates. The system used to access the catalog is Voyager. Information on media kits that are lent to libraries are entered into Voyager templates. Information on Federal government documents is kept in a card file, some of which may be duplicated in the digital catalog.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Item title, author, physical description, location, call number, number of items, status, series, notes, subject headings, ISBN, Voyager or OCLC accession number, cataloging information.
	<b>Retention and Disposition</b>	Retain entry until the item is no longer held by the library, then destroy.
00681	<b>Periodicals Received (Kardex Card File)</b>	This series documents daily acquisition of the Kentucky State Journal newspaper by the State Library. Individual cards contain check boxes for the various dates in a given year and each box is marked as the paper is received. Each year's acquisition is added to the card catalog at year's end.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Title, year, notes, dates, note whether paper is received.
	<b>Retention and Disposition</b>	Retain until information has been entered into the library catalog, then destroy.
00687	<b>User Account File (V)</b>	This series documents the application for library accounts maintained by State Library Services, User Services Branch, and the activity on those accounts. Applicants submit information either online or in paper and is then transferred to the patron database. State employees' accounts are valid for three (3) years and can be renewed. Non-state employees' accounts are valid as long as the patron remains a Kentucky resident. Account information is destroyed if staff is notified that a patron no longer qualifies for an account.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Library Account Number, materials checked out. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name and contact information of patron; library account number; materials currently checked out; and fine history.
	<b>Retention and Disposition</b>	Retain Kentucky-state-government-employee account information until three (3) years after last transaction, then destroy. Retain non-Kentucky-state-government-employee accounts until staff is notified that patron no longer qualifies for an account, then destroy.
00688	<b>Photocopy Receipt Book</b>	This series documents transactions whereby patrons pay for photocopies. Receipts are only generated upon patron request.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: name of patron, date, and amount of money spent on copies
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.



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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00694	<b>Kentucky Union List of Serials</b>	This series documents serial holdings of the Kentucky State Library and various other libraries in the Commonwealth. Records are maintained through OCLC and allow other libraries on location to see the serials holdings at multiple libraries. State Library Services' staff members create records for other libraries when those libraries do not have the resources to do so.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Item summary (volume and years), format, title, OCLC library code, retention statements, language, accession number for bibliographic record.
	<b>Retention and Disposition</b>	Retain individual record until item is no longer held by the library.
06487	<b>Media Scheduling Reservation List (V)</b>	This series documents audio/visual and kit materials that have been requested by public libraries and Kentucky state employees. The kits are sets of multimedia materials such as books, videogames, and other audio/visual materials that help with public library programming.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: name of library or state employee, title and barcode of item.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
06488	<b>Kentucky Virtual Library (KYVL) Courier Pickup Form (V)</b>	This series documents materials that are sent to various public, academic and special libraries in Kentucky via the KYVL Courier. The KYVL Courier is a contracted delivery service that picks up materials once per day, five days per week. These forms serve to resolve any disputes that may arise over library materials.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name of library; barcode number of the package; and the number of items in the package.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
06489	<b>Circulation Checkout Record (V)</b>	This series documents materials checked out to patrons by staff in User Services. These materials include books, large print and audiobooks, DVDs, and programming kits.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Circulating items. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: patron barcode; title(s) and barcode(s) of the circulating items; checkout date; due date.
	<b>Retention and Disposition</b>	Retain record until item is returned, then delete.
06490	<b>Circulation Holds Report (V)</b>	This series documents materials that are requested by patrons and placed on hold until the materials are picked up or sent. Reports are run twice per day.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Circulating items. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains the name of the patron and title(s) of item(s) requested.
	<b>Retention and Disposition</b>	Destroy as items are checked out.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06491</b>	<b>Fines and Fees Notice (V)</b>	This series documents fees and fines that are assessed to patrons for items that are more than eight (8) weeks overdue. At that point, a notice is generated out of the Voyager system and forwarded to KDLA's Fiscal Office. A records of fines and fees is maintained in the patron's account. If the fine is paid, the patron's account is credited. If the item is returned, the account is cleared.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Circulating items. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	This Series contains name of patron, title and barcode of overdue item, and cost if item is not returned.
	<b>Retention and Disposition</b>	Transfer to Fiscal Services Branch upon generation of notice. The record is maintained by that Branch until eight (8) years after the transaction per Series F0141, Accounts Receivable Records, from the General Schedule for State Agencies.
<b>06492</b>	<b>Reference Question File (V)</b>	This series documents reference questions received by User Services staff. Questions may come in via e-mail or telephone.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name and contact information of requestor; reference question and response; a copy of materials that are sent.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
<b>06493</b>	<b>Interlibrary Loan Transaction File</b>	This series documents interlibrary loan (ILL) requests handled by State Library Services staff. Requests come in through SLS's Ask-a-Librarian service and User Service's staff makes a request through OCLC. Requests may be handled through circulation transactions or via e-mail. Even after the item is returned to the lending library, a record of the transaction can still be accessed in OCLC.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Circulating items. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Item request; patron name and contact information; library string; lender information; status; OCLC transaction number.
	<b>Retention and Disposition</b>	Retain until one (1) year after transaction is completed, then destroy.
<b>06494</b>	<b>Offers List - Federal Government Documents</b>	This series documents Federal government documents that User Services is offering to other repositories because the documents are being discarded. Lists are maintained for forty-five days, after which User Services staff receives a notice from the Regional Depository (University of Kentucky) stating that the list has expired and items can be disposed of if they were not claimed.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Format of material is being offered (paper, fiche, video, CD, map or other); title; SuDoc Number; condition (good, fair, poor); and publication date; notes.
	<b>Retention and Disposition</b>	Retain until receipt of notice stating that the list is expired and the materials can be disposed of, then destroy.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06495</b>	<b>Shipping List - Federal Government Documents</b>	This series documents Federal government documents that are sent to SLS from the US Government Printing Office. The lists are available online going back several years, and the University of Kentucky (a regional repository) keeps them back farther if there is a question.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Item Title, SuDoc number, item number (from the selection profile), box number, and date of shipment.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
<b>06496</b>	<b>Acquisition Selection File</b>	This series documents the selection process for items to be acquired by the State Library. SLS staff members search various catalogs, journals, vendors' mailings, and websites to find items that are in line with the State Library's collection policy and could be ordered. Every month, items are placed on a checklist, reviewed by SLS staff members at a meeting, and a voted is conducted. Individual ballots are submitted and votes on individual items are totaled. The items are then prioritized based on votes.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Tally sheet: Month, year, title, author, individual vote, total votes per item. Presentation summarizing the various items up for consideration: summary of items (Cover shot, name, author, publisher, cost, number of CDs, review or summary).
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.

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**1670C**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05981</b>	<b>Kentucky Books Master Recordings (V)</b>	<p>This series represents a collection of audio books recorded by the Kentucky Talking Book Library, stored separately from circulating copies. KTBL records books of special interest to Kentucky readers to supplement the NLS talking book collection. These recordings are unabridged. From 1977 to approximately 2007 these were recorded on reel-to-reel tapes and duplicated onto cassette tapes for distribution to patrons. The original reel master was stored to make additional book copies if needed. As of 2007 all books have been recorded digitally. The recording is edited for sound quality and formatted to be duplicated onto 4-track cassette tapes for distribution to users. A non-circulating cassette master is made for duplication purposes and stored with the circulating copies. The completed file is stored on the network or on an external hard drive. A physical copy is burned to DVD and saved with the Kentucky master collection. Many of the reel masters are unusable because of inferior tape. Also the primitive recording technology resulted in poor sound quality. As time and finances allow, many older books will either be digitally re-mastered, or the book will be re-recorded digitally and the master will be replaced. Occasionally the Kentucky book collection is weeded and both masters and circulating copies of some books are destroyed.</p> <p><b>Access Restrictions</b> 17 USC 1: 121(b)(1)(a) - Restricted to use by blind or other persons w/disabilities Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Reel master tapes, one for each "side" of a 2 or 4-track cassette tape; DVDs of digital recordings, 1 for each "side" of a 4-track cassette tape. Digital recordings contain audio and several associated files.</p> <p><b>Retention and Disposition</b> Screen and destroy obsolete tapes at the discretion of Kentucky Regional Librarian for National Library Service.</p>
<b>05982</b>	<b>Kentucky Talking Book Library Catalog (V)</b>	<p>This record series is used to document and maintain a listing of talking books and magazines available to patrons of the KTBL. Information about inventory is added when acquired and deleted when removed from circulation. The record is used as an inventory of all material available at KTBL and as an index/finding aid for material. The catalog is maintained in electronic format on the Reader Enrollment and Delivery System.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: Books -- title, author, identification number, annotation, narrator, exclusion criteria, availability and circulation statistics, assigned subjects, volume/copy status; Magazines -- title, annotation, producer, number of subscriptions, issue information, requests, availability, copy status.</p> <p><b>Retention and Disposition</b> Retain current entries. Destroy as items are weeded from collection.</p>
<b>05983</b>	<b>Kentucky Talking Book Library Reader File (V)</b>	<p>This series documents applicants who wish to receive materials from the Kentucky Talking Book Library and any major changes in their service. This is a paper file containing the user's original application. The application must have an original signature of competent authority certifying the patron is physically unable to read standard print, and it must identify the type of disability (blindness, visual, physical, or reading disability). This is for copyright purposes, and also to qualify for the USPS free matter mailing. The library must keep the application for as long as the patron remains an active user; then for 5 years afterward (NLS Network Library Manual, section 9.8.5). Examples of major changes to service include name or address change, transfer from service area, cancellation or reactivation.</p> <p><b>Access Restrictions</b> KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: Original patron application, transfer records for established patrons moving to KY from another state, change of address forms, change in service forms, cancellation forms, transfer out records for those patrons moving out of KY, unusual correspondence that warrants saving (ex: letters related to suspension of service due to violations of policy, proof of veteran status, 10-squared club letters, etc).</p> <p><b>Retention and Disposition</b> Retain original certified application for five (5) years following the determination that the reader or deposit collection agency has become inactive, then destroy.</p>

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05984</b>	<b>Kentucky Talking Book Library Reader Materials/Machine Circulation File (V)</b>	This series documents KTBL patrons and materials and/or playback machines that are on loan to them. Information on checked-out, overdue and unreturned books and magazines is found in this series. This series is maintained in electronic format on the Reader Enrollment and Delivery System.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: patron's name, contact information, disability, birthdate, reading interests, circulation profile, notes, book requests, books on loan, book has-hads, magazine requests and circulation, playback equipment loan history.
	<b>Retention and Disposition</b>	Delete patron record at the end of the federal fiscal year in which service is cancelled.
<b>05985</b>	<b>Audio Equipment File</b>	This series documents playback machines maintained by KTBL. The Talking Book Library will provide patrons with a specially-designed player on which to listen to materials. Both cassette and digital players use a proprietary format that is only available within the Library of Congress Talking Book Program. These materials are not available to the general public in order to protect the author's copyright. Repairs or replacement are made at no cost to the patron. This series is maintained in electronic format on the Reader Enrollment and Delivery System.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: machine model, ID number, status, assignment, repair history, notes.
	<b>Retention and Disposition</b>	Destroy when equipment is destroyed or no longer owned by the Kentucky Talking Book Library.

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Series	Records Title and Description	Function and Use
05838	<b>Public Library Tax Rate Development File (V)</b>	This series documents the computation and approval of tax rates for public library districts in Kentucky, per the requirements of KRS Chapter 132. KDLA's Field Services Division staff assists library boards in computing potential tax rates for the upcoming fiscal year. Field Services staff compute and submit two options for each public library board: a compensating rate or an increase of 4 percent over the current year's rate. The library board then enacts the approved rate. If the library board chooses to enact an increase above the compensating rate, it must hold a public hearing. Once the tax rate is approved, the library board completes a certification form. Copies of the certification go to the Fiscal Court Clerk and to KDLA. Field Services Division staff also provide library boards with information to allow completion of the Uniform Financial Information form for the Department of Local Government.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	May contain: Correspondence from Division Director regarding tax rates; Worksheet for Certification Assessment for Local Government; Tax Calculations for Upcoming Year; Public Hearing Information; Uniform Financial Information Report (Department of Local Government); computation sheets; hypothetical projections of tax revenues.
	<b>Retention and Disposition</b>	Retain seven (7) years, then destroy.
05980	<b>Schools and Libraries Telecommunications Program File (E-Rate) -- Universal Service Fund (FCC)</b>	This series is used to document the process by which public libraries apply for telecommunication services, internet access, and internal connections. The Schools and Libraries Program of the Universal Service Fund is intended to ensure that schools and libraries have access to affordable telecommunications and information services. This Program, also known as the E-Rate program, makes telecommunications and information services more affordable. In 1996 Congress mandated that the Federal Communications Commission use the federal Universal Service Fund to provide discounts to eligible schools and libraries. Applicants must provide notice that they are seeking services, request bids from approved vendors and file an application to the Universal Service Fund for the discounted amount. Funds in this Program come from the service providers, including wireline phone companies, wireless phone companies, paging service companies and certain voice over internet protocol providers. For E-Rate Funding Years 1998 through 2014, applicants were required to develop a technology plan once every three years and KDLA was the approving agent for the IT plans of Kentucky's public libraries and the Hindman Settlement School. The requirement for technology plans was eliminated for FY 2015 and forward by the FCC's E-Rate Modernization Order (FCC 14-99).
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains the public libraries' IT plans and the letters of approval. The plan contains the library's mission; its information technology goals and objectives; IT modifications necessary to meet those goals and objectives; professional development requirements; the process by which the plan will be implemented; and a budget.
	<b>Retention and Disposition</b>	Retain ten (10) years after last date of service, then destroy.
06014	<b>Program Files (V)</b>	This series represents program materials developed and used at projects promoting libraries, or projects conducted by public libraries, in Kentucky. Examples of these programs include Summer Reading Programs, Widening Circles, and Rediscover Kentucky. Specific subjects covered include literacy, multiculturalism and children's reading skills. These materials may be developed by Kentucky participants only or by Kentucky participants in collaboration with participants from other states.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains educational materials, programming materials, correspondence, publicity materials, posters and other paraphernalia.
	<b>Retention and Disposition</b>	Retain permanently in agency or transfer to Archives.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05986</b>	<b>Construction Grant Project Files -- Local Public Libraries (V)</b>	This series documents public library construction funded by grants from the Public Library Facilities Construction Fund, per KRS 171.027 and 725 KAR 2:015. When projects are in the planning stages, KDLA staff is required to approve sites and plans for public library construction, and to consult and share opinions on the project as a whole. Once construction has begun, KDLA staff inspects occasionally and answers questions. This Series contains materials that document the administrative and financial aspects of the construction project, not construction documents such as plans or blueprints, which are Series 05988, Construction Documents.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains contract specifications, reports, completed construction records, inspection reports construction material test, changeovers, insurance policies, fiscal documents, approved applications of construction funds, grant agreements, construction estimates, building programs, amortization materials, and library use agreements.
	<b>Retention and Disposition</b>	Five (5) years after project closure, transfer to the State Archives Center for permanent retention.
<b>05987</b>	<b>Non-Grant-Related Construction Project Files</b>	This series documents public library construction not funded by grants from the Public Library Facilities Construction Fund. For non-grant-funded projects, KDLA staff is consults in a general manner, sharing opinions and answering questions. This Series contains materials that document the administrative and financial aspects of the construction project, not construction documents such as plans or blueprints, which are Series 05988, Construction Documents.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains contract specifications, reports, completed construction records, inspection reports construction material test, changeovers, insurance policies, fiscal documents, approved applications of construction funds, construction estimates, building programs, amortization materials, and library use agreements.
	<b>Retention and Disposition</b>	Retain eight (8) years, then destroy.
<b>05988</b>	<b>Construction Documents -- Public Libraries</b>	This series represents original, to scale, construction documents such as drawings, plans and blueprints, that are sent to KDLA. These are the actual construction documents and do not document administrative or financial aspects of the construction process. KDLA will have these materials for all projects funded by the Public Library Facilities Construction Fund, and for other projects as needed.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: tracings, reproducible drawings, specifications, plans and blueprints.
	<b>Retention and Disposition</b>	Retain permanently in agency.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00803	<b>Applications for Certification for Public Librarians File (V)</b>	This series documents applications by Kentucky's public librarians for certification by the Kentucky State Board for the Certification of Librarians. Per KRS 171.230-300, the board grants certificates of librarianship to applicants who are graduates of library schools approved by the board and shall grant certificates to other qualified applicants. Any librarian, or anyone in any other full-time library service position, at libraries falling under the provisions of KRS 171.230 to 171.300, must be certified by the board. The goals of this certification program are to improve library service throughout the state; to motivate public librarians to acquire, maintain, and develop their skills through basic and continuing education; to recognize public librarians who, on a continuing basis, update their knowledge and skills in order to provide better library service to their patrons; to improve the public image of librarians and libraries; to provide guidelines for public library boards and supervisors to use in selecting and retaining personnel; and to aid in structuring library educational programs to better meet the educational needs of librarians.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) - Social Security Number, Grades. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Original application; transcript; Annual Summation of Learning Activities; correspondence. May include: exams.
	<b>Retention and Disposition</b>	Destroy one (1) year after application becomes inactive.



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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

### *Kentucky Department for Libraries and Archives*

#### **Field Services**

**System Description:** The READS database controls all functions of the Kentucky Talking Book Library, and the library depends upon it for daily operation. It is a program developed by the National Library Service for the Blind and Physically Handicapped (NLS) especially for small- to medium-sized talking book libraries. It records information on patrons, the collection, machines, magazines, and circulation. This electronic database replaces hard-copy versions of the card catalog, audio equipment file, magazine card file, search-card file, ILL file, reader file, microfiche list, shelf list, in-out file, magazine patron file, and magazine request list. It is updated constantly as circulation, the collection, and patron records change. READS has a built-in report function to gather information. Microsoft Access is also used to create custom queries and reports.

**System Contents:** Patrons--name, contact information, disability, birthdate, reading interests, circulation profile, notes, book requests, books on loan, book has hads, magazine requests and circulation, machine status and history.  
Books--title, author, annotation, narrator, exclusion criteria, availability and circulation stats, assigned subjects, volume/copy status.  
Magazines--title, annotation, producer, # of subscriptions, issue information, requests, availability, copy status.  
Machines--model, ID number, status, assignment, repair history, notes.

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

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<b>System Title:</b>	<b>Reader Enrollment and Delivery System</b>	<b>Alternate Title:</b>	<b>READS System</b>
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<b>Series #:</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>	<b>Total Retention:</b>
05982	Kentucky Talking Book Library Catalog	Retain current entries. Destroy as items are weeded from collection.	I
05984	Kentucky Talking Book Library Reader Materials/Machine Circulation File	Delete patron record at the end of the federal fiscal year in which service is cancelled.	I
05985	Audio Equipment File	Destroy when equipment is destroyed or otherwise no longer in control of the Kentucky Talking Book Library.	I

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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

### *Kentucky Department for Libraries and Archives*

#### **Public Records - Archival Services**

**System Description:** The Archival Services Billing database contains records of incoming and outgoing correspondence for the Research Room and Archives Center at the State Archives, along with any charges for copies and services. Research Room staff receives correspondence requesting copies of records or regarding other research matters. The correspondence is logged and the request is handled appropriately. Once a response has been sent, staff completes a Research Room Logout Form that documents steps taken and amount charged or returned.

**System Contents:** Date received; reference number; archivist; record group number; agency name; contact name; patron name; business name; patron address, phone and fax; mail/phone/walk-in request; research fee; pre-payment; amount returned; payment; edit date; lookup; record type (judicial, state, local, federal, publication); series flag; series number; series title; record title; folder title; case number; location; inter-account or invoice; number of copies; charges; number of records used; date answered; initials; date paid; comments; date first letter sent; date second letter sent.

Data entered into the system is used to track number of requests, method received and amount charged. Data entered into the system by KDLA staff.

**General Schedule Items:** F0107 - Customer Order/Remittance Forms  
F0108 - Daily Remittance Lists/Cash Receipt Log

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**System Title:** Archival Services Billing Database

**Alternate Title:**

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<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
06063	Correspondence Log	Delete database entries after five (5) years. Destroy Research Room Logout Form after six (6) months.	I

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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

### *Kentucky Department for Libraries and Archives*

#### **Public Records - Archival Services**

***System Description:*** The Finding Aids Databases contain item- or collection-level descriptions created by Public Records Division staff. These descriptions facilitate physical and intellectual control over particular archival materials in the Division's possession. They also help researchers to access information in a collection and understand the records they are using.

***System Contents:*** Collections at the Archives for which finding aids have been created include those for selected Circuit Court, naturalization, Confederate Soldiers' Home, governors' correspondence, and photographic records.

Most finding aids are created and maintained in database format.

Series may include: Agency name; record type/series; individual name; date of record; location of record in Archives Center; general or related information.

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

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***System Title:*** Finding Aids Databases

***Alternate Title:***

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

***Disposition Instructions:***

***Total Retention:***

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06064 Finding Aids

Destroy when collection is no longer in the possession of the Public Records Division.

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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

*Kentucky Department for Libraries and Archives*

### **Public Records - Archival Services**

***System Description:*** The Archives Accession Database documents the transfer of custody of records from the originating office to the State Archives. It lists records that are received in sequence by date and accession number and serves as a finding aid until all processing procedures are completed. It is a quick reference of accessions kept by year.

***System Contents:*** Accession number; accession date; agency and unit; quantity; permanent location; date shelved; shelve's initials; Records Group Code; and Records Series Number

***General Schedule Items:***

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***System Title:*** Archives Accession Database

***Alternate Title:***

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<b><i>Series #:</i></b>	<b><i>Series Title:</i></b>	<b><i>Disposition Instructions:</i></b>	<b><i>Total Retention:</i></b>
00641	Accession Register - State Archives Center	Retain permanently in agency.	P

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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

*Kentucky Department for Libraries and Archives*

### **Public Records - Archival Services**

***System Description:*** The systems tracks and describes paper copies of state publications accession into the state Archives for permanent retention. The database provides access via the web to 20,000 items from the holdings stored in the archive 1792 - 2005. The web version permits keyword searches by title, agency, date and subject. Serials are group together by title.

***System Contents:*** Descriptive fields include: title, agency, date, and subject

***General Schedule Items:***

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***System Title:*** State Publications Database

***Alternate Title:*** State Pubs

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<b><i>Series #:</i></b>	<b><i>Series Title:</i></b>	<b><i>Disposition Instructions:</i></b>	<b><i>Total Retention:</i></b>
04035	Checklist of State Publications	Retain one (1) copy permanently in the branch. Transfer one (1) copy to the State Archives Center for permanent retention. Destroy excess copies when no longer needed.	P

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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

### *Kentucky Department for Libraries and Archives*

#### **Public Records - Local Records Branch**

**System Description:** The Local Records Database contains survey information of records held by local government agencies. It facilitates access by the Local Records Branch to holdings, records management and conservation information necessary to plan and administer the local records program. The survey also helps to identify local governmental records that are in critical need of preservation microfilming grants.

The database is also used to enter detailed daily activity information of KDLA regional administrators and the persons they contact. A monthly report for each administrator is generated from this information.

**System Contents:** Survey Information: record group number; title; series number; medium; number of volumes; format; survey date; comments; location; damage information.

Activity information: administrator name; date; agency; region; type of contact: email, mail, phone, on-site visits; comments.

**General Schedule Items:** M0029 - Activity Report  
E0038 - Summary or Extracted Data Files

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**System Title:** Local Records Database

**Alternate Title:** Local Records Survey/local 2000

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<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
03300	Local Records Surveys	Retain permanently in agency.	P

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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

### *Kentucky Department for Libraries and Archives*

#### **Public Records - Local Records Branch**

**System Description:** The Local Records Grants Database documents the grant process from approval of application to project closure. It provides documentation of every significant activity of the project including expenditure of funds and completion of project work.

The Local Records Grant Program provides funds to local public agencies for projects that are designed to improve the management and/or preservation of their records. Each grant application goes through a three-tiered evaluation process, including the Local Records staff, the Local Records Review Committee, the Archives and Records Commission and finally the Commissioner of the Department for Libraries and Archives who makes the final decision and makes the grant awards. Once a grant is awarded, administration rests with the Local Records Branch.

**System Contents:** The database contains: agency name, amount awarded, cycle, fiscal year, disbursement in fiscal year, beginning and ending date of project, contract received, grant closure date, old grant, ADD district, State Senate district, State House districts, region, vendors, vendor obligation's elements award for each element payment schedules, payment date, amount of payment, reports scheduled, reports received, amendments processed, amendments received, amendment pending, contract pending, date project closed, amendment request, custodian, street address, city, state, zip code, telephone number, vendors' beginning and ending dates, agreement number and status field.

**General Schedule Items:** E0038 - Summary of Extracted Data Files

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**System Title:** Local Records Grants Database

**Alternate Title:** LR Grants 2002

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<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
03295	Grant Project Folder	Five (5) years after project closure, transfer to the State Archives Center for permanent retention.	P
03302	Applications - Denied Grants	Retain for five (5) years, then destroy.	5
03307	Grant Project Evaluations	Retain permanently in agency.	P

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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

### *Kentucky Department for Libraries and Archives*

#### **Public Records - Micrographics and Digital Imaging**

**System Description:** The Microfilm Tracking and Accessions System is used to track accessions, projects, vault locations and microfilm quality control evaluations received by the Micrographics and Imaging branch at KDLA.

**System Contents:** Contains accession information for all projects taken on by the Micrographics branch. Project information includes project number, accession number, record group number, microfilm roll numbers and quality control info. Database also includes a vault location table for microfilm stored in KDLA's vault.

Records input and tracked by accession, roll number and/or project number. Basic project information is added initially, control sheet information is added as the project progresses and final information is entered at completion. Input performed by KDLA Micrographics staff.

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

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**System Title:** Microfilm Tracking and Accessions System

**Alternate Title:** Micro Control 2000

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<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
00655	Microfilm Control Sheet and Inspection File	Destroy after information has been input into Series 03745, Microfilm Tracking and Accessions Subsystem, and agency interaccount or invoice has been received as paid. NOTE: Destroy after three (3) years and audit, if information has not been input into Series 03745	3
00665	Accessions Register	Retain permanently in agency.	P

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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

### *Kentucky Department for Libraries and Archives*

#### **Public Records - State Records**

**System Description:** The Records Center Accessions and Destructions System tracks holdings documented in the State Records Branch Central Files. The Central Files primarily include transmittals, destruction certificates, permissions to destroy records, and Microfilm Quality Evaluations. These serve as a record of the materials stored at the State Archives Center, State Records Center, and the Micrographics vault. It also indicates holdings which are no longer stored in these facilities, because they have been returned to the agency or destroyed. The system includes an Accessions Register at the State Records Center and a Holdings Spreadsheet located with the Public Records Division.

**System Contents:** Agency information; records series numbers and titles; record formats, quantities, and locations; accession numbers; and destruction dates.

**General Schedule Items:** M0029, Activity Reports

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**System Title:** Records Center Accessions and Destructions System **Alternate Title:** Accessions Register

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<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
00629	Records Transmittal to the State Archives Center or the State Record Center	Retain permanently in agency.	P
00632	Records Destruction Certificates for State and Local Agencies	Retain permanently in agency.	P
00636	Microfilm Quality Evaluation	Retain permanently in agency.	P
00637	Accession Register - State Records Center	Retain permanently in agency.	P

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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

### *Kentucky Department for Libraries and Archives*

#### **Public Records - State and Local Records**

***System Description:*** The Records Description and Analysis System is used to collect and maintain descriptive and analytic information related to records created by state and local government agencies. This information is used to support recommendations to the State Archives and Records Commission for retention and disposition of state and local public agency records. It also includes descriptions of electronic systems state agency employees use to create and maintain their records and information.

***System Contents:*** This system contains agency information; descriptions of records agencies create, use, and maintain; retention periods and justifications; electronic system descriptions.

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

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***System Title:*** Records Description and Analysis System

***Alternate Title:*** D&A Database

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<b><i>Series #:</i></b>	<b><i>Series Title:</i></b>	<b><i>Disposition Instructions:</i></b>	<b><i>Total Retention:</i></b>
00625	Records Retention Schedules for State and Local Agencies	Retain permanently in agency.	P
00639	Record Description and Analysis	Retain permanently in agency.	P

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# *Electronic System With Included Records Series*

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## **Education & Workforce Development Cabinet**

### *Kentucky Department for Libraries and Archives*

#### **Public Records - Technology Analysis and Support**

**System Description:** The Kentucky Department for Libraries and Archives created an Electronic Records Archives (e-Archives) to preserve electronic public records and make them available to the general public. The records are harvested from agency web sites, sent to the archive via e-mail/disk, or placed directly in the archive by records officers. Records in the e-archives are stored in multiple files on a server. Multiple copies of files are retained for preservation purposes. When records are transferred to KDLA via a disc, the disc is placed in vault after the files are copied to the server. Public access to records in the e-archives is facilitated through a web site and DSpace, an open source software package that manages digital assets. DSpace provides searching through keywords within title, abstract, and agency name fields, as well as browsing by title, agency name, hierarchy, and creation date. DSpace aids in preservation by assigning checksums and persistent locators to the digital objects in the system.

**System Contents:** The following records created by various agencies are preserved and made accessible by the system: state publications (M0007); Minutes (M0008); Annual or Summary Reports (M0022); Maps (M0051); audio/video recordings (M0046), as well as web pages from the Governor's site (05444) including speeches, press releases and photos. In addition, other records series scheduled to come to the archive are included in the e-Archives.

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

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<b>System Title:</b>	<b>Electronic Records Archives</b>	<b>Alternate Title:</b>	<b>e-Archives</b>
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<b>Series #:</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>	<b>Total Retention:</b>
06064	Finding Aids	Destroy when collection is no longer in the possession of the Public Records Division.	I

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