



Lottery Corporation

Records Retention Schedule

Prepared by the State Records Branch
Archives and Records Management Division

Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used and maintained by the Kentucky Lottery Corporation. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission).** If records do not appear on a **Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by Kentucky Lottery Corporation personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Kentucky Lottery Corporation to destroy the records listed, after the appropriate retention periods have passed.

Kentucky Lottery Corporation 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 Kentucky Lottery Corporation.

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 Kentucky Lottery Corporation, including records created or stored using computers and computer systems. The *General Schedule for Electronic and Related Records* applies to records related to computers or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

Audits and Legal Action

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings or open records matters. These records must be retained at least until all legal or

investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

Confidential Records

While all records created, used and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

Copies of Records

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

Updating the Retention Schedule

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

Kentucky Lottery Corporation

Kentucky Lottery Corporation was created and effective December 15, 1988 by Kentucky Acts Chapter 1, Section 2 and is governed by KRS Chapter 154A. The Kentucky Lottery Corporation is a public agency which is accountable to the Governor, the General Assembly and the people of the Commonwealth through a system of audits, reports and financial disclosure.

The Kentucky Lottery Corporation conducts lottery games that provides revenues to the Commonwealth as well as provides entertainment to its citizens.

The Board of Directors is composed of eight (8) members and one member shall be the State Treasurer who serves in an ex officio capacity. The other seven (7) members are appointed by the Governor and confirmed by the Senate.

RECORDS RETENTION SCHEDULE

Signature Page

Kentucky Lottery Corporation

March 11, 2010

Agency

Schedule Date

September 10, 2020

Unit

Change Date

September 10, 2020

Date Approved By Commission

APPROVALS

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

DocuSigned by:
Margaret Gibbs
0225C4C05A49496

8/25/2020

Agency Head

Date of Approval

DocuSigned by:
Annette Dohler
ACBCDB2B8891413

8/25/2020

Agency Records Officer

Date of Approval

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

Date of Approval

DocuSigned by:
Terry Manuel
7FD4B8B84FE488

9/10/2020

Chairman, State Libraries, Archives, and
Records Commission

Date of Approval

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

DocuSigned by:
Taylor Metzger
D51749D3745D428

8/19/2020

Records Analyst/Regional Administrator

Date of Approval

DocuSigned by:
Jennifer Patterson
2028264ED522402

8/19/2020

Appraisal Archivist

Date of Approval

DocuSigned by:
CNO
318DFCDA76E748D

8/19/2020

State/Local Records Branch Manager

Date of Approval

The determination as set forth meets with my approval.

DocuSigned by:
Farrak Peltier
50DFC56B1254E8

9/10/2020

Auditor of Public Accounts

Date of Approval

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Audit

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|---|--|
| 03879 | Internal Audit File (V) | This series documents corporate internal audit information including audit objectives, procedures, working papers, and the findings and results of an audit. The audit information is incorporated into the work done by (state) contractual auditors. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Audit planning, process understanding, fieldwork, reporting and wrap up. |
| | Retention and Disposition | Retain permanently. |
| 05963 | Draw Site Visits | This series documents KLC Audit Department's quarterly unannounced visit to either the midday or evening lottery drawing site to observe internal and external procedures performed by the drawing team. This provides assurance of consistent drawing application and the Audit Department's awareness of drawing procedures. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Checklist of draw site procedures. |
| | Retention and Disposition | Retain three (3) years, then destroy. |
| 05964 | Reconstructs File | This series documents KLC Audit Department's independent reconciliation of all ticket reconstruction requests made by the KLC Security Department. A monthly report of reconstruction activity is received by the Audit Department from the instant ticket game vendor and reconciled to the KLC Security Department Log. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: KLC security department log, instant ticket vendor(s) reconstruction report(s). |
| | Retention and Disposition | Retain three (3) years, then destroy. |
| 06011 | External Audits | This series documents KLC Audit Department's coordination efforts with third parties performing miscellaneous, external audits for KLC. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Third party audit reports. |
| | Retention and Disposition | Retain permanently. |
| 06012 | Promotional Drawing Audit Review (V) | This series documents the Internal Audit Department's participation in the review and approval of rules and regulations for each game. It also documents the Internal Audit Department's participations in applicable drawings as required to ensure compliance with the rules and regulations for the promotion. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: promotional drawing checklist, appropriate game documentation, rules and regulations of game(s) |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after expiration date of game. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Audit

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 06013 | Random Number Generator (RNG)/Ball Certifications and Ball Scale Calibrations (V) | This series documents the services of the Kentucky Lottery Corporation's (KLC) vendor providing certification for ball calibrations and Random Number Generator (RNG). |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Statements of work, certification letters, internal audits, checklists. |
| | Retention and Disposition | Retain until three (3) years after expiration date of game and audit, then destroy. |
| 06896 | Operational Reporting | This series documents the Internal Audit Department's operational activities performed on a quarterly basis sent to the Audit Committee. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Quarterly operational report. |
| | Retention and Disposition | Retain three (3) years, then destroy. |
| 06897 | Annual Audit Planning/Audit Risk Assessment | This series documents the Internal Audit Department's audit risk assessment and development of annual audit plan. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Audit universe, risk assessment, annual audit plan. |
| | Retention and Disposition | Retain permanently. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Finance and Administration
Accounting

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 03897 | Master Control Report | This series documents the year-to-date payroll summaries by employees at the Kentucky Lottery Corporation. It is a printout provided by Automated Data Processing. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name of payee, date of printout, amount of money paid YTD, department number, social security number, deductions. |
| | Retention and Disposition | Retain in Agency one (1) year and destroy after audit. |
| 03900 | Accounts Payable File | This series documents expenses and liabilities of the Kentucky Lottery Corporation (KLC). Once an invoice is received, it is matched to the receiving report, and the proper account number is encoded. The information is input into the Lottery Back Office System so that a check may be processed. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name of vendor, Invoice Number, Description of item(s) purchased, Cost of item(s), Date of billing, Dept. approval certification, Duplicate of check. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 03902 | GTECH Liability Report (from GTECH Corporation) (V) | This series documents monthly information on the daily and weekly drawings on the on-line lottery games by identifying the drawing dates, results, amounts claimed, and remaining liabilities. GTECH is the company that owns and operates the electronic equipment and software. The office based in Louisville is electronically connected to the Kentucky Lottery Corporation. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Game type, draw date, winner count, amounts won, amounts claimed, amount remaining to be claimed. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 03907 | Coupons, Redeemed Tickets, Canceled Tickets (Online Games) | This series documents the ticket and promotional activity with retailers for online games. The coupons are promotional items entitling players to participate in games at some benefit or discount. They can be found in newspapers or flyers in the mail. The coupons will be balanced against credits applied to the retailer's lottery account. A redeemed ticket is one that has been paid out by the retailer. A canceled ticket is where credit may be applied in case of an error. These coupons are printed and valid for a specific period of time and are settled immediately after the promotion period. In cases where the accounts do not immediately balance, the amounts are very minimal (less than \$10.00). Internal auditors review all discrepancies in accounts. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: coupon date, name of game (Pick 3 or Lotto Kentucky), dollar value of coupon, cash authorization slip or canceled slip, corresponding numbers. |
| | Retention and Disposition | Retain in Agency one (1) year and destroy after internal audit is completed. |
| 03914 | Immediate Orders Payment/Issue Report | This series documents all walk-in and trunk stock lottery ticket sales at each Kentucky Lottery Corporation Regional Office. It is used to reconcile regional bank accounts to Kentucky Lottery Corporation's General Ledger. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date, Reference Number, Retailer Number, Game Number, Payment amount, Invoice Number, Net amount. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Finance and Administration
Accounting

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 04318 | Telephone Bill File (Bill and Printout) | This series documents the invoices to the Kentucky Lottery Corporation (KLC) from the various phone companies that provide communication services. In addition to the regular phone service and long-distance service, the billing includes costs for fax, cellular phones, and cable for data circuits from KLC to retailers throughout Kentucky. The bills reflect costs broken into five types: 1) Retailer Detail; 2) Regional Office Detail; 3) Louisville Regional Office (warehouse, G-Tech, and KLC data center); 4) KLC (home office); and 5) MCI fax and long-distance service. The billing enables staff to code each service to the proper account and provides a cost breakdown for each region. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: invoice-vendor, vendor number, billing code, charges, total due, index of charges, billing numbers, payment details, applied adjustment details, customer calls dialed (to, from, when, minutes, amount), installation charges or disconnects, circuit numbers, charges billed from earning number. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 05966 | Retailer Weekly Batch Detail | This series documents the detail of all transactions posted to a retailer's account for each weekly billing cycle. These include credits, debits, payments, and adjustments to accounts and may include any non-sufficient check charges and penalties. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Dates of billing cycle, billing transactions, retailer name and address, assigned retailer number. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 05973 | Multi-State Lottery (MUSL) Investment File (V) | This series documents the investments held to pay Kentucky Lottery Corporation (KLC) winners of jackpot games generated in several states. The spreadsheets are received monthly from the Multi-State Lottery (MUSL) Headquarters located in Urbandale, Iowa. The information is required to reflect value of holding on the KLC General Ledger. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date, Security Type, Face Value, Maturity Date, Accreted Cost, Cusip number. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after maturity and audit. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Finance and Administration
Licensing

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|---|
| 03872 | Retailer Licensing File (V) | This series documents all retailers who have applied to participate in the selling of lottery tickets. The records identify those that have been approved, inactive, cancelled, or rejected. A file will become inactive if there is a temporary period in which a retailer will not be selling lottery tickets. For example: the store is closed for remodeling purposes. An application may be cancelled or rejected if the retailer has not paid his/her taxes properly, or if there is incriminating information found in the police/security check. Once the file is approved or disapproved, most activity is administrative, such as correcting addresses, changing a contact name, etc. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: retailer application (application type, business name, address, contact name, Federal Employer ID number, Kentucky sales tax number, business type, ownership type, current tax election), personal data form, retailer contract, retailer EFT authorization, retailer agreement for lottery games, cashing agent addendum form, web access form. |
| | Retention and Disposition | Retain in Agency until three (3) years after application is cancelled or rejected. Destroy after audit. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Finance and Administration
Purchasing

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--------------------------------------|---|
| 03874 | Supplier Profile Form (V) | This series documents the vendors who have applied with the Kentucky Lottery Corporation (KLC) to sell equipment and/or supplies for the KLC office. The file verifies a company's history, financial status, and a security check (relating to criminal information from state police records). The Purchasing Director determines if the application is rejected or accepted. If the application is rejected, the file will reflect why. If the application is accepted, it serves basic administrative purposes in the purchasing of equipment and supplies. Pursuant to KRS Chapters 45 and 45A, state purchasing procedures have been implemented. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name of vendor, security check information, financial status of vendor, statement of acceptance or rejection. |
| | Retention and Disposition | Retain and destroy three (3) years after vendor file is inactive. |
| 03875 | Purchase Requisition | This series documents the request for a purchase(s) of goods or services. It verifies internal approval by the Kentucky Lottery Corporation required for purchases. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: name of employee requesting purchase, date, product or service required, amount, vendor's name, management authorization. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 03876 | Purchase Order/Price Contract | This series documents the approval for the disbursement of funds for the contracted purchase of goods, services or supplies to a vendor. It identifies the price agreement with a vendor over the course of the contract period. All purchases are in accordance with KRS 45A, the Kentucky Model Procurement Code. The file helps to provide a vendor history and documentation should corrections need to be made in accounting activities. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: name of vendor, date, purchase amount, terms and conditions, description of purchase or service, authorized signatures. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after expiration of contract (if applicable) and audit. |
| 03877 | Bid Document File (V) | This series documents the terms, conditions, and/or product specifications for a purchase of the Kentucky Lottery Corporation. Each bid is processed in accordance with Chapter 45A of the Kentucky Revised Statutes (Kentucky Model Procurement Code), which defines all procedures and regulations for bid purchases. All responses are retained in the file. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Signed bid documents from vendors, list of approved vendors, terms/conditions/specifications of product, vendors' quotes, determination and finding report (who was awarded the bid, at what cost, who all bid, who declined, who was disqualified). |
| | Retention and Disposition | Retain until three (3) years after expiration of awarded contract and audit, then destroy. If not awarded, retain until one (1) year after denial and audit, then destroy. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Human Resources
Benefits

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 05960 | Recruiting/Hiring Process Materials File | This series documents the process and criteria used to select a candidate to fill a position with the Kentucky Lottery Corporation. The series also documents the decision making process, including the screening and selection of candidates for interviews, the interview questions and answers and other factors used in the selection process. Kentucky Lottery Corporation employees are non-merit. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: advertisement for position, applications and/or resumes, correspondence, interview questions and answers, reference check notations, completed background check forms. |
| | Retention and Disposition | Retain in Agency and destroy five (5) years after closing date of employment position. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Information Security

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|---|
| 05979 | Game Purge Approval File (V) | This series documents the approval and reasoning to purge game files from the productions systems with supporting signatures. Games are purged for various reasons: e.g., expiration of game, unsuccessful sales, and unpopularity with the public. Approvals to purge games are required from Marketing, Finance, Warehouse, Vice President of Sales, Information Security, and Operations. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Signatures of approval, game number and name, last date to claim, date to purge. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years from date of purge and audit. |
| 05998 | Bank Escrow Account File (V) | This series documents escrow accounts between GTECH and Kentucky Lottery Corporation for PRO:SYS and the Kentucky Lottery Corporation online terminals and validates the online games. Each time Kentucky Lottery Corporation adds a new online game or updates an existing online game, the vendor saves the source code on disc or tape. Kentucky Lottery Corporation then deposits the media in the Bank of New York/Chase Bank lock box in the vault which replaces the previous disc or tape. The last two (2) updated versions are also kept in the lock box. The records also include information regarding the deposit records. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name and date online game(s) added or updated; source code; deposit records; name of vendor; Bank name and address; date and time of transaction with bank |
| | Retention and Disposition | Retain in Agency two (2) years from transaction date and update as needed. |
| 05999 | Information Security Internal Audit Files | This series documents information on the checks and balances on internal audits performed by Information Security Department on each department within the Kentucky Lottery Corporation (KLC). KLC also contracts with an outside external auditor who performs audits within KLC. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: date, time, and department an internal audit is conducted; name of employee conducting audit; the name of employee being audited; summary of findings. |
| | Retention and Disposition | Retain in Agency until (1) year from audit date, then destroy. |
| 06001 | External Audits | This series documents the external audits completed by outside vendors contracted by Kentucky Lottery Corporation for purposes of vulnerability and penetration testing. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date and department external audit was conducted, audit results. |
| | Retention and Disposition | Retain in Agency and destroy one (1) year from date external audit conducted. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Legal

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 03848 | Super Sports Litigation File | <p>CLOSED-- This series is no longer created by the Agency.</p> <p>This series documents the legal activity of the suit filed against the Kentucky Lottery Corporation (KLC) by the Kentucky Thoroughbred Association (KTA) in October, 1989, in order to prevent the startup of the Super Sports Lottery Game. The game was based on the outcome of professional football games, but was not identified or associated with any particular team. The KTA felt the game was not based on chance, but on skill. Initially, the KTA won, but the KLC appealed, and the decision was reversed by the State Appellate Court. Governor Wallace Wilkinson intervened, however, and requested the Lottery to refrain from implementing the game.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Transcript; Motions; Opinions; Correspondence with Attorneys; News releases; Memoranda; Copies of newspaper articles.</p> <p>Retention and Disposition Retain in Agency three (3) years and transfer to State Archives for permanent retention.</p> |
| 03850 | Game File (V) | <p>This series documents the rules and regulations for the games implemented by the Kentucky Lottery Corporation. This file governs the prize structure, drawing procedures, audit information, description of tickets, trademark verification, and how the game is won. It reflects the details of any supplemental drawings that may be part of the game. The President and CEO, or the designee, has the responsibility for game development and implementation of games. All aspects of the games are coordinated and approved.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Working papers, rules and regulations of games, trademark verification, auditor's reports, drawing procedures.</p> <p>Retention and Disposition Retain until three (3) years after game ends and audit, then destroy.</p> |
| 05970 | Kentucky Lottery Corporation Retirement Plan/Cafeteria Plan (V) | <p>This series documents the Kentucky Lottery Corporation employees' retirement plan (including amendments and updated plans, which provides for employee retirement benefits) and the cafeteria plan (including amendments and updated plans, which provides for benefits under Section 125 of the Internal Revenue Service Code, some of which can be paid for with pretax deductions from wages).</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Correspondence, retirement plan, amendments, renewals, publications, benefit information.</p> <p>Retention and Disposition Retain until three (3) years after expiration of the plan, then destroy.</p> |
| 05997 | Trademark Files (V) | <p>This series documents the trademark and service marks registered by the Kentucky Lottery Corporation (KLC). The trademarks and service marks are used for advertisement purposes and identifies intellectual property owned by KLC.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Correspondence, designs, renewal information, official gazette, trademark registration.</p> <p>Retention and Disposition Retain in Agency permanently.</p> |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

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Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Legal

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|---|
| 06002 | Litigation Files | This series documents the Attorney working litigation files when the Kentucky Lottery Corporation is a party to a case, including but not limited to retailer collection files, vehicle accidents, bankruptcy/foreclosure, personnel actions, and other court cases. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Names of parties, addresses, Social Security numbers, correspondence, copies of retailer licensing file (03872), releases, Secretary of State verification, copy of filing fees, certified mail information, Internal Revenue report, account statements, pleadings, discovery documents, research documents, disclosure statements, settlement agreements, police report, employee statements, copy of settlement check, copies of financial invoices, copies of Order of Wage Garnishments, Child Support Orders, Equal Employment Opportunity Commission complaints and responses, unemployment issues, employment agreements. |
| | Retention and Disposition | Retain in Agency and destroy five (5) years after case closure and all appeals have been exhausted. |
| 06003 | Kentucky Lottery Board of Directors Information (V) | This series documents information specific to each Board Member of the Kentucky Board of Directors. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name, address, phone number(s), Social Security number, date of birth, employment status and history, education background, family information, Conflict of Interest Statements, Proxy Forms. |
| | Retention and Disposition | Retain permanently in Agency. |
| 06004 | Retailer Letter of Credit Files | This series documents the Kentucky Lottery Corporation's attempt to allow potential retailers who have an inferior credit rating to become retailers. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Retailer name, address, Social Security Number, and phone number; Letter of Credit; Amendments; correspondence and certified mail information. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 06005 | Complaint File | This series documents complaints filed against the Kentucky Lottery Corporation (KLC) by the consumer/public regarding the KLC products and/or behavior. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Written complaint, Name and address of complainant, research, resolution, correspondence, Attorney General response. |
| | Retention and Disposition | Retain in Agency and destroy five (5) years from date of resolution of complaint. |

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Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Operations

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 06000 | Fleet Management and Motor Vehicle Reports | This series documents the driving record of Kentucky Lottery Corporation (KLC) employees authorized to operate vehicles owned or in the possession of KLC for purposes of conducting official business. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Employee name; vehicle assigned to employee; employee driving records and current operator's license, including Commercial Driver License (CDL) and CDL physicals, if applicable; date when vehicles are checked out and returned; mileage driven; correspondence; copies of traffic violations issued to driver. |
| | Retention and Disposition | Retain in Fleet Management until employee terminates employment with Kentucky Lottery Corporation; transfer to Human Resources to be included in Personnel File, P0037. |
| 06516 | Navigational and Tracking Data | This series documents data from navigational and tracking devices, including Global Positioning System (GPS) information, for vehicles purchased and owned by Kentucky Lottery Corporation (KLC) and solely for the agency's use to conduct business. The information from these devices assists in ensuring efficient vehicle operation. KLC contracts with a vendor to provide this service who retains the information; however, KLC is provided access to the information through the web for a period of six (6) months. The information is then purged by the vendor. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Vehicle license plate number, date and time of vehicle usage, locations by longitude and latitude, speeds, starting and stopping times. |
| | Retention and Disposition | Retain in sgerncy for six (6) months. The vendor deletes the information after this period. |

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**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Sales and Marketing

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|---|
| 03886 | Special Events, Exhibits, Fairs, and Expos File | This series documents the information used in planning an event or exhibit -- details of space allowances, staff required, types of games focus, promotional information, etc. It is compiled as information is received and utilized. It may be referred to each year for budget planning, promotional ideas, recommendations, and evaluations of what was successful for future events and activities. This type of file is often used as new games are about to be implemented, especially if some training is required in playing the game. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Memoranda, Staff working event, event dates and times, budget information, information and instructions from place of event (mall, fair, etc), attendance, evaluation of event, recommendations for next event or year. |
| | Retention and Disposition | Retain permanently in agency. |
| 03888 | Marketing and Sales Research File | This series documents sales and research information related to games and player demographics. It also includes Census information for the state, sales information, data regarding the quarterly retailer incentive plan, sales trends of other state lotteries, reports documenting playership and advertising awareness, ongoing game research, and research concerning new games. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Codes, Cash history reports, Lottery trends, Miriad Briefing Books, Reports (Game, surveys, and miscellaneous studies), ongoing research projects, Trends (player profile by game, Powerball player demographics, scratch player demographics), New games research findings. |
| | Retention and Disposition | Retain in Agency five (5) years and destroy. |
| 03889 | Media Schedules File | This series documents the planning implementation of media schedules, including television and radio spots, purchased to advertise Kentucky Lottery Corporation products and promotions during specific weeks, days, times to run, and costs. The record reflects the rates, total spots, and length of advertising spot. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Budgets for media expenses, actual media expenses, media plans and schedules, media flow charts, media traffic instructions, correspondence. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 03891 | Promotion File | This series documents the planning materials for promotions to stimulate public interest in playing lottery games. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Proposals, Budget, Rules and Regulations, Time lines, Memoranda, Production Request Forms, Flyers, Brochures, Drawing Sign-Offs, Winner Contact Information. |
| | Retention and Disposition | Retain in Agency two (2) fiscal years and destroy. |

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STATE AGENCY RECORDS
RETENTION SCHEDULE

General Government
Kentucky Lottery Corporation
Sales and Marketing

Record Group
Number
1783

| Series | Records Title and Description | Function and Use |
|--------|--|--|
| 05957 | Instant Game File (V) | This series documents each instant ticket lottery game implemented by the Kentucky Lottery Corporation from creation through production to street sales. These files are used to track progress and approvals throughout each state of the process along the way from art and prize structure approval, printing, packaging and delivery processing to security and audit approval. Additionally, each game requires a trademark letter of clearance, which is provided by our printing vendor, as well as official game rules/regulations, which are created by our Legal Department. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Instant lottery game design notes, approved ticket artwork, approved prize structure, correspondence, trademark verification, official game rules and regulations, point of sale materials, sample tickets, vendor quality assurance lab report, delivery information and start-up sheet, Purchase Requisition and Right to Use contract (for licenses or proprietary property games). |
| | Retention and Disposition | Retain in Agency until six (6) months after game's last date to claim prizes. |
| 05969 | Mailing List | This series documents the evolving list of players that have opted-in or opted-out of receiving communication regarding all games from the Kentucky Lottery Corporation. The players' information is stored electronically. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Player information which is name, address, date of birth, game preference. |
| | Retention and Disposition | Retain current information permanently in Agency and update as needed. |
| 05991 | Creative Briefs | This series documents the game information and creative direction that is necessary for the production of any promotional information for Point of Sale (POS) and/or television and radio advertisements created in support of the game and/or promotion. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Game information, promotion planning information, relevant dates, identifies the media for promotion, costs. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 05992 | Final Art, Production Schedule, and Print | This series documents the final artwork that has been approved by Kentucky Lottery Corporation officers for final production of point of sale (POS), flyers, outdoor boards, business art, print advertisements, business cards, stickers, and web art for promotional purposes of the lottery games. This series also documents the production schedule and print orders for the jobs requested from the Production Department regarding the production of these items. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Final art and/or graphic picture of art, print orders for the final approved artwork used for print ads and/or POS created/produced for a promotion or product, due dates of production, name of job requestor, type and quantities of promotional material, names of the Print Shop Operator and Graphic Artist. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after last date of usage. |

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Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Sales and Marketing

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 05993 | Lottery Sales Representative Returns Listing (Partial Pack and Full Pack) | This series documents any returns of lottery games, including partial returns, that were completed the previous day by the sales representative at the online terminal located at retail. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date and time of return, warehouse, sales representative name and number, retailer name and number, game and pack number, total number of packs returned by sales representative. |
| | Retention and Disposition | Retain in Agency six (6) months and destroy. |
| 05994 | Return Ticket and Inventory Activity Receipts | This series documents the Kentucky Lottery Corporation (KLC) sales representatives' activities at retail as well as summaries of the retailers' credit due to returns of partial and full packs of lottery game tickets as ascertained by the sales representatives. The sales representative completes the receipt documenting the retailer's credit amount, the original is returned to the KLC office, and the retailer receives a copy of the transaction. This allows for inventory control of all returns of partial and full packs of lottery game tickets. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date of transaction; retailer name and number; sales representative name and number; full and/or partial pack details including game number, ticket numbers, quantity and value of tickets; return summary; credit amount to retailer; reference number; and signatures. |
| | Retention and Disposition | Retain in Agency and destroy one (1) year after transaction date and internal audit. |
| 05995 | Partial Pack Ticket Listing and Verified Inventory | This series documents partial returns at the online terminal located in the retailer location and the manual partial returns that are unable to be returned through the online system. The retailer receives a credit for the returns. The Kentucky Lottery Corporation sales representatives return the partial packs of instant and pull-tab games to the warehouse. This series also documents the inventory of these partial returns. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Verified date of return, reference number, retailer name and number, default warehouse, sales representative name and number, disposition, game and pack numbers, ticket quantity, credit amount. |
| | Retention and Disposition | Retain in Agency and destroy one (1) year from date of return and audit. |
| 05996 | Pack Ticket Listing | This series documents the inventory of the physical ticket stock located at each Kentucky Lottery Corporation (KLC) regional office and in the custody of the KLC sales representative. This allows for quality control assurance of the tickets, and inventory is accounted daily. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date of inventory, game name and number, game pack number, warehouse number, date received into the warehouse, description, total of tickets. |
| | Retention and Disposition | Retain in Agency one (1) month and destroy. |

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General Government
Kentucky Lottery Corporation
Sales and Marketing

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 06008 | Annual Retailer Incentive Plan | This series documents the annual incentive programs for retailers to promote lottery sales. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date, Goals, objectives, incentive rates, incentives for online games. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years from date of incentive and audit. |
| 06009 | Sales Team Plan | This series documents the incentives for Kentucky Lottery Corporation Sales Representatives to promote lottery games. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date, rate of incentive for sale representatives, detailed plan. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years from date of incentive plan. |

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**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Sales and Marketing
Communication

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 05965 | Ticket Tracking Log for Corporate Sponsorships and Community Events | This series documents the requests for scratch-off lottery tickets and/or premium items given as donations through the sponsoring of community affairs as stated in the Community Affairs Sponsorship Policy. The purpose is to assist the Kentucky Lottery Corporation in maintaining a strong relationship with the minority community and the community at large. Requests are directed to a specific Kentucky Lottery Corporation employee. Premium items include but are not limited to t-shirts, mugs, and umbrellas with the Kentucky Lottery logo. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name of business or event requesting donation, date of event, game and packet number list(s) of the tickets donated, quantity and value of tickets, date tickets are activated and picked up, name of responsible person picking up tickets, proof of non-profit status. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy. |
| 05990 | Customer Goodwill Coupon Reporting Log | This series documents the log used to track coupons given to lottery players who have experienced a problem with a service or product and the Kentucky Lottery Corporation has deemed it necessary to provide compensation through the use of coupons. Complaints are received either through letter, phone, and/or through Customer Service email. Coupons currently being issued are for a free scratch-off ticket having a value of one dollar (\$1.00). |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date, Coupon numbers, customer name, reason code and explanation of why coupons were given. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after date of issuance of coupon. |

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**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Sales and Marketing
Internal Sales

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--------------------------------------|---|
| 05956 | Hot Ticket List | This series documents the monthly top selling instand and pull-tab games for purposes of research and assisting in determining the types of instant and pull-tab games in the future. The list is updated monthly and distributed to the sales staff. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: List of individual instant and pull-tab games, number of sales for each game, ranking in sales. |
| | Retention and Disposition | Retain in Agency one (1) year and destroy. |
| 05958 | Order Line Spreadsheet | This series documents the orders of instant and pull-tab games called in the Kentucky Lottery Corporation headquarters by retailers after hours and to individual Internal Sales Associates. The spreadsheet allows personnel at the Lottery Corporation Headquarters office to track and monitor the orders. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Sales Associate name, date and the number of orders taken by Sales Associate. |
| | Retention and Disposition | Retain in Agency one (1) year; destroy. |
| 05959 | Ticket Problem Tracking | This series documents the tracking of packets of lottery tickets by Kentucky Lottery Corporation sent unconsigned to retailers and are used by the Warehouse Managers. The tracking system allows Kentucky Lottery Corporation to monitor any extra packets or packets that were not scanned and mistakenly sent to the unconsigned retailers. Once the problem is discovered, Kentucky Lottery Corporation removes the packet out of warehouse status, sells the pack to the retailers and then is available for sale to the public. The information is used for performance appraisals. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Retailer number, External Sales Representative number, Packet Number involved, Status of the packet, Name of person who transferred the packet, Name of person who packed the Order, question requiring a Yes/No answer re if it was a warehouse mistake. |
| | Retention and Disposition | Retain in Agency one (1) fiscal year; destroy. |

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**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Sales and Marketing
Promotions

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|---|--|
| 05968 | Promotional Coupon Request Forms and Ticket Logs | This series documents the requests for coupons by the departments within Kentucky Lottery Corporation for promotional use. All requests are approved by the Vice President of Marketing, Promotions Manager, and Director of Research and Planning. After approval, the coupons are then created. This series also documents the monthly ticket logs, reports, reconciliation, and summaries pertaining to promotional tickets used by the sales force to promote lottery games and offer goodwill to players and retailers. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Form stating purpose of the coupon, intended distribution, activation dates, and quantities needed. The Ticket Log contains regional reports, activation logs, ticket assignments, promotion details, allocation information, summaries, approvals, signatures, reconciliations. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |

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**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Security

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 03853 | Drawing Security File (V) | This file documents the security procedures and verifies the actual events and results of a drawing for lottery games. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Tickets meeting supplemental drawing criteria, Copy of winning ticket, Completed Security Forms used for the drawing. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 03854 | Employee Security File (V) | This series documents pertinent information relative to each Kentucky Lottery Corporation (KLC) employee for security purposes. It provides the KLC with the security clearance necessary for the administration and operation of the agency. This series will reflect name changes, residents in an employee's home, and an agreement that the employee and/or residents in his/her home, will not purchase lottery tickets while employed by the KLC. Because of the nature of the business of the KLC, this information is of primary concern to the agency during one's employment. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Copy of application for employment, consent for background investigation form, in-state and out-of-state criminal background reports, education verification, previous employment verification, driver's license verification, Employee/Household Ineligible Player Declaration, fingerprint card, announcement of acceptance of employment at Kentucky Lottery Corporation, Investigation form. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after termination of employment. |
| 03880 | Promotional Ticket Request File | This series documents the tracking of lottery tickets for promotional purposes from the warehouse to the Kentucky Lottery Corporation employee making request. The form includes lottery employee who receives the tickets, the exact number of tickets assigned, and the specific event or retailer the tickets are needed. An authorization form is completed for the transfer of tickets from the warehouse to Sales and Marketing. The file documents the "transfer of ownership" of the tickets and serves as an inventory control method for the movement of tickets. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Procedures to request tickets, Ticket Request Form (Name of requestor, department, type of ticket, promotion of tickets, date needed, ticket quantity, monetary value, approvals of department head, security, online coordinator, if applicable), Attachments (Online game). |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after closure of game and audit. |
| 04123 | Online Games Drawing Equipment Testing File (V) | This series documents the pre-test results of the balls/Random Number Generator (RNG) used for each online lottery game, official Winning Numbers, seal numbers on ball safes/RNGs, location and time of drawings, loading of instant game products, quality assurance and integrity testing for instant games performed by contracted third party ticket vendors, and any unusual incidents or circumstances that may have occurred during a drawing (power outage, staff unavailability). The contract auditors submit quarterly activity reports to the Lottery Corporation and the State Auditor to verify that established policies and procedures were complied with and that no unusual circumstances occurred. Online game prizes are valid for one hundred eighty (180) days. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date, Draw Activity Report, Attendance Record, Ball Weight form, Final Checksum RNG, Winning Number Fax, RNG Game Specific Official Winning Numbers Report, Fax confirmation of Official Winning Numbers reports, Draw Security Officer, Checklist/Security Camera Checklist, Copy of External Auditor Agreed Upon Procedures, Unusual Incident Report, quality assurance and integrity testing for instant games by third party vendors, documentation regarding the testing and loading of instant game products. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |

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**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Security

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|---|--|
| 04319 | Security Investigation File (V) | This series documents the investigative activity of claims that threaten the security and integrity of Kentucky Lottery Corporation (KLC) business. A small percentage of investigations are the result of illegal gambling operations by a retailer, retailer theft, or internal problems, but the bulk of the investigative files consists of stolen lottery tickets. The retailer contacts the local police to report the stolen tickets and notifies KLC so a stop payment on stolen tickets may be issued. KLC Security may have information that will assist local police in an investigation or testify in court, if necessary, but security staff do not have enforcement authority in the public domain. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Investigation Control Form, Time, Date, Nature of Investigation, Synopsis, Resolution, Local/State Police Authorities Contacted (Who, When), Lottery Senior Management/Regional Manager/Lottery Department Manager Notified (Who, When), Investigator Assigned, Date Assigned, Date to be resolved by, Copies Distributed to/Date Distributed, Signature of Security V.P., Correspondence. |
| | Retention and Disposition | Retain in Agency and destroy five (5) years after closure of the case. |
| 04320 | Security's Winner's Claim File (V) | This series documents the authentication and documentation of online prize claims of fifty thousand dollars (\$50,000) or more. Validations processes the winning prize and checks for outstanding taxes due or child support payments owed. There are five (5) steps in the process: 1) a "vision snap shot" is made of the ticket; 2) Transaction Master Inquiry Report (TMIR) reflects the transactions of the retailer's terminal, verifying the winning number on a particular machine; 3) sign-on slip from retailer which is a series of sixteen (16) unique numbers each day; 4) a Selling Retailer (SR) number on the back of a ticket is checked withGTECH's number for any particular day; and 5) G-Guard, a system diskette with each of the following numbers that must match up: the retailer's number, terminal number, G-Guard number, ticket number, the sixteen (16) digit number. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Copy of Winner's Claim Form (Name, address, demographic information), Sign-on slip, TMIR form, G-Guard, Copy of Winning Ticket, Copy of Vision Snap Shot, Copy of SR number |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 05972 | Seal Control Logs (V) | This series documents the log used for protection of the ball safes, Random Number Generator cabinets, the draw site facility/area, storage rooms, and the Digital Video Recording cabinet. Any and each time an employee accesses any of these areas, an entry into the Seal Control Log shall be completed for security purposes. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date of accessing area(s), employee name, verification of numbered seals, applied numbered seals. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 05974 | Powerball and Win for Life Reports (V) | This series documents the drawing results for the Powerball and Win for Life lottery games. Both games are a part of the Multi-State Lottery Games (MUSL) based in Urbandale, Iowa. Kentucky Lottery Corporation began participating in the Powerball Lottery games in 1992 and the Win for Life Lottery games in 2006. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: winning numbers, sales reports (including sales for each state participating in games). |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after audit. |

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RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Security

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|---|
| 05975 | Draw Related Schedules (V) | This series documents the schedules for activities and planned personnel, including but not limited to the Draw Assistant, Draw Security Officer, and Production Vendor; ball weighing and the closing graphics of a lottery live draw show. The schedules are used for security purposes and due to the sensitive nature of live draw shows, strict controls are necessary. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Draw Assistant Schedule; Draw Security Officer Schedule; External Audit Schedule; Ball Weighing Schedule; Closing Graphics of Live Draw Show; Production Vendor Schedule; Information Security On-Call Schedule; Talent Scripts; Important Phone Numbers List. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after audit. |
| 05976 | Security Online Winner's Unclaimed File | This series documents the unclaimed online lottery prizes in the amount of fifty thousand dollars (\$50,000) or more. KRS 154A.110 (3), "unclaimed prize money may be retained by the Kentucky Lottery Corporation and added to the pool from which future prizes are to be awarded or used for special prize promotions or may be appropriated by the General Assembly directly from the Corporation for any public purpose." And, pursuant to KRS 164.7877, unclaimed prize money may be used to fund the Kentucky Educational Excellence Scholarship Grant Fund. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Online Tracking form, JFI report, ticket stock sample, ticket stock report |
| | Retention and Disposition | Retain in Agency and destroy three (3) years from last date of claim and audit. |
| 05977 | Security Complaint Log | This series documents complaints from retailers and players to Security Department. The information is used to identify issues, patterns, and trends related to Lottery Corporation integrity. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Nature of complaint and resolution; Date received and date of complaint; case number and retailer, if applicable. |
| | Retention and Disposition | Retain in Agency and destroy five (5) years from date of resolution of complaint and audit. |
| 05978 | Retailer Compliance Report | This series documents retailer inspections performed by investigators in the Security Department. The inspections ensures compliance with the agreement between the retailer and Kentucky Lottery Corporation and is used to aid retailers in security awareness and accountability. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date of inspection, name of inspector, retailer name and number, checklist of security issues, tips and recommendations for preventing internal theft. |
| | Retention and Disposition | Retain in Agency and destroy five (5) years from date of inspection. |
| 05989 | Instant Ticket Testing Reports (Vendor) (V) | This series documents the scientific testing of instant games performed by vendors, and submitted to the Kentucky Lottery Corporation. The results and conclusions are used for comparison by the Kentucky Lottery for quality assurance and integrity. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Results, Conclusions, and Opinions of scientific results; Game name and number; date of testing; name of vendor performing testing. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after date of game ending. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Security

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 06010 | Insider Claim Log | This series is a log which documents the occurrence of insider claims of more than five thousand dollars (\$5,000). It is used to monitor insider claims for patterns and trends and to identify individuals making the claims. The log is used for reporting to executive management. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Claimant name, claim number, prize amount, type of game, summary of review and resolution. |
| | Retention and Disposition | Retain in Agency and destroy five (5) years from date of review and resolution. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

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**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Validations

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 03873 | Winner's Claim File (V) | This series documents the information necessary to process a winner's claim. The main objective of Validations is to ensure that every claim form and/or ticket issued by the Kentucky Lottery Corporation is accounted for and either promptly paid or otherwise disposed of in a timely manner in accordance with procedures and rules of the game. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Winner's name, Social Security number, date of birth, resident status, resident address, resident phone number, prize amount, Ticket and Validation numbers, Date purchased, Check numbers, Claim numbers, Authorization numbers. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 03903 | Debt Set-Off Summary Report | This series documents amounts that have been withheld from prize winnings due to a debt owed to the Kentucky Department of Revenue, Kentucky Child Support, and/or Kentucky Higher Education Department. The Kentucky Lottery Corporation sends a check to each agency on a bi-monthly basis if any prizes are withheld. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name of Winner, Social Security number, Total Debt, Amount Withheld, Type of Debt (Tax or Child Support or education loan), copy of check. |
| | Retention and Disposition | Retain in Agency seven (7) years and destroy after audit. |
| 03904 | Federal Withholding Tax Payment Report | This series documents federal taxes withheld on winners of five thousand one dollars (\$5001) or more. The deposit is made daily through electronic transfers. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Winner's name, address, Social Security number, Claim number, Game reference, prize amount, amount of taxes withheld, resident code, deposit settlement date, reference number. |
| | Retention and Disposition | Retain in Agency seven (7) years and destroy after audit. |
| 03905 | State Tax/Withholding Report | This series documents state taxes withheld from winner's prizes of five thousand one dollars (\$5001) or more. The deposit is made daily through electronic transfer of funds. Form K-1E is completed on a quarterly basis to compile deposits made. Form K-3E is completed annually to compile all deposits. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Winner's name, address, Social Security Number, Claim number, game reference, prize amount, amount withheld, resident code, Deposit settlement date, reference number. |
| | Retention and Disposition | Retain in Agency seven (7) years and destroy after audit. |
| 03912 | Daily Claimed Prize Report | This series documents all prizes claimed daily at each Kentucky Lottery Corporation Claim Center and includes tickets mailed to the Claims Department in Louisville, Kentucky. It identifies the prize amount and a total amount for each office. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date, time, Claim center and location, Game number, Claim number, Warrant number, Claimant name, pack/ticket number, claim date, prize amount, federal withholding, state withholding, additional withholding amounts, net amount, non-cash amount. |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |

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**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Validations

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|---|
| 03913 | Daily Warrant Register | This series identifies all warrants (checks) issued at each regional claim center daily. It is matched up with series 03912, Daily Claimed Prize Report. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Date/Time, Warrant number, Name of winner, Warrant Type (Low, Mid, High-Tier), Game Number, Game, Issue Date, Warrant Amount, Claim number, Warrant Status, Warrant Reason. |
| | Retention and Disposition | Retain in Agency three (3) year and destroy after audit. |
| 03957 | Winner Information File | This series documents the high-tier winners' contact information for the Communications Department. The information is needed for media inquiries as well as upcoming Public Relations campaigns and events. A "high-tier" winner refers to a winner who has won one hundred thousand dollars (\$100,000) and more. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Duplicate of claim form, copy of the winning ticket, news releases, photos, date of prize won, winner's name, Social Security number, date of birth, sex, resident status, address, phone number and other contact information, retailer name and address, claimant signature, claim date. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years from the date a winner has been validated. |
| 04124 | Gambling Winnings Form File | This series documents the winnings of participants of six hundred one dollars (\$601) or greater, including the federal and state taxes withheld. It is created at the end of each year from the Lottery Back Office System. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Payer's name and address, Federal ID number, Winner's name and address, Gross winnings, Federal income tax withheld, Date won, Winner's taxpayer ID number (social security number), State/Payer's state ID number, State income tax withheld, Signature, Date. |
| | Retention and Disposition | Retain in Agency seven (7) years and destroy after audit. |
| 05961 | Winning Numbers Listing of Online Games | This series documents a listing of winning numbers per draw for all Kentucky Lottery Corporation online games. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Game name, draw date, winning numbers drawn. |
| | Retention and Disposition | Retain in Agency five (5) years from date of drawing; destroy. |
| 06006 | Current Annuity Winner Listing | This series documents the name, annual payment amount, total payments of annuity, and game won. This also documents the Win for Life winners who receive quarterly payments. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Payee's name, annual payment amount, date won and payment terms, game, Validation date of ticket, Cash Payment option, Annuity Payment option, date election must be made, cash option amount, winner signature. |
| | Retention and Disposition | Retain in Agency and destroy seven (7) years after winner's final annuity payment has been made. |

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Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Validations

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|---|
| 06007 | Grand Prize Election Form for Powerball Jackpot | This series documents the Powerball grand prize winner's option to take annuity payments or the lump sum cash option. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: information regarding the validation date of ticket, cash payment option, annuity payment option, date election must be made ash option amount, winner signature. |
| | Retention and Disposition | Retain in Agency and destroy three (3) years after payment date and audit. |

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Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Kentucky Lottery Corporation
Warehouse

**Record Group
Number
1783**

| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 03857 | Shipping/Receiving Report | This series documents the receipt of goods or supplies from a vendor and authorizes payment for the same. It identifies the items on order and amounts due. It will also identify accounts to which purchases are charged. The bulk of the goods, particularly housed at the Warehouse, are tickets. However, office supplies and equipment are often received there. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name/address of Lottery Corporation, Date of Shipment, Name/address of vendor, Order number, Game number and name, Quantity of packages/cartons delivered, Truck carrier number and name, Ticket Summary (number of tickets/cartons). |
| | Retention and Disposition | Retain in Agency three (3) years and destroy after audit. |
| 03858 | Daily Inventory Log | This series documents results from the weekly inventory counts conducted by warehouse personnel on all active instant game located in the warehouse and used for internal control. Inventory results are recorded on the Daily Inventory Log and maintained for reference. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Game names, game numbers, inventory results, scratch off return receipts, pull tab return receipts. |
| | Retention and Disposition | Destroy one (1) year after closure date of game. |
| 03958 | Inventory Balance Inquiry for Returned Tickets Report | This series documents the daily status and account balances of game tickets returned from retailers. Each regional office/warehouse has responsibility for game tickets (see series 03880, Ticket Request File). This series aids each regional office/warehouse in managing the inventory it is accountable for, particularly when game tickets are returned and retailers are reimbursed or credited for tickets they do not use or games they elect not to participate in. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Partial/Full return, Ticket numbers (from-through), Count, Dollar amount credited to retailer, Retailer number and address, Game number/Pack number, Date of Return, Assigned reference number Printout--Previous Totals, Orders, Net Transfers, Maintained, Issues>Returns, Total Tickets. |
| | Retention and Disposition | Retain in Agency one (1) year and destroy after audit. |
| 04125 | Shipping Manifest (V) | This series documents the number of tickets printed and purchased per game and packs shipped. This series is for instant tickets only, not online games. Shipping manifests are received from the ticket manufacturer and used to verify the number of tickets and packs received for each game by the central warehouse. This information is also received by the Lottery Security Department on magnetic tape by manufacturer and input on the Lottery Back Office System. Once a game is closed, an end of game inventory is performed to reconcile all unsold packets/tickets. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name of vendor or manufacturer who ships instant games, carton number, pack range, number of pallets shipped, number of tickets shipped. |
| | Retention and Disposition | Retain in Agency and destroy 3 months after ending of game and audit. |