



Kentucky Department for Libraries and Archives

Local Records Branch

Records Management Guidance

Records Retention Scheduling

Legal Requirements

The inventory and appraisal of Kentucky's public records are subject to the terms of KRS 171.410-740 (the State Archives and Records Act), in conjunction with 725 KAR 1:030, Scheduling public records for retention and disposal; procedures. This quick view is based on: Records Retention Scheduling: A Procedural Guide. For detailed and additional information, please reference the guide through the KDLA website at: https://kdl.ky.gov/records/Documents/Retention_Scheduling_Guidelines_November%202021.pdf

Who approves Retention Schedules?

The State Archives and Records Commission has explicit authority under Kentucky statute to review and approve state and local government agency schedules for the retention and destruction of public records. In the retention scheduling process, KDLA Local Records Branch serves as the link between the Commission and local government agencies across the state.

When can the Commission update schedules or add series?

The Commission meets quarterly in March, June, September and December, on the second Thursday of each month. New records retention schedules, and additions or changes to existing schedules are submitted to the Commission.

What are the steps to updating Retention Schedules?

- Determine a need. Do you have records that are not scheduled? Or, do you have records that need an update (retention period, change in contents, etc.)?
- Identify which schedule needs updating (General Schedule, Agency Schedule)
- Consult with the Local Records Branch. They will help identify other records officers and/or associations or advisories to provide input.
Note: in discussions with other agencies, advisories, etc. it may be determined that no changes need to be made.
- Complete D&A, in consultation with LR Branch.
- Submit Draft to Commission

What is required to add or update a series to a Retention Schedule? Who is responsible?

Retention schedules are based on the completion of Description and Analysis Form (D&A). The local agency's records officer should complete the D&A with assistance from the Local Records Branch.

What information is needed to complete the D&A?

- Current series number, if applicable;
- Originating Agency: name of the agency that creates or accumulates the records series and that is responsible for the record's informational content;
- Administrative Unit: name of the division, branch, section, or unit within the originating agency responsible for actual maintenance of the records series (ex. Administrative Services, Financial Records);
- Physical Custodian: name of the administrative unit that has physical custody of the active record.
 - Compiler: name of records officer responsible for completion of D&A;
- Title of Record: title exactly as it appears in an agency's Records Retention Schedule;
- Variant Title: common title if different from retention schedule title;
- Location(s) of Alternate Copies: listing of location of copies (ex. Clerks may have tax records);
- Information Summarized In: title and series numbers of other series which partially or totally summarize information in this series;
- Medium: formats the series is kept in;

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- Arrangement/Sort Sequence: how the series is arranged/filed (ex. Chronological by year);
- Index/Finding Aids: finding aides used to access records series (i.e. indexes);
- Date Span: when record originated and last year of creation, if applicable;
- Volume;
- Annual Accumulation;
- Reference Rate: how many times (estimate) the records series will be referenced during the first year of creation, second year, 3-5 years, after 5 years;
- Function and Use: central to establishing retention and disposition for a series. Describe in detail the purpose for which this series is or was created and used. Include specific information regarding what activity, process, or transaction the record documents. Provide information as to how the series is used within the office or unit and its relationship to other series. List previous titles by which this series may have been known or any other information that will bring a better understanding of the series, e.g., a record formerly manually created is now computer generated and maintained.
- Contents: describe in detail the specific information contained in this records series. If the series is a single record or document, list all entries it contains. If the series is a file consisting of several documents, list each one separately.
- Input Records: related series titles and numbers from which information was draw to partially or completely create the series;
- Output Records: other series by title and number that are created directly from the information;
- Vital Record: identify whether this record is vital (considered absolutely essential to the continued operation of a program or agency or one required to protect rights of individuals and/or the government)
 - How long the record is vital,
 - Protection Instructions for vital records;
- Access Restrictions: Indicate whether or not access to the series is restricted or confidential;
- Audit Requirements: is the record subject to audit and for how long;
- Legal Retention Requirements: if there is a legal requirement that this series be maintained for a specific period of time, the length of time this series must be retained, with the specific statutory reference, KAR, or CFR requiring the retention;
- Appraisal Criteria: document retention value (administrative, fiscal, legal, evidential, or historical);
- Rationale for Retention: additional information to support a recommended retention period. Why is the recommended retention necessary? What will be accomplished by retaining this record?;
- Agency Retention: at a minimum, the amount of time the records will be needed in the office for active business use.

Reminder: although much of the information to create the D&A will be found in the local agency, the Local Records Branch will be available throughout the process to facilitate, consult, and assist.

Additional information regarding records management for Local Government Agencies is available from the Local Records Branch at Kentucky Department for Libraries and Archives:

www.kdla.ky.gov

