



Department of Parks

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

Department of Parks 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 Department of Parks.

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 Department of Parks, 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 of Parks

In 1924 the State Park Commission was created. In 1936 its functions were vested in the Division of Parks in the Department of Conservation. The Department of Parks, created in 1960, administers and operates the Kentucky State Park System, under the authority of KRS Chapter 148. The Department encourages the tourism industry in Kentucky by providing resort park development in areas of low tourist impact, with emphasis on stimulating and creating a demand to be served by private enterprise investment. It provides recreational facilities and protects historically significant sites and natural phenomena in Kentucky.

RECORDS RETENTION SCHEDULE

Signature Page

Department of Parks
Agency

June 9, 2011
Schedule Date

Unit

June 8, 2017
Change Date

June 8, 2017
Date Approved By Commission

APPROVALS

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

Donni Holland
Agency Head

05/08/2017
Date of Approval

Rose Marie
Agency Records Officer

05/08/2017
Date of Approval

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

6/8/17
Date of Approval

[Signature]
Chairman, State Archives and Records Commission

6/8/17
Date of Approval

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

Joseph Isaac
Records Analyst/Regional Administrator

May 8, 2017
Date of Approval

[Signature]
Appraisal Archivist

6/8/17
Date of Approval

[Signature]
State/Local Records Branch Manager

05/30/2017
Date of Approval

The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

6/8/17
Date of Approval

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Parks, Department of

Record Group
Number
2040

| Series | Records Title and Description | Function and Use |
|--------|-----------------------------------|--|
| 06134 | Historic Collections | This series documents the historical collections held by the Kentucky Department of Parks. The Department collects, maintains and preserves authentic records, information, facts and relics connected with the history of state historic sites and parks where historic sites are located. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Audio recordings, video recordings, artifacts (furniture, fine art, flags, textiles, farm equipment, machinery, automobiles, clothing, decorative arts, weapons, etc.), books, broadsides, genealogies, microform, pamphlets, manuscripts (letters, speeches, sheet music, research notes, etc.), photographs, maps, negatives (glass plate, safety film, nitrates, etc.), slides, lantern slides, business records, related documents and related correspondence. |
| | Retention and Disposition | Retain in agency. Contact the Archives and Records Management Division before public records are deaccessioned and contact the Kentucky Historical Society before items/artifacts are deaccessioned, destroyed or the Department of Parks ownership is otherwise ended. |
| 06833 | Park Volunteer Application | This series documents those who participate as volunteers for resort parks, recreational parks and historical sites at Kentucky State Parks. Volunteers perform a number of duties such as ambassador, campground host, clerical assistant, food service attendant, general maintenance, golf course volunteer, groundskeeper, horticulturist, photographer, program specialist, researcher, resource steward, tour guide, or trails steward. Volunteers must apply annually. |
| | Access Restrictions | KRS 61.878 (1)(a) - Regarding Personal information. Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name, address, SSN, phone number, email contact, relevant medical condition, job title, name of park, and date of service. |
| | Retention and Disposition | Retain applications for five (5) years, then destroy. |

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Parks, Department of
Accommodations and Customer Service, Division of

Record Group
Number
2040

| Series | Records Title and Description | Function and Use |
|--------|----------------------------------|---|
| 06138 | Guest Registration Cards | This series documents state parks guest registrations. At the time of check in, park guests are asked to provide their name, address, contact information and vehicle information. This information is generally used to identify guest vehicles within the park. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Guest name, contact information and vehicle information. |
| | Retention and Disposition | Retain in agency for two (2) years, then destroy. |

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Parks, Department of
Facilities Maintenance and Management, Division of

Record Group
Number
2040

| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 03773 | Blueprint and Specifications Files | This series documents the planning, designing and construction of projects undertaken by the Department of Parks. The Department of Parks may develop projects up to \$250,000. Projects above that figure are placed open for contract bids. This series is used during the original construction and for future reference in case of renovation. The projects could be anything from a shelter to a marina. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Blueprints, specifications (architectural and structural), survey information, cost estimates, aerial photographs and shop drawings. |
| | Retention and Disposition | Retain in agency. Transfer to the State Archives Center for permanent retention when administrative need has ended. NOTE: A copy of Plan Index, series 03774 must accompany these records when transferred. |
| 03774 | Plan Index | This series documents the drawing number of a plan and is used to provide quick access to the blueprints so that the searcher does not have to randomly search through the Blueprint and Specification Files (03773). Plans dating from 1923 to 1940 in the State Archives Center are not included. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Drawing number, title of drawing, date and remarks (5 x 8 cards). |
| | Retention and Disposition | Retain permanently in agency. NOTE: A copy of this index must accompany series 03773, Blueprint and Specifications when transferred to the State Archives Center. |
| 06139 | Federal Development Funds Files | This series documents the Department of Parks recreation construction projects funded by the Bureau of Outdoor Recreation, the Economic Development Administration, the Land and Water Conservation Fund, the National Recreational Trails Fund, etc. The Series documents all recreation construction projects where funding is received through any of the various federal economic development programs that mandate documentation be maintained in perpetuity. Projects may include trails, park lodges, marinas, picnic areas, swimming pools, tennis courts, etc. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Project number, plans, maps, photos, proposals, payment documents, invoices, warrants and related documents. |
| | Retention and Disposition | Retain in agency. Transfer to the State Archives Center for permanent retention when administrative need has ended. |
| 06140 | ARRA Construction Projects Files | This series documents Department of Parks construction projects funded through loans provided by the American Recovery and Reinvestment Act (ARRA) of 2009 (PL 111-5). This series is distinguished from all other Department of Parks construction projects which receive federal funding only in that the funding is from ARRA. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Project number, plans, maps, photos, proposals, payment documents, invoices, warrants and related documents. |
| | Retention and Disposition | Retain in agency for twenty (20) years after project closed, then destroy. |

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Parks, Department of
Finance, Division of

Record Group
Number
2040

| Series | Records Title and Description | Function and Use |
|---------------|---|--|
| 03757 | Capital Construction File | This series represents the fiscal records related to the Department of Parks capital construction projects. Projects may include: park lodges, marinas, picnic areas, swimming pools, tennis courts, etc. Included in this series are all force accounts and line item projects. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Project number, proposals, payment documents, invoices, warrants and related fiscal documents. |
| | Retention and Disposition | Retain in agency for eight (8) years after completion of project and audit, then destroy. |
| 03777 | Night Audit/Daily Business Files | This series documents the complete daily sales for state parks including, but not limited to: front desk sales, campground sales, restaurant sales, gift shop sales, pro-shop sales, recreation sales and stable sales. This Series contains the night audit documentation and the Daily Business Report (DBR) documentation. Night audits are completed after each business day and the following day the DBR is completed and entered into eMARS as a JV2P. The DBR is sent to the Division of Finance. From this report, monthly sales reports that include historical comparisons for the month and year-to-date are produced for each park. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Accounts receivable documentation, accounts payable documentation, amount of sales, code for sales, cash short or over, returned checks from bank (bad debt), return of Master Charge/Visa, central office refunds, explanation of inter-accounts, inter-account transaction documents, explanation of uncollectable accounts that have been written off, park refunds, American Express discount, explanation of other charges and other credits, less deposit to local bank. |
| | Retention and Disposition | Retain in agency for eight (8) years after transaction date, then destroy. |
| 03780 | Bad Debts File | This series documents the information used by the Department of Parks to write off bad debts incurred at state parks. The Division of Finance writes off the debt and this series is used to provide documentation to that entry in the Daily Business Report (DBR) (series 03777) for the auditor. The information in this series is sent to the Department's attorney for collection on the bad debts, such as cold checks, or visitor leaves without paying (KRS 413.120). If the debt is collected the DBR is adjusted accordingly. |
| | Access Restrictions | KRS 61.878 (1)(a) Personal Information - SSN.. Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Daily folio, correspondence, cold checks and bad debt information card. |
| | Retention and Disposition | Retain in agency for five (5) years, then destroy. |
| 03782 | Parks Monthly Inventories | This series documents the at-cost dollar amount of inventories for revenue-producing facilities and gift shops within the state park system. It lists the value of all goods available for resale and warehouse supplies available for use at each park at the end of each month. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Dollar amounts for revenue-producing facilities, resale information for front desk, camping, gift shop, vending, pro shop, recreation hall, trap range, fitness center, number of souvenirs at front desk, lodge shop, handcrafts, food in kitchen, coffee shop, and grocery. |
| | Retention and Disposition | Retain in agency for two (2) years, then destroy. |

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Parks, Department of
Finance, Division of

Record Group
Number
2040

| Series | Records Title and Description | Function and Use |
|---------------|--|---|
| 03787 | Gasoline Tax Refund Application | This series documents a request for reimbursement of state tax on boat dock gasoline purchased for the parks system. This is a Department of Revenue form and it is submitted to the Department of Revenue on a quarterly basis. A refund cannot be made on an invoice which is not dated within four months prior to the date filed. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name of applicant, account identification number, address, telephone number, number of gallons purchased (copies of dealer invoices), gross state tax on gasoline purchase, less 10% of gross state tax for administration cost, gasoline tax refund requested and signature of affiliate. |
| | Retention and Disposition | Retain in agency for three (3) years, then destroy. |

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Parks, Department of
Golf, Division of

Record Group
Number
2040

| Records Title | |
|----------------------------------|---|
| Series and Description | Function and Use |
| 03758 Golf Passes | This series documents the application for and the sale of golf passes at state parks. Each park is assigned a group of consecutively-numbered passes. The golf pass is good for a determined length of time, typically one calendar year, and can be used at any of the eighteen state park golf courses. |
| Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| Contents | Series may contain: Pass number, type of pass, amount paid, date, name and address of purchaser, point of sale (park name) and date of issue. |
| Retention and Disposition | Retain in agency, then destroy after eight (8) 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

Tourism, Arts and Heritage Cabinet
Parks, Department of
Human Resources and Training, Division of

Record Group
Number
2040P

| Series | Records Title and Description | Function and Use |
|---------------|--------------------------------------|--|
| 03752 | Monthly Tip Report | This series documents tips reported and tips allocated among eligible employees at state parks. It is used as supporting documentation to complete a Monthly Recap of Tip Report (03753) and IRS Form 8027 "Employers Annual Information Return of Tip Income and Allocated Tips". An employer must allocate tips among employees who receive tips only if total tips reported to the employer during any pay period are less than eight percent of employers' gross receipts for that period. The series also helps determine what goes on the tipped employees' W-2 Forms at the end of the year. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Park name, date, total food sales, less carry out sales, total sales subject to tip reporting, tip income reported by directly-tipped employees, tip income reported by indirectly-tipped employees, total tip income by all employees, eight percent of subject sales, total charge sales, total tips shown on charge receipts, total number of directly tipped employees working this period (if eight percent of subject sales is greater than total tip income by all employees additional information is required: employee name, social security number, wages, tips reported and tips allocated). |
| | Retention and Disposition | Retain in agency for five (5) years, then destroy. |
| 03753 | Recap of Monthly Tip Report | This series represents a recapitulation of the Monthly Tip Report (03752). It shows each resort park's tipping percentage and combined tipping percentage for all the state resort parks for each month. The average percentage of tips is supposed to be eight percent or more of the sales receipt. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Park name, date, net sales, total tips, percentage of net sales, charged sales, charged tips and percentage of charged sales. |
| | Retention and Disposition | Retain in agency for five (5) years, then destroy. |

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Parks, Department of
Marinas, Camping and Gift Shops

Record Group
Number
2040

| Series | Records Title and Description | Function and Use |
|---------------|--|---|
| 03760 | Prisoner of War Identification Application File | This series documents the application and certification process for former American prisoners of war who, per KRS 148.0211, are entitled to free lifetime camping at Kentucky State Parks campgrounds. In 1988 the Kentucky General Assembly passed KRS 148.0211 which states; "Any veteran who has been a prisoner of war, was honorably discharged from the military forces, and is a resident of this state is exempt from camping fees in the parks or campgrounds owned or operated by the Commonwealth of Kentucky." To claim this fee exemption, a veteran must forward a copy of his separation from military service, or a letter from one of the military forces or the Veterans Administration, and written proof of residence to the Department of Parks. The department shall mail a card to the veteran certifying that he/she is exempt from camping fees. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Application, name, address, date, phone number, copy of discharge papers, copy of letter from the Veterans Administration verifying prisoner of war status, copies of news articles and related correspondence. |
| | Retention and Disposition | Retain in agency for seventy (70) years after military service discharge date, then destroy. |
| 06131 | Camping Permits | This series documents camping reservations/permits at State Parks. Most camping reservation transactions are completed through ReserveAmerica (the largest provider of campsite reservations in North America facilitating over 4 million transactions per year), but occasionally reservations are completed directly at the park. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Camper name, contact information and vehicle information, invoice number, fee information, date of reservation and dates of stay. |
| | Retention and Disposition | Retain in agency for two (2) years, then destroy. |
| 06132 | Boat Dock Permits | This series documents marina slip rentals/dockage licenses for a season. The Department of Parks operates six marinas where boat slips may be rented for a fee. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name and contact information of renter; rental period; park name; and fees paid. |
| | Retention and Disposition | Retain in agency for two (2) years, then destroy. |
| 06133 | Boat Rental Receipts | This series documents boat rentals at state parks. The Department of Parks operates six marinas and several other small bodies of water where various types of boats (fishing, canoes, pontoons, paddle) may be rented by the hour. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name, contact information and operator's license information of renter, type of boat, boat identification, park name and fees paid. |
| | Retention and Disposition | Retain in agency for two (2) years, then destroy. |

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Parks, Department of
Rangers, Division of

Record Group
Number
2040

| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 03762 | Uniform Traffic Accident Report | This series documents the number, type, location and description of all traffic accidents reported to park rangers. This information, once completed, is uploaded to the Kentucky State Police database (KyOps). This information is used to document the need for increased patrol in high accident locations and it can be made available to the parties involved in the accident, if needed for insurance purposes. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Local code, agency i.d.#, name of investigating agency, # killed, # injured, investigation completion note, hit & run note, day of the week, military time, date, intersection, one way note, ramp, direction mile post, speed limit, operator's license #, state, restriction & compliance note, operator name, address, date of birth, owner name, vehicle make, model, registration #, insurance company name, address, fire and/or overturned note, estimated speed, hazardous cargo note, drawing of accident, property damage note, time of ambulance arrival, witness names & addresses, citations and ranger's signature. |
| | Retention and Disposition | Retain in agency for two (2) years, then destroy. |
| 03763 | Citation Log | This series represents a listing (log) of the citations issued by the park rangers along with a summary of actions taken regarding the issue of the citation. It is used as a quick reference to citations issued and the actions taken regarding citations. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Post/section, station number, date received, citation number and actions taken by ranger. |
| | Retention and Disposition | Retain in agency for three (3) years, then destroy. |
| 03764 | Uniform Offense Report | This series documents all investigating information generated by park rangers. It is used to track investigation of complaints that are felonies and Class A misdemeanors. The Uniform Offense Report is a Kentucky State Police form used by all park rangers. |
| | Access Restrictions | KRS 61.878 (1)(h) Law enforcement related investigations.. Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Agency, title of investigation, statute, violation code, reported by, address, phone, case number, citation number, complexity, supplementary. LOCATION DATA: location of offense, location type (e.g. business). OFFENSE DATA: weapon or tools involved, offense related to (e.g., drugs, alcohol), time of offense, exact/estimate, weather conditions, lighting conditions, vehicle involved, recovered property/condition, larceny by type (e.g., pocket picking), burglary type, forcible entry/no force/attempted, arson, amount of loss, type coercion (e.g., extortion/blackmail). VICTIM DATA: name, address, age, phone number, race/sex, occupation, marital status, handicapped, religion, victim status injury type (e.g., broken bone, loss of teeth), status of case, aggravated assault/homicide circumstances code. |
| | Retention and Disposition | Retain in agency for five (5) years after case is closed, then destroy. |

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Parks, Department of
Rangers, Division of

Record Group
Number
2040

| Records Title | Function and Use |
|--|--|
| Series and Description | Function and Use |
| 03765 Incident Report | This series documents incidents occurring on Kentucky State Parks property where a park ranger is notified. Typical incidents include: persons falling on walking trails, damage to vehicles parked or otherwise on state parks property and/or persons slipping at an aquatic area (swimming pool). Not all incidents are reported to park rangers. This series only documents those incidents where a park ranger has completed a report. All incident reports are reviewed by the central office. If corrective measures are needed, the proper unit is contacted. In cases of serious incidents/injuries, a copy of the incident report is sent to the Department of Parks legal staff for notification and review. |
| Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| Contents | Series may contain: Type of report, park name, file number, date occurred, time, date reported, KRS statute if applicable, name of victim/complainant/injured/or other, age, address, phone number, guest/employee, on duty/off duty, action taken, ambulance, hospital, police, coroner, doctor, etc, description of incident, reported by/ address, witness/address, officer signature/date, Sr. Ranger and date, park manager and date. |
| Retention and Disposition | Retain in agency for five (5) years, then destroy. |
| 03766 Uniform Citation File | This series documents citations issued and charges brought against persons on State Parks property for criminal or traffic offenses. Kentucky Uniform Citations are used by law enforcement officers throughout the Commonwealth. Citations establish court appearance dates and begin the judicial process. This information is used by law enforcement officers when testimony concerning the offense is required. The Department of Parks receives a copy of final disposition from the court of jurisdiction. |
| Access Restrictions | KRS 61.878 (1)(h) Law enforcement related investigations.. Agencies should consult legal counsel regarding open records matters. |
| Contents | Series may contain: Name, alias, address, identification type, identification number, social security number, date of birth, sex, race, place of employment, vehicle make, vehicle type, vehicle year, color, registration information, miles per hour, miles per hour zone, radar violation code, phone number, resident status, marital status, victim's relationship to offender, ethnic origin, height, weight, hair color, eye color, violation date, time, location, breathalyzer results, date of arrest, time, county of violation, violation code, statute, ordinance, charges, plea, finding, final violation code, disposition code, fine, costs, fee, jail/prison code, probation code, court date, time, location, case number, disposition date, trial type, clerk's initials, post-arrest complaint, name and address of witnesses, officer signature, badge/identification number, assignment, additional offender information and right thumb print (for DUI only). |
| Retention and Disposition | Retain in agency for three (3) years, then destroy. |
| 06126 Park Rangers Training Records | This series documents all law enforcement and related training received by park rangers over the course of their careers. This Series contains initial training and background checks. |
| Access Restrictions | KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.. |
| Contents | Series may contain: Name of Ranger, date/time of training, type of training, hours completed, grade achieved, completion date, evaluations, and related documents and correspondence. |
| Retention and Disposition | Retain in agency for five (5) years after termination of employment, then destroy. |

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet
Parks, Department of
Rangers, Division of

Record Group
Number
2040

| Series | Records Title and Description | Function and Use |
|---------------|--|---|
| 06127 | Report of Seizure and Court Order | This series documents information gathered by park rangers when property is seized during an investigation of violations of law and/or or during an arrest. |
| | Access Restrictions | KRS 61.878 (1)(h) Law enforcement related investigations.. Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Report number, ranger name, date seized, time seized, type of seizure (evidence, contraband), seized from, address, county of seizure, location, reason for seizure, location where item is stored, item number, quantity, item description, make or model, model number, vehicle identification number or serial number, evidence or seizure tag number, officer's signature, date submitted, Commonwealth vs. name of party, district court, action number, judge's signature, date and related information. |
| | Retention and Disposition | Retain in agency for fifty (50) years, then destroy. |
| 06128 | Special and Internal Investigations | This series documents all information gathered and all actions taken during an investigation of complaints filed by the public against park rangers. Citizens may file a complaint with the Department of Parks if they feel they were treated improperly by a park ranger. An internal investigation will then be initiated to determine if personnel action is warranted. |
| | Access Restrictions | KRS 61.878 (1)(h) Law enforcement related investigations.. Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Complaint, investigation report, findings, recommendation of action, memo, decision, evidence, disciplinary actions and related information. |
| | Retention and Disposition | Retain in agency for two (2) years after termination of employment or after all legal and investigative actions have been completed, whichever is longer, then destroy. |
| 06129 | Response to Resistance Report | This series documents information on each situation in which a state park ranger discharges his/her firearm or anytime a ranger is assaulted. The report is completed by the ranger after each incident and sent to the central office for review. This information may be used in court. |
| | Access Restrictions | KRS 61.878 (1)(h) Law enforcement related investigations.. Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Officer name and badge number; Date, time and location of incident; Type of report (discharge of firearm or assault); Duty status; Type of assignment; Type of incident; Type of premises; Reason for discharging firearm; Officer's weapon; Number arrested (male, female); Number of shots fired at ranger and number of shots ranger fired; Injury information: Not wounded, superficially wounded, critical, killed, unknown; Written description of incident; Ranger's signature and supervisor's signature; Date forwarded and related information. |
| | Retention and Disposition | Retain permanently in agency. |
| 06130 | Courtesy Notices | This series documents written warning (courtesy) notices given for minor infractions on Kentucky State Parks' property. Rangers have the option of giving a courtesy notice in lieu of a citation and subsequent court appearance. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date, name and address, park name, location, KRS, details of infraction, ranger signature, badge number, district, vehicle registration, make and model and related information. |
| | Retention and Disposition | Retain in agency for one (1) year, then destroy. |

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| Records Title Series and Description | Function and Use |
|---|--|
| 06136 Daily Activity Report | This series documents ranger shift assignments and may include specific activities, special events and vehicle assignments. Daily activity reports generally document routine information such as a ranger's assigned area of patrol, if a ranger is assigned training, or if a ranger is out sick. This report may include certain activities and/or actions taken during the shift such as arrests, traffic stops and other routine policing activities. |
| Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| Contents | Series may contain: Date, shift, ranger name, ranger status (on duty, training, sick) and ranger assignment. Shift activity summary (traffic stops, arrests, calls), vehicle assignments and activity summary for special events which require ranger presence. |
| Retention and Disposition | Retain in agency for one (1) year, then destroy. |

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| Series | Records Title and Description | Function and Use |
|---------------|--------------------------------------|--|
| 03767 | Playground Inspection File | This series documents the biweekly inspection of playground areas and equipment at State Parks. It is utilized to note any safety and/or mechanical deficiencies identified in playground areas and equipment. The central office receives a copy and logs it on the Inspection Checklist (series 03768) for reference purposes. The central office staff then contacts the park manager about any problems that were noted. Information can also be used to validate the need to replace equipment or signage and substantiate the need for major renovations. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Playground location/area, date and time of inspection, visible cracks, bending, warping, deformation of open hooks/shackles/rings, worn swing hangers/chains, missing/damaged/loose swing seats, broken supports/anchors, footings exposed/cracked/loose (other related to condition of equipment), vandalism, tripping hazards, poor drainage, yes or no-location-comments/action taken, additional comments and signature of inspector. |
| | Retention and Disposition | Retain in agency for five (5) years, then destroy. |
| 03768 | Inspection/Incident Checklist | This series documents the central office receipt of inspection and incident reports from the State Parks. This log is used for quick reference. Each of the inspection and/or incident reports that is sent to the central office by the parks is checked off on this form to show that it was submitted and that the parks are in compliance with operating policy/procedure. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date, name of park, name of inspection and/or incident reports. |
| | Retention and Disposition | Retain in agency for one (1) year, then destroy. |
| 03769 | Weekly Aquatic Inspection | This series documents weekly inspections of aquatic (swimming) areas at State Parks. Once completed, this form is sent to the central office and is used to monitor and insure that swimming area safety equipment and signage are being maintained according to health and safety standards. Information can also be used to validate the need to replace equipment or signage and substantiate the need for major renovations. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name of park, facility, date, initials of inspector, areas inspected such as locker rooms and showers, decks, docks, entrance areas, ladders, diving boards, lifeguard stands, beach area, floats, docks/rafts and first aid rooms. |
| | Retention and Disposition | Retain in agency for one (1) year, then destroy. |
| 03770 | Chemical Weekly Log Sheet | This series documents swimming pool chemical levels checks at State Parks. Chemical testing is conducted multiple times daily during the season. One log sheet represents the tests for one week. It lists the amount of chemicals in the water, the temperature of the water, whether any chemicals were added to bring the levels up to health and safety standards, and documents conditions to serve as the basis for closing a swimming pool temporarily. Log sheets are sent to the central office where they are reviewed to ensure that health and safety standards are maintained and to identify areas in need of improvement. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Park name, tester name, day and time checked (5 times a day), chlorine or other disinfectant amounts, ph balance, temperature of water, turbidity, alkalinity, cyanuric acid amounts, pounds of chemical added, soda ash or other ph control substance, alum or other coagulant, cyanuric acid or other. Remarks section: note shutdown of filter or disinfection equipment, power failure or unusual conditions and number of bathers at time of tests and daily estimated total of bathers. |
| | Retention and Disposition | Retain in agency for one (1) year, then destroy. |

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| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 03771 | Aquatic Area Incident Report | This series documents injuries reported to and/or observed by State Parks personnel that occur at aquatic (swimming) areas that require more than minor first aid such as situations in which the Emergency Rescue Squad or the Park Rangers are called for assistance. A copy is sent to the central office so that they can be aware of any problems or possible litigation that may occur as a result of injury. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Park name, beach/pool location, name of reporter, date, date and time of incident, name of injured person, age, sex, address, phone number, location of accident, weather conditions, water conditions, type of injury, what person was doing when hurt, number of persons involved, names, swimming ability of person hurt, did victim disregard warnings - explain, artificial respiration/mechanical resuscitator/cpr, did lifeguard make rescue, number of years employed as guard, were police or rescue squad called/time called/arrival time. List of witnesses (names, addresses, and telephone numbers), sketch of accident scene on back of form. |
| | Retention and Disposition | Retain in agency for five (5) years, then destroy. |
| 03772 | Minor Accident and First Aid Treatment Records | This series documents minor incidents/accidents and first aid treatments at State Parks. A copy of this record is sent to the central office to ensure recurring problems are identified or to document cases in which what was thought to be a minor injury turns out later to be of a more serious nature. |
| | | Note: Injuries that are identified as serious at the time of occurrence are documented in series 03771, Aquatic Area Incident Reports or series 03765, Incident Reports. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Park name, location of incident, name of facility, park manager information, day/time of incident/treatment, name of person treated, type of injury and type of treatment. |
| | Retention and Disposition | Retain in agency for five (5) years, then destroy. |
| 06122 | Incident Report | This series documents incidents reported to and/or observed by State Parks personnel that occur on State Parks property. This report is completed for incidents which are considered more serious than minor injuries. All incident reports are sent to and reviewed by the central office. If corrective action is warranted, the appropriate unit(s) within the Department of Parks is contacted. |
| | | Note: This series does not include minor incidents or incidents occurring in aquatic areas. See series 03772 for minor incidents and 03771 for aquatic incident reports. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Park name, file number, date and time incident occurred, date and time incident reported, name of injured, age, address, phone number, guest/employee, on duty/off duty, actions taken (ambulance, hospital, police, doctor, etc), description of incident, waiver of care when applicable, name and contact information of person who reported incident if other than the injured person, witnesses, if any, along with their contact information, park manager signature and date. |
| | Retention and Disposition | Retain in agency for five (5) years, then destroy. |

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| Records Title Series and Description | Function and Use |
|---|--|
| 06137 Trail Inspections | This series documents bi-yearly inspections of trails located within the Kentucky State Park System. This information is used to note and document problem areas on a myriad of trail services (hiking, mountain biking, equestrian, multi-use, etc.). The Division of Recreation and Interpretation receives copies of the inspections and the information is shared with regional coordinators and the state naturalist. Inspections help to validate numerous trail issues, which in turn can support the need for trail maintenance, major renovations and possible funding. |
| Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| Contents | Series may contain: Name of park, trail name, trail length, inspector's name, title, date, problem areas to mark, locations and site description, comments and work order number. |
| Retention and Disposition | Retain in agency for three (3) years, then destroy. |