



# Personnel Cabinet

## Records Retention Schedule

Prepared by the State Records Branch  
Archives and Records Management Division

Approved by the State Libraries, Archives, and Records Commission



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

Personnel Cabinet 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 Personnel Cabinet.

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 Personnel Cabinet, 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.

## Personnel Cabinet

During the First Extraordinary Session of the 1956 Kentucky General Assembly, the Division of Personnel of the Department of Finance was abolished and the Department of Personnel was created. It was headed by a Commissioner appointed by the Governor. Chief among its responsibilities then, as now, was the certification of applicants for state jobs. Approximately four years later, a uniform Merit System for the Executive Department was created. On December 13, 1995, Executive Order 95-19 elevated the Department of Personnel to cabinet status and all powers and responsibilities of the Department of Personnel were transferred to the Personnel Cabinet. Upon expiration of the order, Executive Order 96-909 was issued on July 11, 1996, to create the Personnel Cabinet and this was confirmed by 1998 SB 139. Currently, the Personnel Cabinet is organized as follows: Office of the Secretary; Office of Administrative Services; Office of Legal Services; Office of Employee Relations; Office of Diversity, Equality and Training; Office of Public Affairs; KY Public Employees' Deferred Compensation Authority; Department of Human Resources Administration; and the Department of Employee Insurance.

RECORDS RETENTION SCHEDULE

Signature Page

Personnel Cabinet

March 14, 2013

Agency

Schedule Date

December 13, 2018

Unit

Change Date

December 13, 2018

Date Approved By Commission

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APPROVALS


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

  
Agency Head

12/6/18  
Date of Approval

  
Agency Records Officer

12-3-18  
Date of Approval

  
State Archivist and Records Administrator  
Director, Public Records Division

12/13/18  
Date of Approval

  
Chairman, State Archives and Records Commission

DEC 14 2018  
Date of Approval

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

  
Records Analyst/Regional Administrator

December 13, 2018  
Date of Approval

  
Appraisal Archivist

12/14/18  
Date of Approval

  
State/Local Records Branch Manager

12-14-18  
Date of Approval

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The determination as set forth meets with my approval.

  
Auditor of Public Accounts

12/13/2018  
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**

Personnel Cabinet  
Employee Insurance, Department of  
Insurance Administration, Division of

**Record Group  
Number  
2070**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04893</b>	<b>KEHP Enrollment Application and Benefits Billing File (V)</b>	This series documents the enrollment in, or changes to, the Kentucky Employees' Health Plan (KEHP) and the Health Enrollment Application File provided through the Personnel Cabinet. Members have thirty-five days to enroll after hire date. Changes to health plans are allowed if members have a qualifying event such as marriage, divorce, and/or birth of children. Supporting documentation must be provided when changes are made outside of the Open Enrollment period. Eligible participants include: Board of Education employees, State employees, certain health department employees, Kentucky Retirement System retirees, Kentucky Teacher's Retirement System retirees, and quasi-governmental agencies. The Cabinet maintains the health insurance status of members, provided the members meet the eligibility requirements as described in KRS 18A.225. An individual agency's insurance coordinator (IC) or human resource generalist (HRG) provides enrollment documentation and works as the liaison for members. Eligibility information is then processed and forwarded electronically to the appropriate third-party administrator. KEHP premium billing and payment information, electronic bills to agencies, and reports, are all captured within KHRIS.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Employee/retiree information (including name, social security number, date of birth); plan selection; spouse and dependent information; prior health coverage; waiver of coverage; employee and coordinator signatures; member application forms, flexible spending account contributions, supporting documentation, check lots, copies of checks, agency bills, small balance reports, and term for non-payment spreadsheet.
	<b>Retention and Disposition</b>	Retain until six (6) years after termination of eligibility, then destroy. Retain hard copies for two (2) years in Agency, then destroy. Retain paper check lots, supporting documentation, and electronic copies for full retention period of six (6) years after termination of eligibility.
<b>06868</b>	<b>KEHP General Health Insurance Benefit File</b>	This series documents the medical, pharmacy, flexible spending account and wellness benefits that are included in the Kentucky Employees Health Plan (KEHP) annually since the beginning of the self-funded plan in 2006. This includes documenting the development of the benefits and the parameters used in administering the plan per KRS 18A.225, 18A.2254, and 18A.227.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Benefit Selection Guide (BSG); Summary Plan Description (SPD); Summary of Benefits and Coverage (SBC), and other related plan documents.
	<b>Retention and Disposition</b>	Retain permanently.

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**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Personnel Cabinet  
Employee Insurance, Department of  
Insurance Administration, Division of  
Life Insurance Branch

**Record Group  
Number  
2070**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04428</b>	<b>Enrollment for Group Term Life Insurance File (V)</b>	This series documents enrollment in or changes to the group life insurance program provided through the Personnel Cabinet. It is only necessary to enroll once upon employment in the state's system. Eligible employees include: state employees, teachers, classified employees, board of health employees, full time retirees and legislators. Spouses and unmarried children, with some exceptions, are eligible. Administration of the program in the Cabinet began in February, 1993. An employee is automatically insured for the Basic Life and Accidental Death and Dismemberment Insurance according to the Benefit Class described in the group contract, provided the employee meets the eligibility requirements as described in the group contract. The agency's Insurance Coordinator maintains Beneficiary Designation forms and information or the employee can enter using KHRIS ESS until a death occurs and a claim is filed (see Proof of Death and Beneficiary Designation File (04429)). *Information is available in the Group Life Insurance Database (04428) from Investors Heritage Insurance Company back to 1984.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) - Medical information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name; address; social security number; birth date; phone number; agency of employee; signature and date; basic Life and Accidental Death and Dismemberment benefits; optional Life and Accidental Death and Dismemberment; dependent's Group Life plans; waiver of group coverage; to be completed by insurance coordinator - coverage plans chosen.
	<b>Retention and Disposition</b>	Destroy five (5) years after employee is terminated or deceased.
<b>04429</b>	<b>Proof of Death and Beneficiary Designation File (V)</b>	This series documents the eligibility of death benefits (Accidental Death and Dismemberment) of deceased employees or persons related to employees, according to the terms of the group life insurance program administered by the Personnel Cabinet. The agency retains the Beneficiary Designation Form or the employee completes the Beneficiary Designation Form in KHRIS ESS until a death occurs. Once the family has completed portions of the Proof of Death Form and submitted a certified copy of the death certificate, accident report (if applicable), etc., all documentation is sent to the Cabinet for processing.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) - Medical information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Certified copy of Death Certificate; enrollment forms, forms, beneficiary form; Proof of Death; Group Life Insurance Claim Form; tax Information/identification; any other documents in support of claim, i.e., accidental death notification, accident report, newspaper articles.
	<b>Retention and Disposition</b>	Destroy ten (10) years after the settlement of a claim.
<b>04430</b>	<b>Insurance Billing File (V)</b>	This series documents the billing of agencies for life insurance premiums. It will also document the accuracy of the premium amounts ensuring that changes are made as needed. State agencies are billed through payroll deduction. Others are processed utilizing the Kentucky Human Resources Information System (KHRIS).
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Carrier Reconciliation Report; copy of check; Billing Roster (of agency); social security number of employee; date-of-birth; plan; effective date; type of coverage; county; volume; premium due
	<b>Retention and Disposition</b>	Retain for ten (10) years Destroy after audit.
<b>04431</b>	<b>Insurance Refund File</b>	This series documents the overpayment of a life insurance premium through the Kentucky Human Resources Information System (KHRIS) benefits system. Premium payments are payroll deducted for state employees. For other Non-Commonwealth paid employees, a web based billing is reconciled by the billing liaison. When an overpayment occurs, refunds are completed and documented in the KHRIS benefits system and EMARS. The Department of Treasury processes the check and returns it to the Personnel Cabinet, which then forwards it to the agency or individual.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Copy of check; copy of purchase order; list of refunds; request for refund or notice of overpayment
	<b>Retention and Disposition</b>	Retain in agency six (6) years, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

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Personnel Cabinet  
Employee Insurance, Department of  
Insurance Administration, Division of  
Life Insurance Branch

**Record Group  
Number  
2070**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04432</b>	<b>Group Life Insurance Files (V)</b>	This series documents all information relative to an enrollee's life insurance policy. It includes the coverage plan, the coverage history, rates, calculations, billing, posting, and various reports that summarize and reconcile the activities of the insurance programs, i.e., posting, balancing, and overpayments. Each of these activities work with the Master File, which manages the individual records of the group program in which employees participate, such as billing frequency, salary, and status. *Legacy database was implemented in June, 1993. SAP/KHRIS implemented in April 2011.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) - Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Employee's name, social security numbers, location name and number, past due and current amounts owed for their level of coverage.
	<b>Retention and Disposition</b>	Retain Permanently.



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Personnel Cabinet  
Employee Relations, Office of

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Number  
2070**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06538</b>	<b>Adoption Benefit Program File</b>	This series documents assistance provided to state employees through the Adoption Assistance Program. Per 101 KAR 2:120 Section 2, a state employee who finalizes a legal adoption procedure shall be eligible to receive reimbursement for actual costs associated with the adoption. Assistance shall be for unreimbursed direct costs related to the adoption of a special needs child, as defined by KRS 199.555(1), or any other child and up to an amount stated in 101 KAR 2:120 Section 2.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Adoption Assistance Application, Finalization of adoption, Adoption Reimbursement Notification Letter, Affidavit of Expenses, Certification by the Secretary of the Cabinet for Health and Family Services that adopted child is a special needs child, and correspondence.
	<b>Retention and Disposition</b>	Retain in agency for five (5) years after termination of employment, then destroy.

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Employee Relations, Office of

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Number  
2070**

Employee Assistance Branch

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04158</b>	<b>Kentucky Employee Assistance Program (KEAP) Case File (V)</b>	This series documents the psychologist's assessment/referral activities of clients seen in the Kentucky Employee Assistance Program (KEAP). It tracks the client's activities and progress after entering the program, and is used to assure the psychologist that a client is on course in his/her treatment. KEAP is a free, confidential program for helping state employees and/or members of their family deal with problems that affect job performance, personal life, or general well-being. The problems may be emotional, financial, marriage/family, or substance abuse. It is the intent of KEAP to help employees lead more productive personal and professional lives. Also, the program can reduce absenteeism, tardiness, accidents, and help lower insurance costs. The KEAP professionals are state employees trained in assessment and referral. A counselor will assist in finding the most qualified people to help with a problem. In the case of a self-referral, no one will know of a contact with KEAP. When an employee's job performance is deteriorating, the supervisor may refer the employee to the program. Even in this situation, the supervisor will not be told specifics about the problem. Participation in KEAP will not jeopardize an employee's job or promotional opportunities. The KEAP program will see approximately 750 new clients per year.
	<b>Access Restrictions</b>	101 KAR 2:160, Section 3 (2)(6) KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Contact sheet (client number, name, purpose of call, gender, agency, job information, demographics); insurance information; marital status; client status; referral/relationship, presenting issue (substance abuse, marital, children, grief, etc.), other information; client follow-up; medical/therapist records; disciplinary actions; job performance information; time and attendance records.
	<b>Retention and Disposition</b>	Destroy six (6) years after closure of file. NOTE: Destruction must be under the supervision of a licensed or certified psychologist.

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Personnel Cabinet  
Employee Relations, Office of

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Employee Recognition Branch

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03928</b>	<b>Kentucky Employee Suggestion System File</b>	This series documents those employee suggestions that have been approved by Council members. Council members are appointed by their Cabinet Secretary. They will vote on each suggestion and approve or reject them. The file is created as a result of the evaluation process documented in the Employee Suggestion File (P0040). Suggestions are first submitted to the cabinet representative on an Employee Suggestion Form. Under the terms of 101 KAR 2:120, a suggestion is evaluated on the basis of its cost effectiveness in its first year of implementation. The representative will review the value of the suggestion to determine if it is a suggestion pertinent to only one agency, or all agencies. The agency or agencies which implement the suggestion are responsible for the monetary prize to the winner.
	<b>Access Restrictions</b>	101 KAR 2:120, Sec.1(f) Until decision is rendered. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Correspondence; copy of the Employee Suggestion Form; copy of the evaluation of employee suggestion.
	<b>Retention and Disposition</b>	Retain permanently any employee suggestion that has been implemented.
<b>06530</b>	<b>Governor's Ambassador Award File</b>	This series documents nominees for the Governor's Ambassador Awards. These awards have been given annually since 2009 to recognize exemplary Commonwealth employee accomplishments that reflect initiative, leadership, increased efficiency, and a strong commitment to service. Individuals or groups of employees may be nominated. Nomination categories are Community Service/Volunteerism, Courage, Leadership, Professional Achievement, Customer Service, or Teamwork. Supporting documentation may not exceed ten pages and may not include CDs, booklets, videotapes, VHF cassettes or DVDs.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Nomination Form (Name, job title, agency and contact information of nominee(s); date(s), category, description and impact statement of accomplishment; name, agency, contact information, and relationship to nominee of employee making nomination) and any supporting documentation for the Governor's Ambassador Award.
	<b>Retention and Disposition</b>	Transfer to the Kentucky Historical Society (KHS) after awards have been distributed and when no longer needed administratively. KHS will scan files of winning nominees and then transfer them to the Archives for permanent retention. Files of non-winners will be destroyed after five (5) years.

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Personnel Cabinet  
Employee Relations, Office of

**Record Group  
Number  
2070**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
		<b>Workers' Compensation Branch</b>
<b>03641</b>	<b>Employee Injury Incident File (V)</b>	This series documents a state employee's first report of accident or injury. The Workers' Compensation Branch of the Personnel Cabinet is the office through which a report must initially be filed for all covered state employees. A private company is contracted as a Third Party Administrator to process and investigate claims and to be a liaison with the Department of Workers' Claims Office of the State Labor Cabinet. The Personnel Cabinet receives the first report of injury from a supervisor (Department of Workers' Claims IA-1 FROI), as the employer of record. The Employee Injury Claim File is limited to "no medical, record only" files, those incidents which have been reported, but in which no medical costs have been claimed. When benefits are to be paid, the case is referred on to the Third Party Administrator for claim administration. As required in KRS 342.185, an employee must file an initial claim within two years after the date of an accident or injury. An incident file in this series can continue on to the Third Party Administrator at any time during the two year period if benefits are claimed. Reconstruction of a complete file would be completed by the Third Party Administrator as they house the official claim file.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Copy of first report of injury form IA-1.
	<b>Retention and Disposition</b>	Retain files for injurious exposure claims in agency for twenty (20) years, then destroy. Retain all other files in agency for eight (8) years, then destroy.
<b>04420</b>	<b>Workers' Compensation Self-Insured Contract File (V)</b>	This series documents the administration of the self-insured workers' compensation program for the Commonwealth of Kentucky, in accordance with the Workers' Compensation law found in KRS Chapter 342. The contract is written for a two-year period, with a three-year renewal option before it must be "bid out" again. The program covers all state employees, except the Transportation Cabinet, Murray State University, volunteer firefighters and emergency medical technicians and eight county clerks' and sheriffs' offices. A third party administrator (TPA) works in conjunction with the Personnel Cabinet in the handling of claims, coordination of benefits and customer service. The TPA pays the benefits and is reimbursed by the state fund. Reviewed and filed with the contract are yearly stewardship reports, including banking information which are reviewed electronically, monthly and at any time. The reports reflect the claimant's name, costs accrued, paid to-date, cost per month, reserves, and outstanding reserves.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) - Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Contract; stewardship report; adjustment of premiums (agency premiums calculated according to the number of employees and claims experience, averaged over three years).
	<b>Retention and Disposition</b>	Purge/destroy the Stewardship Reports after five (5) years. Destroy contract file five (5) years after expiration, and audit.
<b>04425</b>	<b>Workers' Compensation Subrogation Case File (V)</b>	This series documents the legal activities in the subrogation of workers' compensation payments from third parties. The Workers' Compensation branch is first notified (see Employee Injury Claim File - (03641), of the processing of the workers' compensation claim. When the possibility of recovery of state funds appears to be probable, or necessary, the legal process is initiated, contact is made with the insurance company and the cabinet's third party administrator to determine a settlement or the recovery of workers' compensation funds. Such a case may happen when an employee is involved in a car accident while on state business, and the fault of the accident is determined to be the other party. An employee has two years from the date of the accident to file suit.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) - Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Correspondence; internal memoranda; copies of pleadings; copies of medical bills/payments
	<b>Retention and Disposition</b>	Retain until eight (8) years after case closure, then destroy.

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

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**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Personnel Cabinet  
Human Resources Administration, Department of  
Career Opportunities, Division of

**Record Group  
Number  
2070A**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04255</b>	<b>Applicant Testing System (ATS) (V)</b>	<p>CLOSED: Testing ended May 2008. This series documented the complete record of an applicant's efforts to obtain state employment. It provided a history of each applicant who had or had not taken an examination. The system was built from test scores and test dates. The Automated Register System (04261) was dependent upon this system for its data. It identifies the counties in which an applicant was available to work. An applicant's name was entered into the system once they had signed in. Upon completion of the interview with a counselor, a determination was made of which test would be taken. The test was taken, and results were entered. The system would process letters instructing applicants when and where they must report to take an examination, letters of rejection, notice of results, veteran points, and/or a letter signifying that an application is incomplete in some manner and what is needed for completion. The system documented an applicant's efforts to improve their score by reflecting each time a test was taken. Reference to the system was high during the period that the individual's score is valid on the register.</p> <p><b>Access Restrictions</b> KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: applicant's name; address; social security number; location of test site; counties willing to work; current status of work; any previous convictions; licenses or certificates; veteran points; location of test center; date; test score</p> <p><b>Retention and Disposition</b> Retain active test scores on-line for two (2) years. Transfer to tape for remaining three (3) years. Total retention is five (5) years.</p>
<b>04256</b>	<b>Master Copy Examination File</b>	<p>CLOSED: Testing ended 2008. This series documented the official record and supporting documentation for merit examinations used to rank applicants on the basis of their knowledge, skills, and abilities (KSAs) for merit positions within state government. Examination technicians conduct job analysis research in coordination with agencies to identify the duties and essential KSAs for a job class. Segment outlines (reading comprehension, math problems) are developed and items are chosen that measure the KSAs deemed crucial for an individual hired into a position. Item sources are identified. The newly constructed examination is reviewed by the agency to determine its appropriateness for ranking applicants on merit registers. The Series contains active and discontinued examinations, written tests and, also, video, essay, oral board, portfolio review and special in-house examinations taken only by Personnel Cabinet employees who routinely handle examination materials. *Reference is dependent on the nature of the exam, the need to change, update or revise content of an exam.</p> <p><b>Access Restrictions</b> KRS 61.878 (1)(g) Testing Material. Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: original, printed examination; key answer sheet; key copy; test segment outline; changes to test; research and supporting documentation for content of examination to include content validity study, item origin or source of item, readability studies, job analysis, agency contacts, subject matter expert examination review forms</p> <p><b>Retention and Disposition</b> Retain Permanently.</p>
<b>04258</b>	<b>Selection Method History File (V)</b>	<p>CLOSED: No longer created. Testing ended May 2008-see Personnel PM 08-09. This series documented the selection method by which an applicant must test for a merit position, and what the selection method has been historically. It will provide all supporting documentation for classes with a selection method of Training and Experience (T &amp; E) evaluation or 100% qualifying. A "qual" selection method is generally used when someone by virtue of earning, or maintaining, a license or certification will meet the necessary minimum requirements for a position, such as an attorney, plumber, or nurse. Applicants are not ranked on a "qual" register. The supporting documentation for a written examination will be in the Master Copy Exam File (04256), but the selection method form indicating the decision to have a written examination is found in this series.</p> <p><b>Access Restrictions</b> KRS 61.878 (1)(g) Testing Material. Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series contains: Selection Method Form - class title, code, number of applicants on register, agency personnel officer, date of job analysis, agency contact, subject matter review, content validity study, item analysis, comments, selection method recommended, number of positions available, selection history, discussion, routing check-off; specifications; agency contacts or job analyses; selection method changes; subject matter expert review forms; T &amp; E guidelines</p> <p><b>Retention and Disposition</b> Retain Permanently.</p>

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<b>Records Title Series and Description</b>	<b>Function and Use</b>
<b>04259 Stats File</b>	CLOSED: No longer created. Testing ended May 2008. This series documented the overall applicant performance on written examinations constructed and given. It allowed the agency to monitor the examinations taken regularly to determine their fairness. It aided in evaluating the effectiveness of specific examinations by analyzing the responses of applicants, such as if some questions are frequently missed, or if applicants' scores were grouped too high or too low. Review results would identify items that were too easy or too difficult. The statistics would reflect a curve in the grading scale and provide a comparative analysis of applicants (testing for a particular class) on the basis of raw scores, range of scores and the average score, as well as indications of any adverse impact on some testing groups/minorities. The data helped in determining the need to justify a modification in an examination or construct a new one. Tests selected for monitoring may be selected by the number of positions available across state government, the age of the examination, the greatest applicant traffic, positions with significant turnover, or those with high register requests.
<b>Access Restrictions</b>	KRS 61.878 (1)(g) Testing Material. Agencies should consult legal counsel regarding open records matters.
<b>Contents</b>	Series contains: Desk analysis (comparative ranking of applicants); item analysis (detail of individual responses of test questions); copy of test; segment outline; review of findings
<b>Retention and Disposition</b>	Destroy five (5) years after examination is discontinued.
<b>04260 Register Certificate File</b>	This series documents a list of applicants who have made application to a position posted on the Personnel Cabinet's Career Opportunity System and certify by nominating themselves to the position that they meet the minimum requirements of the position. The list includes re-employment candidates; internal mobility candidates (current state employees); and, if the posting is "competitive," individuals outside of state government who have applied for the position.
<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
<b>Contents</b>	Series contains: requisition number; certification number; class title; number of vacancies; agency request number; indication of whether this is the second register after REMs;EEO data if included; candidate name; candidate type; ranking value; REM/STL months of service; veterans' preference; date generated.
<b>Retention and Disposition</b>	Retain for five (5) years. Destroy after audit.
<b>04261 Automated Register System</b>	CLOSED: No longer created. Testing ended May 2008. This series documented the individuals that have tested for state employee positions and their test results. One of its primary functions is to generate the Register Certificate File (04260) which identifies the top five scores for a given class, and the corresponding applicants when an agency requests a register. It records action taken on a register. It shares information with and is built from the Applicant Testing System (04255). It allows staff to inquire and review each applicants' tests results. *CICS (Customer Information Control System) is the software package allowing communication with the state agencies to request registers, make appointments, and take actions on the Register Certificate (P-7), (04260). CICS is managed on the state mainframe and daily loaded into the AS/400 for Cabinet responses or action on personnel activities. Agencies do not have direct access to the AS/400.
<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
<b>Contents</b>	Series contains: name of persons that have taken a test and which test has been taken; social security number of person taking test; job title; score order; counties where applicant is available to work
<b>Retention and Disposition</b>	Retain active registers on-line for two (2) years. Transfer to tape for remaining three (3) years. Total retention is five (5) years.

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<b>04264 Reemployment File (V)</b>	CLOSED: This series documents applicants who are eligible for reemployment as prescribed by KRS 18A.113. Reemployment is the rehiring of an employee with tenure who has been laid off. For a period of five (5) years, laid-off employees shall be hired before any applicant or eligible employee on a certified register with the exception of another laid-off employees with greater seniority who are also on such register. Rehire exceptions per KRS 18A.113 (6) are documented as part of this series, along with all application and certification activities described in Personnel Series 04266.
<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
<b>Contents</b>	Series contains: Name, contact information and SSN, months of service, date of expiration of reemployment rights and reemployment rights notice.
<b>Retention and Disposition</b>	Destroy upon acceptance of an appointment, or after five (5) years if not reemployed.
<b>04266 Applicant Register Folder (V)</b>	This series documents the employment application and job submission activity of an individual. The activity data is primarily contained in the Career Opportunities System (COS), where it is consolidated into a comprehensive talent record for each individual. The talent record is referenced as needed to make and document eligibility decisions for register certification or personnel actions including appointment, promotion, reemployment, reclassification, reinstatement, demotion, and transfer.
<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
<b>Contents</b>	Series contains: contact information, SSN, applications, resumes, job submission and register certification history, communication history, and notes and forms supporting eligibility decisions.
<b>Retention and Disposition</b>	Transfer to the Master Personnel Folder (04522) if appointed. If not appointed and not active, destroy after five (5) years.

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Series	Records Title and Description	Function and Use
06627	<b>Annual Leave Sharing File</b>	This series documents an employee's participation in the state's annual leave sharing program, and provides detailed tracking of the annual leave transferred between employees, as well as the utilization of transferred leave. It is duplicate to the Annual Leave Sharing file maintained within the recipient's agency. Records are stored in KHRIS for employees with leave information maintained by the Personnel Cabinet. Paper copies of approved annual leave sharing applications and donation forms are maintained for employees of quasi and non-Chapter 18A agencies, participating in the state's annual leave sharing program, that do not utilize KHRIS for time administration.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) personnel information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: copies of approved annual leave sharing applications, copies of approved annual leave sharing donation forms.
	<b>Retention and Disposition</b>	Retain for three (3) years, destroy after audit.



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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03471</b>	<b>Position Description Questionnaire File</b>	This series documents an employee's work that is performed and how much time each duty consumes. It serves as a basis or standard for classifying positions throughout state government. It provides a plan that maintains an equitable relationship between the nature of the work, education necessary, experience, the variety and complexity of duties, and responsibilities required by a position. The series is completed whenever a position is to be established, reclassified, or reallocated, and documents the approval or denial of the request by the Personnel Cabinet.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Title(s); whether position is filled or vacant; position location; nature of request (establishment, reclassification, reallocation); name and title of immediate supervisor; percentage of time and description of duties; dated signature of person completing form.
	<b>Retention and Disposition</b>	Retain current plus the preceding Position Descriptions. Retain for five (5) years after the abolishment of the position, then destroy.
<b>04338</b>	<b>Unclassified Service Position File</b>	This series documents the records and activities pertaining to unclassified service personnel, as provided for in KRS 18A.115. If an agency head wants to create an unclassified position other than that allowed by legislation (cabinet secretaries, commissioners, office heads, the administrative heads of all boards and commissions, one principal assistant or deputy for each of these noted), the agency must petition the Secretary and/or the Personnel Board for approval.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Position description; petition (duplicate); memoranda from state agency.
	<b>Retention and Disposition</b>	Destroy three (3) years after abolishment of agency or position.
<b>04339</b>	<b>Job History Summary File (V)</b>	This series documents the research and surveys that aid in determining the value, or worth, of a position in a given class in the executive branch of state government, compared to the job market outside of state government. A file is prepared for each job classification when a class is established, revised, or abolished. The file documents the rationale for modifying the classification plan. The series is referenced when preparing a new classification, or revising a current one and often in connection with Personnel Board hearings.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Agency request for new or revised job class; position audit summary; recommendations from classification analyst; Position Evaluation Summary; Class History Summary Form.
	<b>Retention and Disposition</b>	Retain Permanently.
<b>04340</b>	<b>Official Job Class Specification File (V)</b>	This series documents the standard developed by the Personnel Cabinet which states the title, characteristic responsibilities, examples of duties and the minimum requirements of a job. A job specifies positions sufficiently similar in duties performed, responsibilities, minimum requirements of training, experience, or skill and such other characteristics that the same title, tests of fitness and schedule of compensation have been or may be applied to each position in the job. Job class specifications are descriptive of the positions. The Cabinet maintains a master set of all approved job "specs," designating the date of adoption or the last revision. Current job class specifications are available online via the Personnel Cabinet's website. A new job may be requested by an agency when, after evaluation, there is no other that appears to be appropriate. New legislation may create a job. Classification analysts review the requirements deemed necessary for a new job, thus, a new job class specification is written.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: job specification (current and previous) -- title, duties, requirements in training, experience or skill.
	<b>Retention and Disposition</b>	Retain Permanently.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04341</b>	<b>Salary Review Forms File</b>	CLOSED SERIES This series documented the salary review requests of agencies for promotions, reversions and appointments of individual employees as provided for in KRS 18A.110 (7) (b). The forms relate to employees that may be hired, appointed, reverted to, or promoted to a position where the salary is anything other than minimum pay. An agency may receive permission to pay a higher percentage than the minimum salary range, provided funds are available. If approved, an agency must also be able to increase salaries of others within the agency with comparable positions, giving consideration for seniority, experience and education. If the agency cannot meet the salary increase for all, then it must be denied for one. If an employee is hired, this information is placed in the Master Personnel Folder (04522). When an appointment is rejected, the record is retained in the Personnel Cabinet.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: 1) Reversion Request - name; agency; increment date; current classification; class reverted to; dates/percentages of increments, other considerations (grade changes, salary adjustments); 2) Promotional Requests - name; agency; percentage requested; class of current position; position number; class of proposed position; description of increase in responsibility; recommendation; 3) Appointment Request - name/agency/position number; work county; class; date of appointment; entry salary; requested salary; minimum requirements for class; education; experience; related to class; others in the same class/agency/locality who will be adjusted; name and amount of adjustment
	<b>Retention and Disposition</b>	Retain for two (2) years. Transfer to the Master Personnel Folder (04522), if appointed, otherwise destroy.
<b>04342</b>	<b>Salary Survey</b>	This series documents salary information gathered from other jurisdictions, usually other state governments for purposes of setting pay grades. Each study is a survey of current, but selected classes. The Secretary of Personnel has the authority to enact an increase to the salary schedules; however, all of the agencies must have the money available, as determined by the Office of State Budget Director, before any employee receives a pay increase.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name(s) of classes surveyed; survey respondent; pay information.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
<b>04524</b>	<b>Request for Position Action Only File</b>	CLOSED SERIES: This series documents the change or the nature of action an agency is requesting of the Personnel Cabinet relative to a position within a cabinet or department of state government. Examples of position changes would be the establishment of a position, a reorganization, a grade change, a title change, reallocation, or reclassification. The Cabinet reviews all requests for action for conformity to personnel laws and regulations. The agency receives a copy of the approval or denial of the action, but will not have the copy with Personnel signatures.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Personnel-Position Action; position only is marked; effective date; nature of action; description of action; position number; class code; class title; approvals for current request by appointing authority; code block for Personnel Cabinet use only.
	<b>Retention and Disposition</b>	Retain for three (3) years.
<b>06444</b>	<b>Job Duties Desk Audit File (V)</b>	This series documents job duties assigned to a position and is used as a tool to obtain information necessary to accurately classify a position. A desk audit may be performed at the discretion of the Personnel Cabinet, request by an agency human resource office, or per order of the Personnel Board. The audit process involves meeting with the employee and his/her first line supervisor separately to discuss assigned duties. The final job determination is made by the Personnel Cabinet.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain the completed position audit form, Position Description (PD), and pertinent supporting documentation.
	<b>Retention and Disposition</b>	Retain in agency for five (5) years, then destroy.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
06625	<b>Organizational Structure Charts File</b>	This series documents the organizational structure for agencies in the Executive branch within the state government of the Commonwealth of Kentucky. The charts show the complete structure of an agency which may include the cabinet, department, office, division, branch, section, and/or unit. In some cases, the charts may also show boards, commissions, authorities, or councils. An organizational chart is revised whenever an agency is reorganized. A reorganization is a change in the state government organizational structure which may include the creation, alteration, or abolition of any organizational unit or administrative body. This series reflects the organizational charts for multiple agencies maintained by the Personnel Cabinet. This file is reference when identifying an organizational structure at a specific time. Current organizational charts are available online via the Personnel Cabinet's website.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: date, organizational charts, agency; divisions; branches; sections
	<b>Retention and Disposition</b>	Retain one (1) copy of each revision for each organizational unit permanently with Personnel Cabinet.
06626	<b>Cabinet and Department Organizational Number Assignment File</b>	This series documents the organizational number assignment for each agency in the executive branch with the state government of the Commonwealth of Kentucky. The number assigned to an agency by the Personnel Cabinet is a five digit number which reflects the cabinet number (two digits) and the department number (three digits), respectfully. In some cases, the three digit number may represent an office. Once a five digit number is assigned to an agency, it may never be used again, even if the agency is abolished.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: listing of five digit organizational number assignments.
	<b>Retention and Disposition</b>	Retain permanently in agency.
06696	<b>Salary Schedules File</b>	This series documents the salary schedules utilized by the Executive Branch of the Commonwealth of Kentucky's state government for classified and unclassified job classifications in accordance with KRS 18A.030 and 101 KAR 2:034. Current salary schedules demonstrate the salary range for a given pay grade. Historic salary schedules provide the means to ascertain and verify salary history.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Current salary schedules; historic salary schedules; date of implementation; pay grade listing; and a salary range for each pay grade on the schedule.
	<b>Retention and Disposition</b>	Retain permanently in agency.
06697	<b>Supplemental Premium Requests File</b>	This series documents agency requests submitted to the Secretary of the Personnel Cabinet for approval of a supplemental premium payment. Per 101 KAR 2:034 the Secretary may authorize the payment of a supplemental premium to employees in specified job classes working a second, third shift, or rotating shift work schedule, job classes in which an employee(s) is regularly assigned to work on Saturday, Sunday and state holidays as part of their normal work schedule; and, job classes in which an employee is compensated with an hourly premium for performing job duties in a specified foreign language.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	This series may contain: name of class(es) for which a requesting supplemental differential is being made; organizational entity; amount of premium; and justification.
	<b>Retention and Disposition</b>	Retain permanently in agency.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06824</b>	<b>Reorganization Packet (V)</b>	This series documents the review and implementation of organizational changes to governmental structure. Reorganizational actions may include establishment, alteration, or abolishment of an organizational unit or administrative body, and furthermore, may include the transfer of functions, duties, responsibilities, personnel, funds, equipment, and records from one organizational unit or administrative body to another. The two types of reorganization are initiated through Executive Order, establishing, renaming, and/or abolishing higher level organizational units, and Administrative Order, involving changes made to lower level organizational units. Note: reorganizations frequently require both an Executive Order and an Administrative Order.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Executive Order; Administrative Order; formal submission letter, reorganization plan; structural establishment worksheet; structural abolishment worksheet; structural rename worksheet; new structural agency worksheet; position from-to worksheet; current organizational structure; proposed organizational structure; current operating organizational structure; KHRIS FICO-cost center request form; KHRIS FICO-WBS request form; KHRIS Security Worksheet; and eMARS chart of accounts data worksheet.
	<b>Retention and Disposition</b>	Retain final filed packet twenty (20) years in agency, then destroy.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>00708</b>	<b>Payroll Requests</b>	This series documents requests for payroll information made directly to the Personnel Cabinet. This series does not include Open Records Requests which are covered by the General Schedule for State Agencies series, M0016. Information requests are made from either a state agency or from authorized entities such as the Internal Revenue Service, Social Security administration, State Child Support Offices, etc. Payroll Request Forms must be submitted to the Payroll Branch for processing.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Payroll request form, IRS and SSA correspondence, payroll records, leave history records and W-2 information.
	<b>Retention and Disposition</b>	Retain for three (3) years.
<b>06080</b>	<b>Payroll Reports M (V)</b>	This series represents the reports generated from payroll information. These reports capture the payroll system activity of all agencies in the Commonwealth's payroll system. All information that is entered and transactions created and run as part of the payroll system processes are reflected in these reports. They are segregated by date, report type, and agency. Reports are accessed by agencies and/or used by the Personnel Cabinet to provide information regarding payroll activity including, but not limited to: employee pay, leave, deduction history, system updates, and W-2 production data.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Employee master data (name, address, birthdate, and position information), payroll records, W-2 information, attendance history, and leave history.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
<b>06099</b>	<b>Payroll Voucher and Certification (Forms SAS-27 and SAS 27b)</b>	This series documents requests for the production of paychecks that cannot be processed within the standard time limits of the state payroll, or that are processed outside the state's Uniform Personnel and Payroll System. This series also contains the Payroll Voucher Certification Form certifying that the person listed on the SAS27 has not previously received this pay through UPPS. This series represents a duplicate copy(s) of series P0025, which is sent to and maintained by the Payroll Branch.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal Information - SSN. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Payroll Voucher (Form SAS 27): Date; Agency Name; Org. Name/Code; Company Number; Reference Number; Employee status; Total Disbursement Amount; Hours Paid; Employment Date; Rate; Employee last name and initials; Social Security Number; Employee ID; Category and amount of funds; totals and total net pay; comments; name of employee preparing payroll; authorized agency signature; signature of Personnel Cabinet Secretary. Certification Form (Form SAS 27b): Employee name and ID#; Pay period; Semi-monthly Salary; Gross Amount Due; Explanation; Signature of certifying individual.
	<b>Retention and Disposition</b>	Retain for eight (8) years.
<b>06454</b>	<b>Off-Cycle Payroll Requests</b>	This series documents requests for an off-cycle (supplemental) payroll run to disburse missed employees pay, to reverse incorrect pay, and to correct errors in payroll. Requests are made by an agency and submitted to the Personnel Cabinet.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Agency name and cost center number; Human Resources Generalist making request; phone; employee name and personnel number; pay period for which the off-cycle is paying or making the adjustment; reason for request; additional information; net amount of payment expected or reversed; or Personnel Cabinet processing information.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.

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06455	<b>IRS Form W-2c (Corrected Wage and Tax Statement)</b>	This series represents W-2c forms, which are generated at the request of an agency or by the Personnel Cabinet to correct information on an employee's original W-2.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Employer's name and address; Tax year/form corrected; Employee's correct name and Social Security Number (SSN); Employee's previously reported name and SSN; previously reported income and withholdings; correct income and withholdings.
	<b>Retention and Disposition</b>	Retain for seven (7) years, then destroy.
06456	<b>Manual Payroll Adjustment Forms File (SAS-27 and Request for Refunds on Payroll)</b>	This series represents positive (SAS-27) and negative (Request for Refunds on Payroll) forms documenting adjustments to payroll along with associated documentation. These forms are used to make payments or refunds outside the payroll system and are adjusted in the system. Examples include forms for Board Order payments, Worker's Compensation Buyback, and net positive adjustment to create replacement net check for Electronic Funds Transfer returns.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - SSN. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Creation date; Soc. Sec. Adj. Yr.; Agency name and number or cost center; Employee name and ID; Adjustment period; Memo/Reference; gross income; type of tax/tax authority; Wage type; Employee amount; State amount; Taxable amount; Total for each adjustment; Net pay; Total Disbursement Amount; Authorized agency approver; Authorized Finance Approver; Secretary, Personnel Cabinet; Check Date on IT221.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
06521	<b>Notifications of Change</b>	This series documents notifications from the Finance and Administration Cabinet regarding issues with an employee's Automated Clearing House (ACH)/Electronic Funds Transfer (EFT) record (e.g., payroll direct deposit). Notices are forwarded to the appropriate agency to be addressed. Issues occurring through March 15, 2011 must be addressed in the payroll system by system consultants.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Employee name, banking information (routing number, account number, checking or savings account), return/reject reason and code, batch description.
	<b>Retention and Disposition</b>	Retain for four (4) years, then destroy.
06535	<b>Form W-2, Wage and Tax Statement</b>	This series represents an annual report on an employee's wages, tips, and compensation as well as taxes and other deductions withheld.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Employee's name, Social Security Number (SSN), address; employer's name and address; taxable wages, tips and compensation and federal tax withheld, state income taxable wages and withholdings, local taxable wages and withholdings, Social Security taxable wages and withholdings, Medicare taxable wages and withholdings. Various payroll deductions such as dependent care benefits, retirement contributions, deferred compensation contributions, employee and employer health insurance contributions.
	<b>Retention and Disposition</b>	Retain for seven (7) years, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Personnel Cabinet  
Human Resources Administration, Department of  
Employee Management, Division of  
Payroll Branch

**Record Group  
Number  
2070**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06553</b>	<b>Time and Attendance Management Reports (V)</b>	This series documents employee time entry and time evaluation, attendance and absence records, leave accrual and usage, overtime reports, adverse weather leave used and made up, Family Medical Leave hours taken, Sick Leave Sharing donations and usage, Military Leave usage, employee evaluation annual leave awards and Block 50 payments all of which factor into processing employee pay. Records are kept in microfiche and Document Direct through March 15, 2011 and KHRIS from March 16, 2011 forward.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Time and attendance reports, leave use and accruals, and months of service.
	<b>Retention and Disposition</b>	Retain in agency fifty (50) years, then destroy.

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

**Archives and Records Management Division**

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**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Personnel Cabinet  
Human Resources Administration, Department of  
Employee Management, Division of  
Personnel Administration Branch

**Record Group  
Number  
2070**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
03345	<b>Employee Performance Evaluation (Supervisor Compliance) Files</b>	This series documents supervisor compliance at each phase of the employee performance evaluation process as set forth in KRS 18A.110(1)(i) and (7)(j) and 101 KAR 2:180. The Performance Management Program within the Personnel Administration Branch, utilizes the data to monitor and report compliance, as well as identify trends, concerns and opportunities for process improvements.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Lists of employees eligible for performance evaluation, including last name, initials, title code, position number, employee status, and employee number; supervisor compliance with the performance planning process, interim review process, and final evaluation process; and final scores, ratings, and employee responses.
	<b>Retention and Disposition</b>	Retain for twenty (20) years.
03931	<b>Sick Leave Sharing File - (Duplicate) - (Original in respective agency)</b>	This series documents an employee's participation in the state's sick leave sharing program, and provides detailed tracking of the sick leave transferred between employees, as well as the utilization of transferred leave. It is duplicate to the sick leave sharing file maintained within the recipient's agency. Leave sharing records are stored in KHRIS for all employees with leave information maintained by the Personnel Cabinet. Paper copies of approved sick leave sharing applications and donation forms are maintained for employees of quasi and non-Chapter 18A agencies, participating in the state's sick leave sharing program, that do not utilize KHRIS for time administration.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: copies of approved sick leave sharing applications, copies of approved sick leave sharing donation forms.
	<b>Retention and Disposition</b>	Retain for three (3) years, destroy after audit.
03932	<b>Sick Leave Sharing Log</b>	CLOSED: This series documents a summarized report of the Sick Leave Sharing File (03931). It is included in the Cabinet's Annual Report (M0022). The Payroll Division receives the individual payroll transactions from an agency's personnel officer.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: donee name; social security number; Cabinet/Department; donor name; social security number; Cabinet/Department; hours donated
	<b>Retention and Disposition</b>	Retain for three (3) years.



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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Personnel Cabinet  
Human Resources Administration, Department of  
Employee Management, Division of  
Personnel Administration Branch

**Record Group  
Number  
2070A**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04522</b>	<b>Master Personnel Folder (V)</b>	This series documents an individual's employment with the state. It is the master file and the primary source of employment history beyond one's agency employment. This series may be used to verify dates of employment, salary, positions held; to determine eligibility for promotions, reclassification or awards; and to review personnel actions throughout an employee's career with the Commonwealth. The personnel file is an open record with exceptions supported by KRS 61.878. These exceptions include, but are not limited to, an employee's resume, test score(s), social security number, transcript(s), military record, home address and phone number(s).
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Per KRS 18A.020, this Series contains employee name, address, title of positions held, classification, rates of compensation, all changes in status including evaluations, promotions, demotions, lay-offs, transfers, disciplinary actions (as well as any employee written statements provided in response to a disciplinary action), commendations, awards, and preliminary or other supporting documentation for each action. Each file shall contain the complete record and supporting documentation for each personnel action. Additionally, if an employee is reprimanded, a copy of the reprimand, as well as a copy of the employee's response (if provided), shall be stored in the Master Personnel Folder. This series should not include medical records, worker's compensation materials or grievances (unless the grievance supports an employment action).
	<b>Retention and Disposition</b>	Retain until fifty (50) years after most recent date of separation, then destroy.
<b>04525</b>	<b>Summary of Position Action File</b>	CLOSED SERIES (03/16/2011): This series documents the report to the Personnel Cabinet summarizing the numbers and types of actions processed on a monthly basis. The information reflects factors such as race and sex of employees by the agency requesting personnel actions. The report is not utilized frequently, but provides valuable statistical data on actions taken and processed. This series has not been created since the implementation of the Kentucky Human Resources Information System (KHRIS) in March 2011.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Action code; racial origin code; sex code; name and identification number of employee; position number; effective date of action; and totals of actions taken.
	<b>Retention and Disposition</b>	Retain for three (3) years. Destroy after audit.
<b>06457</b>	<b>Appointing Authority Signature Authorization/Revocation File</b>	This series documents the delegation and revocation of appointing authority duties. In accordance with KRS 18A.005, the Appointing Authority may delegate another employee to sign official personnel and payroll documents on behalf of the Cabinet or Agency. The Personnel Cabinet requires a form to delegate the duties, and also a form to revoke the authority. When the Personnel Cabinet receives designated personnel and payroll documents, the signature authorization file is referenced to ensure the employee that signed the documents had the authority to do so. If the person signing the documents does not have delegated signature authorization, the documents are returned to the agency. When an employee with appointing authority duties separates from state government or when the person that delegated the employee decides to remove this authority, the agency is required to send in a form to revoke the signature authority.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Signature Authorization Form contains: Name, signature, job title, personnel number and cost center of authorized employee; actions s/he may sign; organizational unit(s) for which s/he may sign; name and signature of cabinet/agency head; date. Revoke Signature Authorization Form contains: Name and personnel number of authorized employee; organizational unit(s) for which s/he is no longer authorized to sign; name and signature of cabinet/agency head; date.
	<b>Retention and Disposition</b>	Retain permanently.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Personnel Cabinet

KY Public Employees Deferred Compensation Authority

**Record Group  
Number  
2070**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
03547	<b>Employee Deferred Compensation Participant File</b>	Function and Use: This series documents a participant's deferred compensation activity. The information may reflect the participant's termination of employment, investment activity, beneficiary designation, payout option, service purchase, etc. The Deferred Compensation program is a means for state, city, county or political subdivision employees to set aside or defer pre and/or post tax dollars. The purpose is to supplement retirement income. It is a governmental plan regulated by the Internal Revenue Service subject to review by the Tax Exempt Governmental Entity Division and IRS regulations (Section 401, 457, 402, 415, etc.) under the Internal Revenue Code.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Participant Agreement; Transmittals; Beneficiary form; correspondence form; Participant statements of account values; payout form; copies of checks; Illustrations of accumulations; amendments; financial hardship date; birth/death certificate; verification of termination from employer.
	<b>Retention and Disposition</b>	Retain until twenty-five (25) years after death of participant, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

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STATE AGENCY RECORDS  
RETENTION SCHEDULE

Personnel Cabinet  
Legal Services, Office of

Record Group  
Number  
2070

Series	Records Title and Description	Function and Use
03539	<b>Attorney's Litigation/Work File (V)</b>	This series documents the working litigation files of the attorneys within the Office of Legal Services ("office") when the Personnel Cabinet or employees are named parties in civil litigation for which the office provides primary defense or representation. The series represents the working files created and maintained by Personnel Cabinet attorneys and employees during the litigation process, and may include pleadings, correspondence, research notes, attorney-client communications, and attorney-work product. The official copies of pleadings and orders for each matter are maintained in the court of jurisdiction.
	<b>Access Restrictions</b>	KRE 503 - attorney client privilege; CR 26.02 - work product materials; KRS 61.878(1)(i)(j). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: case information, pleadings, investigation material, orders, affidavits, transcripts, legal research, notes, notices, correspondence, briefs, discovery, and other documentation or attorney work-product related to litigation.
	<b>Retention and Disposition</b>	Retain five (5) years after case closure and all appeals have been exhausted, then destroy.
06105	<b>Background Checks File</b>	CLOSED SERIES: This series documents background checks requested by the Personnel Cabinet's Office of Legal Services. Pursuant to Policy Memorandum 08-01, the Personnel Cabinet requests a review from the Administrative Office of the Courts records for each appointment, promotion and reclassification. If an AOC report indicates a conviction that an applicant failed to list on their application, then the hiring agency and the applicant is notified that the application must be amended to accurately reflect the criminal conviction history. Additionally, per KRS 18A.146, any state employee convicted of a felony may be subject to any disciplinary action deemed appropriate, including dismissal.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name, DOB, SSN, any criminal convictions including, traffic violations.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Personnel Cabinet  
Secretary, Office of the  
Diversity, Equality, and Training, Office of

**Record Group  
Number  
2070**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04536</b>	<b>Equal Employment Opportunity State and Local Government Information Report</b>	This series documents the employment statistics that certify the state's hiring practices are in compliance with appropriate federal regulations against discrimination based on race, sex, nationality, religion, age, or disability. Under Public Law 88-352, Title VII of the Civil Rights Act of 1964, the state is required to keep records and make reports to the Equal Employment Opportunity Commission (EEOC). This is a biennial report providing statistical data on the state's employment as of the previous fiscal year. The data include the geographical distribution, as well as distribution by race and sex of employees. The report reflects EEOC defined job categories and salaries within those categories. Every other year the Personnel Cabinet prepares the report for state agencies and the federal government. A copy of the report is included with federal grant applications to verify compliance of federal EEO requirements. The report is extracted from the Kentucky Human Resource Information System (KHRIS).
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Statistics reflecting applicants hired in compliance with federal regulation based on gender, race, disability, religion, etc.; Monthly salary rate; Sex; Race.
	<b>Retention and Disposition</b>	Retain for ten (10) years. Destroy after audit.
<b>06914</b>	<b>Certificate of Supervisory Essentials File</b>	This series documents employees who have applied to the Certificate of Supervisory Essentials program. Current and developing Executive Branch supervisors can apply to the program and, if completed successfully, receive one year of credit to apply toward specific positions that require supervision or management experience.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: application, notice of approval or denial, and scoresheet.
	<b>Retention and Disposition</b>	Retain in agency for five (5) years after completion of program, successful or unsuccessful, then destroy.

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# *Electronic System With Included Records Series*

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## **Personnel Cabinet**

### *Department of Human Resources Administration*

***System Description:*** The Kentucky Human Resources Information System (KHRIS) is the Personnel Cabinet's integrated human resources system that supports the HR processes managed by the Personnel Cabinet. The integrated solution replaced several separate legacy systems into one solution for the Commonwealth. The new system is configured with specific modules that support specific areas of the human resources process. Those areas include: Organizational Management (OM), Personnel Administration (PA) Benefits Administration (BN), Benefits Accounting (BNA/FSCD/Biller Direct), Time Management™, Payroll (PY), Employee Self-Service/Manager Self-Service (ESS/MSS), Image Connect (KHRIS's web app for FileNet, and the KY Employees' Suggestion System (KESS).

***System Contents:*** Group Life Insurance: the Commonwealth of Kentucky provides Basic Life Insurance and Accidental Death and Dismemberment Insurance to the employees and retirees returned to full-time employment of the Commonwealth of Kentucky, local school boards, some cities and county governmental agencies via the Benefits specific applications in KHRIS, Benefits Administration (BN) and Benefits Accounting (BNA/FSCD/Biller Direct); however, KHRIS is an integrated solution and the benefits modules are integrated with other modules in KHRIS and required for their processing of data as well. Information maintained within this module consists of current and historical life benefits elections as well as transactions related to those elections; inclusive of bills, payments, and adjustments. Payments files are received from KHRIS, KRS, KTRS, & KDE which contain payment information for employees under each company. Personnel Cabinet staff also uses KHRIS. Additional authenticated users (Insurance Coordinators and billing contacts) use the KHRIS web application as well but must have a UserID & Password to do so.

Kentucky Employees' Suggestion System (KESS): KESS is an incentive program designed to encourage employees to share their ideas on improving productivity and the services offered by the state. KESS is a web application module within KHRIS' web portal which allows merit employees to submit suggestions online to be considered for potential awards and recognition; however, KHRIS is an integrated solution and the benefits modules are integrated with other modules in KHRIS and required for their processing of data as well. Three groups of users access the system, employees with status in the classified service and employees governed by KRS Chapter 16, coordinators, and evaluators. Employees only have permission within the system to add suggestions. Coordinators use the system to assign suggestions to evaluators. Evaluators enter evaluation information into the database relating to suggestions assigned to them for review. The KESS module contents includes: brief description of present method/condition, projected cost savings, review assignments made by Coordinators, date received, evaluation of employee suggestion (eligibility, checklist, approved/rejected, reasons, requiring a regulatory change, legislative change, evaluated by , title, agency, data, recommended award), how the determination was made to approve or deny the suggestion and to provide supporting documentation for any monetary award provided to the employee as a result of the suggestion, awards presented; documentation of review by the employee suggestion system council; reconsideration process if requested; evidence of actual savings to support any monetary award provided to the employee.

The Organizational Management and Personnel Administration modules provide organizational structure, master records, position

and title information, record analysis, position descriptions, and the processing and administration of PANs. KHRIS's Time Management and Payroll modules allows for time and labor entry, leave accruals and the processing of payroll; however, KHRIS is an integrated solution where all modules are integrated with other modules in KHRIS and required for the processing of data as well. Contents for these modules include: Organizational Management (OM) – Organization Structure  
 Personnel Administration (PA) – Master record data, salary data, position and position description data, employee status  
 Time Management (TM) - Time Entry, Cost Allocation, Leave Accruals  
 Payroll (PY) – Gross to Net Processing, Tax compliance, Check / Deposit Processing  
 Employee Self-Service/Manager Self-Service (ESS/MSS) – Employee web portal, view access to payroll and time data, update personal information  
 Image Connect (KHRIS's web app for FileNet) – Employee personnel file images

The Kentucky Employees' Health Plan (KEHP) is a self-insured program providing health insurance benefits to the employees and retirees of the Commonwealth of Kentucky, as well as local school boards, local health departments and other quasi-governmental agencies. KEHP has more than 250,000 actively participating members. KEHP also provides Flexible Benefit Plans for state and local boards of education employees. KHRIS is the system of support for KEHP.

KHRIS supports the administration of benefits members and the processing and reconciliation of enrollment and payments for health insurance premiums, health insurance administration fees and FSA/HRA contributions via the Benefits' specific applications in KHRIS, Benefits Administration (BN) and Benefits Accounting (BNA/FSCD/Biller Direct); however, KHRIS is an integrated solution and the benefits modules are integrated with other modules in KHRIS and required for their processing of data as well. Contents include: The database maintains all transactions at both the policyholder and company level; inclusive of bills, payments, and adjustments. Payments files are received from KHRIS, KRS, KTRS, & KDE which contain payment information for employees under each company. Personnel Cabinet staff also uses KHRIS. Additional authenticated users (Insurance Coordinators and billing contacts) use the KHRIS web application as well but must have a UserID & Password to do so.

**General Schedule Items:** P0040 Employee Suggestion File Destroy three (3) years after all administrative activity has ceased.  
 P0025

<b>System Title: Kentucky Human Resource Information System</b>		<b>Alternate Title: KHRIS</b>
<b>Series #:</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>
00708	Payroll Requests	Retain for three (3) years.
03928	Kentucky Employee Suggestion System File	Retain permanently any employee suggestion that has been implemented.
04340	Official Job Class Specification File	Retain Permanently.
04428	Enrollment for Group Term Life Insurance File	Destroy five (5) years after employee is terminated or deceased.
04430	Insurance Billing File	Retain for ten (10) years Destroy after audit.

<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
04431	Insurance Refund File	Retain in agency six (6) years, then destroy.
04432	Group Life Insurance Files	Retain Permanently.
04522	Master Personnel Folder	Retain until fifty (50) years after most recent date of separation, then destroy.
04524	Request for Position Action Only File	Retain for three (3) years.
04525	Summary of Position Action File	Retain for three (3) years. Destroy after audit.
04536	Equal Employment Opportunity State and Local Government Information Report	Retain for ten (10) years. Destroy after audit.
04893	KEHP Health Insurance and Flexible Spending Account Enrollment Application	Retain until six (6) years after termination of eligibility, then destroy.
06080	Payroll Reports	Retain for fifty (50) years, then destroy.
P0025	Payroll Voucher (Positive Manual Adjustment Form)	Retain three (3) years in agency then transfer to the State Records Center for five (5) years. Destroy after a total of eight (8) years and audit.
P0040	Employee Suggestion File	Destroy three (3) years after all administrative activity has ceased.

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# *Electronic System With Included Records Series*

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## **Personnel Cabinet**

### *Office of the Secretary (Personnel)*

#### **Workers' Compensation Branch**

***System Description:*** The Kentucky Workers' Compensation Program is designed to compensate employees for loss of earning power due to work-related injuries or illness arising out of, and in the course of their employment. Workers' Compensation provides state government employees many benefits, in the event of an on-the-job injury, including medical costs and disability benefits. The Personnel Cabinet uses the Workers' Compensation system to administer this program.

The overall Worker's Compensation system is divided into three distinct applications, a scan application (FileNet Panagon Capture), an index application, and the main user desktop application. The main user desktop application provides the interface for management of claims database information and document workflow.

The overall design of the Worker's Compensation system is based on the integration of multiple technologies. The system utilizes Microsoft's SQL Server for the database management system and FileNet's Panagon Document Management system for imaged document management.

***System Contents:*** Employee Name, date, social security number, agency code, claim number and status.

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

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***System Title:*** Workers' Compensation System

***Alternate Title:*** Workers' Comp

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

***Disposition Instructions:***

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03641 Employee Injury Incident File

Retain files for injurious exposure claims in agency for twenty (20) years, then destroy. Retain all other files in agency for eight (8) years, then destroy.



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# *Electronic System With Included Records Series*

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## **Personnel Cabinet**

***System Description:*** The Kentucky Enterprise Learning Management System is an enterprise-wide software application for the administration, documentation, tracking, reporting and delivery of employee development opportunities. The system was launched on July 1, 2015 and is currently being used by the Executive and Legislative branches of state government. The Kentucky Enterprise Learning Management System is cloud hosted by the vendor, SumTotal, tracking over 35,000 subscribers. This simple to use web-based technology provides employees and managers with tools to assist in competency development and performance management. The Kentucky Enterprise Learning Management System currently provides many alternatives to traditional classroom training through online courses and activities.

***System Contents:*** The Commonwealth employee records contained within the Kentucky Enterprise Learning Management System system are updated nightly by the Kentucky Human Resource Information System through the Data Sync Utility. Employees who separate are marked as inactive and new hires are added to the system. A Learner's training history will remain in tact with the Learner's record. When the learner separates from the Commonwealth, the learner and transcript will remain in tact but become disabled. This data can be retrieved at any time needed.

***General Schedule Items:***

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***System Title:*** Kentucky Enterprise Learning Management System ***Alternate Title:*** KELMS

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

***Disposition Instructions:***

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05446 Ky Certified Public Manager Program File

Retain for five (5) years after date of program completion.

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# *Electronic System With Included Records Series*

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## **Personnel Cabinet**

### *Office of the Secretary (Personnel)*

#### **Kentucky Public Employees' Deferred Compensation Authority**

***System Description:*** Kentucky Deferred Compensation (KDC) is authorized under Kentucky Revised Statutes (18A.230 – 18A.275) to provide administration of tax sheltered supplemental retirement plans for all state, public school and university employees and employees of local political subdivisions that have elected to participate. Plan recordkeeping, communication, and enrollment services for KDC are performed by Nationwide Retirement Solutions.

The Deferred Compensation System contains information related to accounts held by program participants. This includes over 85,000 participants and 940 employers. The participants have access to the Kentucky Deferred Comp website [www.kentuckydcp.com](http://www.kentuckydcp.com) where they can view their account status online, make deferral changes, download forms and other minor changes to their account. This includes the ability to change their address and view prior statements, transaction history and loan modeling.

***System Contents:*** Participant Agreement; Transmittals; Beneficiary form; correspondence form; Participant statements of account values; payout form; copies of checks; Illustrations of accumulations; amendments; financial hardship date; birth/death certificate; verification of termination from employer.

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

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***System Title:*** Deferred Compensation System

***Alternate Title:***

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

***Disposition Instructions:***

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03547 Employee Deferred Compensation Participant File

Retain until twenty-five (25) years after death of participant, then destroy.

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# *Electronic System With Included Records Series*

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## **Personnel Cabinet**

### *Department of Human Resources Administration*

***System Description:*** The Career Opportunities System (COS) is an online recruitment system that allows the public to electronically search and apply for merit job openings within state government. The system allows applicants to search for job openings; apply for multiple job openings online 24 hours a day, seven days a week; view and update their personal information, work history, and application; and to create a “search agent manager” that notifies applicants by email when there is a job opening of interest to them.

When using the system, applicants must create an account with a user name and password. This account can then be used to submit applications, resumes, and cover letters. Applicants can also check their job submission status, edit their profile, and submit and update their application.

The Personnel Cabinet reviews applicant information to determine whether individuals meet classification specification minimum requirements for the position to which they have applied. The agency can view applicant information online, conduct electronic searches of applicant information for desired/required skills, education and experience; and provide online approval functionality.

***System Contents:*** Information entered by applicants: individual contact information, employment applications, resumes, cover letters. Employment applications include the following information: education/training/apprenticeship and employment history, contact information, convictions, work availability, occupational licenses and certificates, professional organizations, skills and abilities, character references, and application referral selection.

Information entered by Personnel Cabinet staff: class review forms, class rejection forms, exception forms, background check reviews, drug test forms, and verification forms.

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

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<b><i>System Title:</i></b>	<b>Career Opportunities System</b>	<b><i>Alternate Title:</i></b>	<b>COS</b>
<b><i>Series #:</i></b>	<b><i>Series Title:</i></b>	<b><i>Disposition Instructions:</i></b>	
04260	Register Certificate File	Retain for five (5) years. Destroy after audit.	
04264	Reemployment File	Destroy upon acceptance of an appointment, or after five (5) years if not reemployed.	

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***System Title:*** Career Opportunities System

***Alternate Title:*** COS

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

***Disposition Instructions:***

04266 Applicant Register Folder

Transfer to the Master Personnel Folder (04522) if appointed. If not appointed and not active, destroy after five (5) years.