



# Lexington/Fayette Urban County Government

## Records Retention Schedule

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



Kentucky Department for Libraries and Archives

## GLOSSARY OF TERMS For Records Retention Schedules

- Permanent (P)** Denotes records appraised as having historical, informational or evidential value that warrants preserving them permanently (forever) beyond the time needed for their intended administrative, legal or fiscal functions. These records may be destroyed **only** after the written permission is given by the State Archivist and after they are microfilmed according to specifications published by the Department for Libraries and Archives.
- Confidential (C)** Records deemed unavailable for review by the public after applying the state’s Open Records Law (KRS 61.878) and other state and federal statutes and regulations with specific restrictions. The (C) is added to appropriate record series descriptions as a reminder to agency personnel and does not bear any legal status. **It is important to note that the local government head has the responsibility of knowing all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained in their office and to see that they are enforced.** Even though a record series may or may not be marked confidential on a records retention schedule, contradictory laws or regulations that are approved after the retention schedule has been completed may not be reflected but must be honored.
- Vital Record (V)** Records that are essential to the continued functioning of the local government during and after an emergency, as well as those records that are essential to the protection of the rights and interests of that local government and of the individuals for whose rights and interests it has a responsibility. Local Government should have a plan in place to identify those records and provide for their protection in case of a disaster (fire, flood, earthquake, etc.).
- Duplicates** Duplicate records that have not been assigned a retention period and function solely as reference and informational material may be destroyed when no longer useful. If the duplicate is considered the “copy of record”, it must be retained according to the retention period on the schedule.
- Destruction Certificate** A destruction certificate should be used to document the destruction of public records and may be found, along with the instructions at the Kentucky Department for Libraries and Archives website ([www.kdla.ky.gov](http://www.kdla.ky.gov)). It should be used when destroying records according to the appropriate records retention schedule. No record created or maintained by a local government agency may be destroyed unless it is listed on the retention schedule and a destruction certificate completed and the original copy sent to the Department for Libraries and Archives (Department).
- After Audit** A term used in the disposition instructions to denote a records series that shall only be destroyed after the retention period has expired and an official audit has been performed. Example: 3 years and audit: This means that the record series must be kept for 3 years after last activity or date in a file. The record must have gone through the annual audit before it can be destroyed.

### RECORDS RETENTION SCHEDULE

#### Signature Page

Lexington/Fayette Urban County Govt

September 9, 2004

Agency

Schedule Date

January 18, 2024

Unit

Change Date

January 18, 2024

Date Approved By Commission

#### APPROVALS

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

Agency Head

Date of Approval

Agency Records Officer

Date of Approval

DocuSigned by:

1/18/2024

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State Archivist and Chairman, State Libraries, Archives, and Records Commission

Date of Approval

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

DocuSigned by:

1/2/2024

Records Analyst/Regional Administrator

Date of Approval

12/22/2023

Appraisal Archivist

Date of Approval

12/26/2023

State/Local Records Branch Manager

Date of Approval

The determination as set forth meets with my approval.

Auditor of Public Accounts

1/23/2024

Date of Approval

**Archives and Records Management Division  
Kentucky Department for Libraries and Archives**

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Budgeting

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>L4925</b>	<b>Record of Budget Amendments</b>	This record series is used to document the amendments approved for the annual budget.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, signature amount and nature of amendment.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5469</b>	<b>Budget Draft/Proposal (V)</b>	This series serves as a reference tool for the working budget process. It is used only to verify amounts, details, etc. until the final budget is approved.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Each fund & departments proposed budget, agency request, executive recommendations, 3 previous years expenses, current year expenses, estimated expenses for current year
	<b>Retention and Disposition</b>	Retain until end of current fiscal year and audit, then destroy.
<b>L5470</b>	<b>Budget Workpapers (V)</b>	This series documents the budget process and helps in the preparation of the proposed budget for submission to the approving legislative body.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Correspondence, working budget requests, computations, previous budget totals.
	<b>Retention and Disposition</b>	Retain until end of current fiscal year and audit, then destroy.
<b>L5471</b>	<b>Annual Approved Operating Budget (V)</b>	This record series documents the proposed revenues and expenditures for each agency within the local government based on solid projections. This is the final product which is adopted by the legislative body through the approval process. This budget is binding for the fiscal year.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the projected revenues and expenditures for each agency, date, narrative, reconciliation and signature.
	<b>Retention and Disposition</b>	Retain one copy permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Community Development

Series	Records Title and Description	Function and Use
L5625	<b>Grant Administration Files (V)</b>	This record series is used to document all federal and state grants managed by Community Development. The Division works with the public and private sectors in preparing grant applications for submission to state/federal agencies. The Division participates in activities related to community and economic development and administers merged governments housing rehabilitation activities through the Community Wide Housing Rehab Program (financial assistance to low to moderate income owner/occupants for the elimination of substandard housing) and the Home Housing Investment Partnership (to develop affordable housing).
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the application, income level survey forms, working papers, engineering drawings, reports, correspondence, reference material, financial and statistical data.
	<b>Retention and Disposition</b>	Retain until three (3) years after submission of the final report then destroy after audit.
L5626	<b>Consolidated Plan (V)</b>	This record series is used to serve as a planning document for the Urban County Governments participation in the U.S. Department of Housing and Urban Developments community planning and development programs. The goal of these programs is to develop urban communities by providing decent housing and a suitable living environment and to expand economic opportunities for low and moderate income persons. This plan is for the fiscal year (July 1 thru June 30) documents the federal funding acquired through Community Development Block Grants, the HOME Investment Partnerships program, the American Dream Down payment Initiative, and the Emergency Shelter Grants program.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contains what funds will be spent and how they are spent. The expenditure of funds for public improvement, public facilities, housing rehab, public services, first time homebuyer program, construction of new rental units, development of units for persons with special needs, tenant based rental assistance, homeless prevention, operational support for emergency and transitional housing, and planning and administration activities is documented.
	<b>Retention and Disposition</b>	Retain one copy permanently.
L5627	<b>Chart of Accounts (V)</b>	This record series is used to document and identify those grants that are active. It is used as a finding aid for the grant files which are listed by number. It is updated periodically with the original being held by the Division of Accounting. This is a listing of all grants for Urban County Government.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the fund number, project name, period end date, department #, grantor agency, project manager, in house manager, report due date, comments and amount of grant.
	<b>Retention and Disposition</b>	Retain until updated, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Historic Preservation

Series	Records Title and Description	Function and Use
<b>L5617</b>	<b>Property Survey Book</b>	This record series is used to document all properties in historic districts. There are fourteen designated historic districts and two historic landmarks. These are properties that are in the historic districts. These are surveys along with inventory sheets. They are filed by street address within the historic district file. These are used extensively for any improvements to the property and to document the history of the property.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the historic name, original owner, present owner, location, description, history, source of historic information, county, ADD, zoning classification, district name, status, whether on national register etc., architect who prepared the document, date completed and site plan.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5618</b>	<b>Historic District Property File</b>	This record series is used to document all properties in historic districts. There are fourteen designated historic districts and two historic landmarks with more than 2000 properties. These are properties that are in the historic districts. This has all the information concerning changes made over time, and the history of the property. There is a file on each property.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the address, name of owner, certificate of appropriateness, photos, drawings, any changes, application for changes and correspondence.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5619</b>	<b>Demolition Documentation File</b>	This record series is used to document a property that is to be demolished outside the historic district. This is research material to see if this property may come under the historic district designation.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the address, name of owner, survey information, photos, sketches of buildings, negatives and building inspection report.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5620</b>	<b>Photographs/Slide File</b>	This record series is used in the initial phase of surveying a property or when application is made for inclusion into an historic district. This file is linked to the property file and is used in conjunction with it.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the address, name of owner, survey information, photos, negatives, and link to property file.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Historic Preservation

Series	Records Title and Description	Function and Use
L5621	<b>106 Review File</b>	This record series is used to document the review process designed to ensure that historic properties are considered during Federal project planning and execution. This is a determination that may result in grant money from HUD or other federal agencies. When there is possibility of damage or harm to historic districts or property by federal activities this review is done. If it is found that the property may be harmed there may be a chance of grants from HUD of other Federal agencies.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the address, name of owner, survey information, correspondence. There are five steps in the review process: Identification and evaluation of historic properties, assessment of effects , consultation notes.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5622	<b>National Register Property Files</b>	This record series is used to document studies made of properties that are on the National Register. These are done by consultants. These proposed properties are nominated and a process is followed to see if they meet specifications to be designated an Historic Property. There are over 3,700 properties in Lexington on the National Register.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the address, name of owner, survey information, correspondence, nomination, photos, history and building drawings/characteristics.
	<b>Retention and Disposition</b>	Retain permanently.
L5623	<b>Local Historic District/Landmark Designation Report</b>	This record series is used to report to the Board of Architectural Review when an area is applying to become an Historic District or if there is to be a change in an existing district. This report is issued by Historic Preservation through a consultant. This report goes through the process of being reviewed by the Planning Commission and ultimately by the Council.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain name of consultant, history of area, properties involved, boundary information, national register information, evolution of area, drawings, areas within the district, photos, and summary information.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5473	<b>Individual Master Earning Record (V)</b>	This record series is used to document the total earning and withholdings of employees of the local government. This record is in electronic as well as paper format and is completed quarterly. This is the master copy of the earnings of the employees for the time they are employed by the local government. There are copies in different departments.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the employee #, employee name, employee title or classification, address, social security #, phone #, personal information, accounting, rate & tax information, gross earnings, mandatory withholdings, voluntary deductions, hours & earnings, net earnings, pay period, date of payment, garnishment and other related information.
	<b>Retention and Disposition</b>	Retain until seventy (70) years from date first employed, then destroy.
L5474	<b>Yearly Payroll Register (V)</b>	This record series is used to document the earnings and withholdings of employees from pay period to pay period. This is a year to date accumulation of the payroll. This information is placed in the Individual Master Earning Record quarterly and this record is only used to quickly access payroll information. This record is a listing of all employees and easier to access than the Master File.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the run date, name of employee, gross pay, withholdings, rate of pay, year to date totals, total deductions.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.
L5475	<b>Monthly Summary of Wages Earned</b>	This record series documents the monthly summary of wages for local government employees contributing to the Kentucky Retirement System. Attached to the summary report is a check to cover both the employee contribution rate of 5% and the employer contribution rate of 7.95%. Unlike other wage statements submitted to state and federal agencies, this agency (Ky. Retirement System) does not require an annual reconciliation. However, the monthly summary has a listing of individual employees attached to it.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the agency #, period covered, total wages reported, employees installment payment, employee contributions at 5%, total of installment payment and employee contribution, employer contribution at 7.95%, grand total for installment, employee and employer contribution, plus added payment for late reporting, city name, contact person, address, and phone #, certification that persons listed in report are full-time employees, date report filed, signature of reporting official followed by a listing of employees names with social security number, gross wages previous month, gross wages current month, installment purchase previous month, and installment purchase for the current month.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5476	<b>Payroll Register for Each Pay Period (V)</b>	This record series is used as a reference to verify that all calculations for payroll of individuals is complete and accurate. This information is part of database that is used to complete the Individual Master Earning Record.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the pay period ending, name of employees, gross salary, net salary , withholdings, payroll vouchers, vacation and sick leave, totals of all salaries for a single pay period.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.
L5477	<b>Time and Attendance Record File (V)</b>	This record series is used to document the official time worked by the employees during a specific pay period. It is used to input data and as an instrument to calculate payroll for employees.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the payroll sheet which is a cumulative record of employees and the time they worked during the pay period. This data is collected from the time sheets. This record series also contains the time sheet for each individual employee. Each of these contain the name of employee, time worked, name of department, authorized signature, payroll beginning date, payroll ending date, dates worked, hours worked, totals and certifications.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5478	<b>Individual Payroll Authority File (V)</b>	This record series is used to document the authorization to produce a payroll for each employee for a given pay period. This file is used for payroll purposes only and is maintained for each employee. Included in this are all authorizations needed in order to produce the payroll.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the W-4, K-4, date of employment, position, payrate, pay period, appropriate tax information, authorized deductions, leave requests, record of credit checks from lending institutions, record of attachments or garnishments and health and welfare claims paid and time and attendance records.
	<b>Retention and Disposition</b>	Retain until three (3) years after termination of employment or three (3) years after superseded, then destroy after audit.
L5479	<b>Wage and Tax Statements/W-2 (V)</b>	This record series is the annual statement of wages and taxes paid an employee for federal and state tax purposes. The Internal Revenue Service requires an employer to prepare such a statement for each employee. The employee uses the statement in the preparation of the federal and state tax return. The local government maintains a copy in its file.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains employers I.d. number, control number, name, address, employees social security number, employees name, address, wages and tips, federal income tax withheld, FICA, social security wages, medicare wages and tips, medicare tax withheld, social security tips, allocated tips, advance EIC payment, dependent care benefits, non-qualified plans, other, type of employee, employers state I.D. # state wages and tips, state income tax, locality name, local wages and tips, local income tax.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5480	<b>Tax Payment Report Worksheet</b>	This record series is used to authorize the payment of all federal withholding from the bank. This is done telephonically with the actual payment sent electronically to the IRS. This takes the place of the Federal Tax Deposit Coupon Book and the written check. This is done after each pay period. Additional information is requested on this worksheet for Tax Form 720, 941, and CT-1 FTD Payment. If total deposits of income tax withheld and social security, medicare, and railroad retirement taxes are more than \$50,000 an employer must make electronic deposits for all depository tax liabilities that occur. This was started as of January 1, 1998.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series contains the steps necessary to send in the federal withholding to the IRS. This includes the federal phone #, taxpayer I.D. #, PIN #, menu selections to initiate a tax payment, tax type #, tax payment type, tax filing period, payment amount, verification code, tax payment settlement date, acknowledgement #, settlement date.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after audit.
L5481	<b>Employee Direct Deposit Authorization</b>	This record series is used by the employee to authorize the direct deposit of their paycheck in the bank by the city.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the name of employee, name of bank, bank routing number, bank account number and signature of employee.
	<b>Retention and Disposition</b>	Retain until superseded or termination of employment, then destroy.
L5482	<b>Transmittal Register of Direct Deposits</b>	This record series is used to document that the direct deposit has occurred. This is routed through the automated clearing house and run each pay period. The employee receives the payroll check stub.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the originating point, reciving point, date of transfer, time, type of service, name, entry count, amount, credits, bebits, savings credits and file totals.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5483	<b>Annual Return of Withheld Federal Income Tax (Form 945)</b>	This record series is used to report income tax withheld from nonpayroll payments. This includes pension, annuities, and IRAs, military retirement, gambling winnings, indian gaming profits, voluntary withholding, and backup withholding. All income tax withholding reported on Forms 1099, 1099R, 1099 Misc, or Form W-2G are reported on this form,
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series contains the name of employer, address, I.D. #, federal income tax withheld, total taxes, total deposits, balance due, overpayment, monthly summary of federal tax liability, signature of employer and date.
	<b>Retention and Disposition</b>	Retain for seven (7) years, then destroy after audit.
L5484	<b>Form 1099</b>	This includes forms 1099-Miscellaneous and 1099-G. Form 1099 - Miscellaneous documents the income earned by vendors for supplies, service, equipment, office building rentals. City property tax and income tax and city licence refunds received by these vendors is also documented here. The IRS uses the information in these records to garnishee wages. This is a three part form. The top red copy(copy A) goes to the IRS, copy B goes to the payee and copy C is filed by the cityclerk/treasurer or finance officer in the city files Form 1099-G documents unemployment compensation and state or ocal income tax refunds, credits, or offsets earned by vendors of the city. The copies of the form are distributed the same as the 1099-Miscellaneous.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Form 1099-Misc contains Payers name, street address city, state and zip, account #, 2nd TIN not., rents, royalties, prizes, award, federal income tax withheld, fishing boat proceeds, medical and health care payments, nonemployee compensation, substitute payments in lieu of dividends or interest, payee made direct sales of \$5,000 or more of consumer products t buyer for resale, crop insurance proceeds, state income tax withheld, and state/payers state number. Form 1099-G contains unemployment compensation, state or local income tax refunds, credits, or offsets, tax years, federal income tax withheld, discharge of indebtedness, taxable grants, agriculture payments, and the income from trader or business.
	<b>Retention and Disposition</b>	Retain for four (4) years, then destroy after audit.
L5485	<b>Employer's Monthly Return of Income Tax Withheld</b>	This record series documents the monthly withholding of state income tax for local government employees by the local government. The return is filed with the Ky. Revenue Cabinet and a check with the total amount due is attached to the return. This return provides only grand total for all employees and does not list individual employee names and individual withholding amounts.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the employer name and address, time period covered, return due date, account number, total wages for period, Kentucky income tax withheld for period, previous period adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature, title and date line.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after audit.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

**LOCAL GOVERNMENTS**  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5486	<b>Employer's Annual Return of Income Tax Withheld</b>	This record series documents the annual withholding of state income tax from the wages of local government employees. Included on the return is an annual reconciliation for the months January to December. The return also serves as the monthly return for December. Unlike the monthly return, this document will have K-2s Employee Wage Statements attached at the time of submission, in addition, the return has the December withholding check attached to it.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the employer name and address, period beginning, period ending, return due, account number, total number of employees this period, total withholding payments processed for the period January 1 to September 30 as of December 13, Annual Reconciliation providing total wages for the year, Kentucky Income Tax Withheld as shown on K2s, a Ky. Income tax withheld, previous adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature line, title line and date line, plus a statement of adjustments and credits, Attached to the return are the individual employee K2s (Wage Statements).
	<b>Retention and Disposition</b>	Retain for seven (7) years, then destroy after audit.
L5487	<b>Employer's Quarterly Federal Income Tax Return</b>	This record series documents the quarterly payment of federal income taxes plus Social Security and Medicare taxes paid to the IRS by a local government. Attached to the return will be a check to cover these payments.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the federal ID #, name of local government office and local government, address, number of employees, total of wages subject to withholding plus other compensation, total income tax withheld from wages, tips, pensions, annuities, sick pay, etc., adjustment of withheld income tax for preceding quarters of the calendar year, adjusted total of income tax withheld, taxable Social Security wages and tips, taxable Medicare wages and tips, total Social Security and Medicare taxes, backup withholding, adjustment of backup withholding, total taxes, advance earned income credit made to employees, net taxes, balance due, overpayment, followed by a listing of tax liability by pay period and by months in each quarter with grand totals, plus signature line, job title and date.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after audit.
L5488	<b>Reimbursing Employer's Quarterly Unemployment Wage Report</b>	This record series documents the quarterly payment of unemployment insurance contributions by a local government to the Division of Unemployment Insurance. At minimum the report may be one page in length but could be far longer depending upon the number of employees. A check may or may not be attached to the report depending on whether the local government decides to file it with the report or separately.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the KY employer ID number, federal employer ID number, employee name, social security number, gross wages, total for the pages, totals for all pages, number of employees by quarter with monthly totals, previous amount due, total amount due, number of pages in the report, remittance attached yes or no, signature line, title line, address and telephone number, date.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5489	<b>Personnel File (V)</b>	This record series is used to document an individuals employment with the local government. It is the master file and the primary source of their employment history. This file should document all the employment history which is deemed significant in determining job performance.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) 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>Contents</b>	This record series may contain: Application, resume, criminal background checks; positions held, job descriptions; term of employment; letters of intent and resignation; education and experience verification; copies of immigration forms, W-4, birth certificate, and drivers license; Social Security number; complaints and disciplinary action; attendance and leave records; insurance records; copies of contracts; workers compensation; general correspondence and memos; commendations; addresses; policy and procedure acknowledgements; pension reports; and evaluations.
	<b>Retention and Disposition</b>	DESTROY THE FOLLOWING SIXTY (60) YEARS FROM DATE OF HIRE: 1) Applications for positions 2) Name 3) Last known address 4) Social security number 5) Letters of resignation 6) Starting and ending dates of employment 7) Retirement information 8) Verification of positions held 9) Disciplinary actions 10) Job descriptions.DESTROY FIVE (5) YEARS AFTER TERMINATION OF EMPLOYMENT: 1) Employee evaluations 2) Letters of intent 3) Policies/procedures acknowledgement 4) Health/life insurance membership 5) W-4 6) Copies of contracts 7) Leave records 8) Criminal background checks 9) Experience verification forms 10) Copies of driver license and birth certificates 11) Resumes 12) General correspondence/memos 13) Complaints 14) Commendations.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5490	<b>Personnel Medical File</b>	This record series is used to document the physical condition of an employee when first hired and for subsequent medical related information. Used to document physicals taken by employees such as police, firemen, and others. This may include drug testing and screening, psychological profiles and CDL physical. These include blood test results as well. The volume and use of these records varies from local government to local government.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains physical examinations, drug testing results, psychological profiles, and health information concerning the ability to do the work.
	<b>Retention and Disposition</b>	Maintain while individual employed; after termination of employment place in the Personnel File.
L5491	<b>Personnel Training Program File (Human Resources)</b>	This record series is used to document mandatory as well as voluntary training for employees. This may be for classes taken at a college or technical school or training given as part of the job description. This file also documents requests for training and approvals and payments for the training. This training also can be given in-house or by state agencies such as the Department for Local Government. There are mandatory training courses for the policemen and firemen. Used especially when litigation may be brought by an employee for some sort of discrimination.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series contains the employee agreement, grades, certificates of completion, and requests and approval for training.
	<b>Retention and Disposition</b>	Retain until three (3) years from the date of creation of the record or after litigation resolved, whichever is later (29 CFR 1602.30-31), then destroy.
L5492	<b>Hiring Procedures File</b>	This record series is used to document information that is used in reporting to Equal Employment Opportunity Commission (EEOC). This is primarily for compliance with affirmative action guidelines. This sets out the groups of persons protected and letters received for testing and that positions have been filled according to EEOC guidelines. This file also may have police reports for individuals seeking employment.
	<b>Access Restrictions</b>	KRS 61.878 (k)(3)
	<b>Contents</b>	This record series contains the name of person , address, social security #, previous employer, reference confirmation, test scores, hiring information.
	<b>Retention and Disposition</b>	Retain until three (3) years from the date of creation of the record or after litigation resolved, whichever is later (29 CFR 1602.30-31), then destroy.
L5493	<b>Applications - Persons Not Hired</b>	This record series is used to document those applicants who have applied for positions but not hired. It is used as a reference for possible filling of positions in the future.
	<b>Access Restrictions</b>	KRS 61.878 (k)(3)
	<b>Contents</b>	This record series contains the applicant name, address, telephone, social security #, questions about past employment, visa or immigration status, work availability, education, references, specialized skills, military service and signature.
	<b>Retention and Disposition</b>	Retain for two (2) years or until after close of litigation whichever is later, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5494	<b>Civil Service Exam File</b>	This record series is used to document the exams taken by persons to fill positions. These must be advertised in the local paper. These tests are rented from the Internal Personnel Management Association and are returned to them along with the answer key. These tests are given only when there is a position to fill.
	<b>Access Restrictions</b>	KRS 61.878 (k)(3)
	<b>Contents</b>	This record series contains the list of applicants, applications, resumes, test, eligibility list, results, tear sheets and related correspondence.
	<b>Retention and Disposition</b>	Retain until three (3) years from the date of creation of the record or until the litigation is resolved, whichever comes later (29 CFR 1602.30-31), then destroy.
L5495	<b>Workers' Compensation File (V)</b>	This record series is used to document those employees who have applied for workers compensation. This file documents job related injuries or infestations from which workers comp is requested by employees.
	<b>Access Restrictions</b>	KRS 61.878 (k)(3)
	<b>Contents</b>	This record series contains the injury report, medical determinations, log of injuries and claim to the insurance company.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after claim is settled.
L5496	<b>Position Classification Documents File (V)</b>	This record series is used to document each job classification and the requirements needed to hold a particular position. Used in the hiring of persons to fill positions.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the title of each job classification, qualifications, minium requirements, educaitonal requirements, type of testing needed and certifications requested.
	<b>Retention and Disposition</b>	Retain one (1) copy of each position classification permanently.
L5648	<b>Family and Medical Leave Record File (V)</b>	This record series is used to document those who apply for leave under the Family and Medical Leave Act (FMLA). Covered employers must grant an eligible employee up to a total of 12 workweeks of unpaid leave during any 12 month period for maternity, for adoption, to care for an immediate family member, or because of a serious health condition. This file is maintained separately from other payroll and personnel records.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the application, approval or denial letter, doctors statements, payroll information and leave records.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
<b>L5649</b>	<b>Disability Leave Files (V)</b>	This record series is used to document those who apply for leave because of an existing disability. This disability may have been job related or other circumstances. This is a separate file and is used as a reference when doing payroll and to denote that this is a special disability case. These applicants may apply under the Americans with Disabilities Act.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain the leave request, doctors statements, P1 to restore the time missed and employee directory information.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
<b>L5650</b>	<b>Benefits File (V)</b>	This record series is used to document the benefits offered by Urban County Government to the employees and the application for those benefits. This file is used to verify beneficiary changes to insurance and other plans and to document what benefits an employee has elected to take.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain the application, benefits offered, copies of benefit changes and employee information.
	<b>Retention and Disposition</b>	Retain until three (3) years after termination of employment, then destroy.
<b>L5654</b>	<b>Terminate/Warning List</b>	This record series is used to document those employees who are scheduled to leave employment in the upcoming month. This may be those who have given notice to leave, those who are retiring or those who are terminated for other reasons. Some are on probation and will be terminated. This series is used to make the appropriate changes to the employment records.
	<b>Access Restrictions</b>	KRS 61.878.(1)(a)
	<b>Contents</b>	This record series may have the name of employee, work status, directory information, classification, date of hire and information concerning why the person is leaving.
	<b>Retention and Disposition</b>	Retain until one (1) year after update, then destroy.
<b>L5655</b>	<b>Child Support Orders</b>	This record series are orders issued by the court for employees to pay child support. When these orders are received the information is put into the employees record for deduction from their pay.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain employee information, amount to be paid, when to be paid and directory information.
	<b>Retention and Disposition</b>	Retain until employee leaves or the order is terminated, then destroy.



**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

**LOCAL GOVERNMENTS**  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Human Resources

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>L5656</b>	<b>Domestic Relations Report</b>	This record series is used to document the amount of money is paid to the Division of Child Support for each employee. This is done through payroll deduction and is completed each pay period. Some of these employees are court ordered to do this and others do it as a convenience.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain the name of employee, directory information, amount of payment.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
<b>L5657</b>	<b>Classification Report</b>	This record series is used to document the exact classification of employees by Division. This is a reference in doing payroll.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of employee, division, classification #, title, hire date, employee #, account #, grade, totals of each Division and totals of all employed by Urban County Government.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
<b>L5658</b>	<b>Garnishment Register</b>	This record series is used to document those who have had wages garnished. The appropriate notation is made concerning the payroll deduction and where the amounts are to be forwarded. This file is updated as garnishments come and go. Used to as a reference for inquiries from the IRS and state revenue.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the amount of garnishment, employees name, and time period.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
<b>L5659</b>	<b>Employment Verification File</b>	This record series is used to document that a person is employed by Urban County Government. There are requests from financial institutions when an employee is borrowing money and for background checks. This is only a statement that says a person actually works for Urban County Government.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the employees name, salary, time employed and directory information.
	<b>Retention and Disposition</b>	Retain until copied to employees payroll file, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5660	<b>Payroll Edits</b>	This record series is created to use as a double check when changes are made to employees records. Using the P1 and other entry documents changes are made on a bi-weekly basis. This documents all adjustments and changes that may be made to an employees payroll on pay period basis.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the changes made, direct deposit information, w4/k4 information, new p1 information, name of employee, directory information.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.
L5661	<b>Vacancy Report</b>	This record series is used to list all of the jobs that are authorized and filled at any given time. This report gives the salary and classification of each vacancy. This report is used primarily by the Director of Human Resources to keep track of vacancies. This report is by position number and does not include names.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain classification #, position title, civil service positions and those that are deemed unclassified.
	<b>Retention and Disposition</b>	Retain until updated, then destroy.
L5662	<b>Life Insurance Death Claims File (V)</b>	This record series is used to document information that is prepared to send to the insurance company when an employee or retiree dies.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain a copy of the death certificate, beneficiary forms and application for the life insurance.
	<b>Retention and Disposition</b>	Retain until claim is settled, then destroy.
L5663	<b>Health and Dental Claims Payment (V)</b>	This record series is used to document claims made by employees for medical and dental services. This is done bi - weekly and a the claims are submitted to the appropriate insurance company.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain invoices, proof of claims draft, claims register, and disbursement requests. It will contain the name of employee and insurance information.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5664	<b>Life Insurance Payment File (V)</b>	This record series is used to document the proof of payment of the group term life insurance premium to the insurance company. This is for both current employees and retirees.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain pay period, date, payroll reports, payments by employees, and total.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5665	<b>401K Reports</b>	This record series is used to document payment into a 401K fund by employees. This report is used as a reference when inquiries are made and as proof that a payment has been made. This is done each pay period.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain employee name, position, amount, payroll reports, check copies.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5666	<b>Comp - Time Report</b>	This record series is used to document the amount of comp time accrued by each employee. This report is only used as a quick reference. Comp time will be a part of the time and attendance record and will also be on the year end payroll register.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of employee, amount of comp time, pay period, and directory information.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5667	<b>Bi-Weekly Absentee Report</b>	This record series is used to document the absences for a pay period. This is used as a quick reference by staff when inquiries are made or there is a need to answer payroll questions.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of employee, type of absence, amount of time taken and employee information.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
L5668	<b>New Hire Report</b>	This record series is used to document any employees that are newly hired, rehired, or who return to work after a separation of employment. This mandated by the Social Security Act. The information that is reported is used in assisting the state in locating parents who owe child support or to identify recipients of public assistance and unemployment compensation who fail to report earnings. This report must be submitted no later than 20 days after an employee is hired, or returns. This report is transmitted electronically.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain the employees name, address, SS#, employers name, payroll address, federal id #, date of hire, date of birth, and other information.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5763	<b>Leave Requests</b>	This record series is used to document requests for leave by urban county government employees. This information may be forwarded to the payroll section which will use it to compile attendance.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Data elements in these records include: name of applicant, school, date of absence, reason for requested leave, attachments when necessary, signature of the employee and that of the physician and/or notary when required.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5872	<b>Employee Grievance File</b>	This record series is used to document grievances by employees concerning violations, misapplication or misinterpretation of specific provisions of employee/employer agreements. A grievance is a complaint filed by an employee which concerns some aspect of the conditions of employment over which the local government has control and which has occurred or which the employee has become aware, through the exercise of due diligence. Grievances may be channeled through the supervisory chain . This record series also includes EEO complaints which may be appealed to the State Personnel Board.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the written complaint, conference summary, administrative decision, date , name, address, job title, investigative documents, exhibits, related correspondence, withdrawal notices and decisions.
	<b>Retention and Disposition</b>	Retain original until three (3) years after resolution, then destroy. Retain duplicate files until after resolution, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Human Resources

Series	Records Title and Description	Function and Use
<b>L6383</b>	<b>Unemployment Insurance Claim File</b>	This record series is used to document those claims made by Urban County Government former employees who qualify for unemployment benefits. They must have worked at least the first four out of the last five completed calendar quarters prior to the time that your claim is filed. They must have been determined to be unemployed through no fault of their own. As used Kentucky Revised Statutes 341.05 thru 341.990, "employing unit" means state or any department, division, administrative unit, political subdivision or municipality thereof, which has or subsequent to January 1, 1936, had one (1) or more workers performing services for it within this state, or one (1) or more workers performing services for it in covered employment in any state, or any successor to any employing unit defined in this subsection.
	<b>Access Restrictions</b>	KRS 341.190(3)(a)
	<b>Contents</b>	This record series may include the notice of claim, employment verification, fact finding report, notice of decision, referee hearing notice, referee decision, correspondence and other information pertaining to the claim.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after case closure and audit.
<b>L6649</b>	<b>Civil Service Commission Case Files</b>	This record series is used to document Civil Service Commission rulings on disciplinary actions involving employees of Urban County Government.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain copies of disciplinary actions, charges of dismissal, opinion and order, date, name, address, job title, investigative documents, exhibits, correspondence, subpoenas, attorney letter of introduction, photographs and hearing tapes/recordings.
	<b>Retention and Disposition</b>	Retain until five (5) years after case has been resolved or closed, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Planning

Series	Records Title and Description	Function and Use
<b>L5500</b>	<b>Comprehensive Plan and Adjustments</b>	This record series is used to document plans for the future growth and development of a community or county. The comprehensive plan covers all geographic parts of local governments and all aspects that affect physical development. The plan is considered a summary of policy and procedure and is not necessarily a mandate that all of the plans be carried out. It strives to present a 20 year vision of the future for the local government and what steps it will take to make that vision happen. It is required by KRS 100.183.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Introduction, Base Study, Issue Analysis, Goals & Objectives, Land Use Plan, Transportation Plan, Community Facilities Plan, Implementation.
	<b>Retention and Disposition</b>	Retain one copy permanently.
<b>L5501</b>	<b>Subdivision Regulations (V)</b>	This record series documents requirements for the subdivision of land for industrial use, commercial use, farms into tracts for residential use. These regulations are usually compiled with the assistance of the Area Development Districts or it can be a solo effort on the part of a planning and zoning commission and the legislative body.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Definitions, purpose statements, subdivision classes, requirements for plat submission, design standards, physical improvements, general provisions
	<b>Retention and Disposition</b>	Retain one copy permanently.
<b>L5502</b>	<b>Site Development Plan File (V)</b>	This record series documents the application with zoning boards or commissions for permission to construct a multi-family dwelling, a commercial building, an apartment complex, or any other structure that is under the jurisdiction of this governing body. The developer is required to submit a plan indicating all physical information regarding his intentions to develop. The board is then responsible for deciding if all zoning requirements are adequately met within the submitted plan. After the project is completed, this information is used as reference and/or for historical purposes only.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, name of developer or development company name and address, architectural or engineering drawings and plans, other required plan information
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5503</b>	<b>Master Map (V)</b>	This record series is used to document the zoning designation for all areas within a zoning board or commission jurisdiction. It also provides the geographic dimensions of each particular zone.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, legend, zone specifications, geographic detail of each zone
	<b>Retention and Disposition</b>	Retain one copy permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Planning

Series	Records Title and Description	Function and Use
<b>L5504</b>	<b>Maps, Plats, Plans and Drawings File (Planning &amp; Zoning) (V)</b>	This record series documents the planning and zoning areas within the city and may be preliminary maps and plats of all zoning and may also be maps of certain areas within the city. These are used in the zoning and building process.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series may contain the preliminary maps, plats, plans and drawings. Also may include the final zoning of distinct areas within the city. Includes the date, names and areas.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L6899</b>	<b>Zoning Violation File</b>	This record series documents investigations and notices issued for violations of zoning use. If not remedied, violations may result in legal action and thus become part of a litigation file.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain: Address of violator, name of owner, date of violation, photos, explanation of violation, the amount of time to remedy the violation, instructions for verification that the violation has been fixed and related documents.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L6900</b>	<b>Zoning Compliance File</b>	This record series documents compliance with zoning requirements. All zoning variances such as conditional use and/or dimensional restrictions are approved or denied by the Board of Adjustment. An approval allows the applicant to obtain a building permit and/or a Certificate of Occupancy.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain: Permits, zoning letters, photographs, blueprints, plans, permit applications, previous building permits, copies of Board Minutes, zoning codes, Board referrals, land use restrictions and related documents.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Purchase of Development Rights Program (PDR)

Series	Records Title and Description	Function and Use
<b>L5628</b>	<b>Appraiser File</b>	This record series is used to document those persons who contract with the Rural Land Management as appraisers in the process of determining the value of land. These persons apply to be on the list and must submit qualifications. They must be a licensed real estate appraiser who is qualified to appraise property for easement purchase. A file is maintained on each appraiser. Payroll information is maintained by the Division of Human Resources.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain qualifications, request for qualifications, hiring information, pay, name, address, phone, email and copy contract.
	<b>Retention and Disposition</b>	Retain until no longer useful, then destroy.
<b>L5629</b>	<b>Appraisals (V)</b>	This record series is used to document the appraisal for a conservation easement completed by a qualified appraiser. If the rural land staff and the landowner reach an agreement as to the terms of the proposed deed of easement this appraisal is completed. The cost is paid by the Rural Land Board. The appraisal is completed and a copy is sent to the landowner with a letter advising that within 30 days the landowner must agree with the appraisal, withdraw the application or get an independent appraisal.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain a legal description of the land, description of improvements, photos of the land, sketch of the parcel of land, public or private land use restrictions, analysis of the best use of the land, valuation methodology used to determine value, market value, the conservation easement value of the land, and the value of the buildings on the land.
	<b>Retention and Disposition</b>	If a conservation easement is purchased retain permanently. If no conservation easement is purchased, retain two (2) years then destroy.
<b>L5630</b>	<b>Farm Application File (V)</b>	This record series is used to document the owners of farms who are offering to sell to the Rural Land Board or the Lexington/Fayette Urban County Government a conservation easement in eligible land. In order for the application for a conservation easement to be considered it must meet certain criteria. 1)The applicant must have good, marketable, fee simple title 2) the land must be located entirely within either the core agricultural and rural land category (CARL) or the natural areas category (NAT) land use categories 3) any non-conforming or non-agricultural use shall be excluded 4) must be at least 20 acres 4) landowners must agree for the duration of the easement to maintain a land conservation plan and/or forest stewardship plan. These applications are reviewed by the rural land staff and ranked according to certain criteria. If an offer is made by LFUCG the owner may accept or refuse. If the owner refuses the offer the application file becomes inactive. If the owner accepts the offer the easement is purchased and a deed is executed by the landowner.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This records series may contain name of owner, address, contact information, property information including location, if there are multiple tracts, deed information, conservation easement information, map of property, description of agricultural production, statement by the landowner of any contingencies which may effect the property such as health, financial stress etc., statement by the landowner agreeing to allow inspection and appraisal of the land, list of encumbrances, existence of any surface or mineral leases, and filing fee.
	<b>Retention and Disposition</b>	Retain purchased files permanently. Retain inactive files for five (5) years, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Purchase of Development Rights Program (PDR)

Series	Records Title and Description	Function and Use
L5631	<b>Farm Application File (Rejected)</b>	This record series is used to document that an application has been submitted by a landowner for the purpose of offering to sell an PDR easement to urban county government. There are certain criteria that must be met in order to qualify and if they arent the application is rejected.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the owners directory information, land information, plans.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Risk Management

Series	Records Title and Description	Function and Use
<b>L5585</b>	<b>Workers' Compensation File (V)</b>	This record series is used to document those employees who have applied for workers compensation. This file documents job related injuries or infestations from which workers comp is requested by employees.
	<b>Access Restrictions</b>	KRS 61.878 (a)
	<b>Contents</b>	This record series contains the injury report, medical determinations, log of injuries and claim to the insurance company.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after claim settled.
<b>L5586</b>	<b>General Liability Claims (V)</b>	This record series is used to document those claims by a third party against the Urban County Government or its employees and should be reported to Risk Management Claims within three working days of notice to the Division. This may be any claim other than the ones listed that are brought by a third party, including those involving government employees.
	<b>Access Restrictions</b>	KRS 61.878 (a)
	<b>Contents</b>	This record series contains the injury/complaint report, medical determinations, summary of claim, police report if necessary.
	<b>Retention and Disposition</b>	Retain until five (5) years after claim is settled, then destroy. For a minor, retain until he/she reaches twenty-three (23) years of age, then destroy.
<b>L5587</b>	<b>Auto Liability Claims (V)</b>	This record series is used to document claims where an Urban County Government vehicle has damaged or injured a third party and should be reported within three days to Risk Management by the employee.
	<b>Access Restrictions</b>	KRS 61.878 (a)
	<b>Contents</b>	This record series contains the injury report, medical determinations, summary of claim, type of damage or injury, date, time, police report, if needed, and other supporting documents.
	<b>Retention and Disposition</b>	Retain until five (5) years after claim is settled, then destroy. For a minor, retain until he/she reaches twenty-three (23) years of age, then destroy.
<b>L5588</b>	<b>Auto Physical Damage Claims (V)</b>	This record series is used to document claims where an Urban County Government vehicle has been damaged and should be reported within three days to Risk Management by the employee. These are claims where third parties are not involved.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the , summary of claim, type of damage, date, time, police report, if needed, and other supporting documents.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Risk Management

Series	Records Title and Description	Function and Use
L5589	<b>Property Damage Claim File (V)</b>	This record series is used to document claims where an Urban County Government vehicle has been damaged or has damaged property and should be reported within three days to Risk Management by the employee. This is a demand for payment for insured loss to physical property, independent of liability or bodily injury.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the , summary of claim, type of damage, date, time, police report, if needed, and other supporting documents.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L5590	<b>Accident Review Committee Report (V)</b>	This record series is used to document the reviews of accidents that may be in question. This committee, which is made up of Risk Management personnel, with input from the Law Department determines fault issues and what procedures should be taken in particular accidents. This committee meets as needed. This report is made to the Division Director.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the issues involved, summary of claim, type of damage, date, time, police report, if needed, recommendations and other supporting documents.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L5591	<b>Third Party Administrator (TPA) Contracts (V)</b>	This record series is used to document an agreement between Lexington Fayette Urban County Government and a third party, which is an outside agency or individual responsible for claims adjustment and administration for the self insured government. Urban county government has contracted with two TPAs, one for workers comp. and one for auto and general liability claims.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of the third party, name of insured party, agreement details and duration of agreement.
	<b>Retention and Disposition</b>	Retain until three (3) years after termination of agreement, then destroy.
L5592	<b>Claim File Audits and Responses</b>	This record series is used as quality control to make sure that all claims are maintained and serviced according to best practices. This is done annually and is only used by Risk Management to police themselves.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain a general overview of the claims, how they were handled, who was responsible for the audit, and the responses made.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Risk Management

Series	Records Title and Description	Function and Use
<b>L5593</b>	<b>Training Records (Employees)</b>	This record series is used to document training given to employees from the first time employed and throughout their employment. This training is stressed by OSHA and should be done to outline all contingencies that may occur in a work environment. These training procedures are defined for the areas of employee orientation, blood borne pathogens, infectious disease, confined spaces, lockout/tagout, hazard communication and hot work permit.
	<b>Access Restrictions</b>	KRS 61.878 (k)(3)
	<b>Contents</b>	This record series may contain the training procedures, name of employee, training, date, time, and supporting documentation.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
<b>L5594</b>	<b>Occupational Safety &amp; Health Administration (OSHA) Logs</b>	This record series is used to document work related injuries and illnesses and is mandated by the U.S. Department of labor. This is to be maintained by all Divisions in Urban County Governments. All work related injuries or illnesses are documented.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the case number, employee name, job title, date of injury or onset of illness, where the event occurred, description of illness or injury, classification of the case, number of days on the job or away from work, establishment name, date and city.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L5595</b>	<b>OSHA Inspections &amp; Investigations</b>	This record series is used to document OSHA inspections of facilities and if there are special investigations into possible safety violations the documentation is in this file.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, inspector name, overall evaluation, violations, conclusions of investigations, remedies, deadlines and signature of inspector.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L5596</b>	<b>OSHA Surveys</b>	This record series is used to document routine surveys taken to satisfy OSHA requirements. This may be for special injury or illness causing problems such as workplace hazards or air contaminations. These are conducted by Urban County Government at the request of OSHA.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, overall evaluation, description of survey, where surveyed and by whom.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Risk Management

Series	Records Title and Description	Function and Use
<b>L5597</b>	<b>Job Hazard Analysis File</b>	This record series is used to document that there has been an inspection of an area looking for possible hazards that may result in injury of health. This is a summary of information received from different areas in Urban County Government. This is mandated by OSHA and is done annually.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, inspector name, area inspected, listing of hazards and what was done to remedy.
	<b>Retention and Disposition</b>	Retain until updated or no longer applicable, then destroy.
<b>L5598</b>	<b>Personnel Protective Equipment File</b>	This record series is used to document the protective equipment that certain employees have to use in their jobs such as construction, fire, ems etc. This updated periodically to make sure all are in compliance with OSHA standards.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, inspector name, area inspected, equipment inventoried and discrepancies.
	<b>Retention and Disposition</b>	Retain until updated or no longer applicable, then destroy.
<b>L5599</b>	<b>Loss Prevention Surveys, Audits, Evaluations and Inspections File</b>	This record series is used to document the a physical plant audit of a facility for the purpose of fire protection. This would include the checking of fire extinguishing equipment and anything that is involved in fire protection.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, inspector name, area inspected, equipment inventoried and discrepancies.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L5600</b>	<b>Divisional Safety Inspections</b>	This record series is used to document that there has been an inspection of areas for all safety issues. This is done on the division level periodically to make sure they are compliant with those safety guidelines issued by Risk Management.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, inspector name, area inspected, and any safety areas that are not in compliance.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Risk Management

Series	Records Title and Description	Function and Use
<b>L5601</b>	<b>Asbestos Exposure File</b>	This record series is used to document personnel who have been exposed to possible high levels of asbestos. Usually the exposure to asbestos is at the time the abatement team is cleaning out asbestos in government owned buildings. It may take a long period of time (estimated by OSHA to be 25 to 30 years) for the contamination to have an adverse on ones health.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, hazard exposed to , duration and where it happened.
	<b>Retention and Disposition</b>	Retain until thirty (30) years after termination of employment, then destroy.
<b>L5602</b>	<b>Sampling and Testing File</b>	This record series is used to document that there has been testing and sampling of areas in the government buildings. The sampling and testing is initially done by the Division of Building Maintenance and Construction staff. They are responsible for asbestos abatement and when this is done in an area the sampling and testing information is forwarded to Risk Management. When all the government buildings were initially checked in 1988 to see if there was asbestos contamination, samples were taken and areas disiganated as being contaminated. All of the areas showing high levels of asbestos were abated. When property is acquired samples are taken and tested. The findings of the Division of Building Maintenance is often cross checked by Risk Management. The areas are spot checked to see if they are within safety limits. This testing and sampling is also done for radon, particulates.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, amounts, readings, tests, persons involved and area taken.
	<b>Retention and Disposition</b>	Retain until thirty (30) years after building demolished or asbestos abatement, then destroy.
<b>L5603</b>	<b>Noise Exposure File</b>	This record series is used to document exposure to unhealthy level of noise as determined by OSHA. When there is a complaint that there is excess noise in the workplace, measurements are taken and charts supplied by OSHA are used to determine if levels are harmful. If it is determined to be a health risk it must be remedied.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, amounts, readings, tests, persons involved and area taken.
	<b>Retention and Disposition</b>	Retain until two (2) years after termination of employment, then destroy.
<b>L5604</b>	<b>Toxic or Flammable Gases/Vapor Sampling and Monitoring File</b>	This record series is used to document that continuous testing of areas for any toxic or flammable gases. These do not have chronic consequences as determined by OSHA.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, amounts, readings and area taken.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Risk Management

Series	Records Title and Description	Function and Use
<b>L5605</b>	<b>Indoor Air Quality File</b>	This record series is used to respond to complaints from workers in areas where there may be a problem with the air. This involves the testing for CO2, humidity, temperature, and mold.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, amounts, readings and area taken.
	<b>Retention and Disposition</b>	Retain for ten (10) years, then destroy.
<b>L5606</b>	<b>Ergonomic Evaluation File</b>	This record series is used to respond to complaints from workers in areas where there may be a ergonomic problem. The situation is surveyed and recommendations are made. This record is used when claims are made by employees that because of their work they have sustained back, wrist, or other physical chronic ailments.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, division, area, description, summary, conclusions and remedies.
	<b>Retention and Disposition</b>	Retain for ten (10) years, then destroy.
<b>L5607</b>	<b>Job Site Inspections and Audits</b>	This record series is used to document overall inspections of job sites. These are done periodically and may result in action being taken. This is done as a preventive measure.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, division, area, description, summary, conclusions and remedies.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L5608</b>	<b>Facility/Site Records</b>	This record series is used to document all Urban County Government facilities and sites and possible environmental problems. These are layouts of these facilities and the history of problems or improvements made. These are essentially facility files which contain the environmental history of that facility.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of facility, address, function, drawings, any complaints registered, environmental work completed, and issues concerning air quality and work environment.
	<b>Retention and Disposition</b>	Retain Permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Risk Management

Series	Records Title and Description	Function and Use
<b>L5609</b>	<b>Environmental Training Records</b>	This record series is used to document the training given by the Safety and Health section to offices throughout Lexington/Fayette Urban County Government. This training is done to inform and to provide guidance in sound environmental best practices.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of training, date given, audience and certification.
	<b>Retention and Disposition</b>	Retain for ten (10) years, then destroy.
<b>L5610</b>	<b>Federal Energy Efficiency Partnerships</b>	This record series is used to document those federal programs that promote energy proficiency. They include the Energy Star Partnership which is a program managed by the EPA and Dept. of Energy. It is a labeling program designed to identify and promote energy efficient products, in order to reduce carbon dioxide emissions. Also the Rebuild America Partnership which is a US Dept of Energy program to build partnerships among communities, states and the private sector to improve building performance.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the procedures, agreement, federal guidelines and assistance, correspondence and informational material.
	<b>Retention and Disposition</b>	Retain until new agreement is initiated, then destroy.
<b>L5611</b>	<b>Government Wide Environmental Initiatives</b>	This record series is used to document those government wide programs that promote better environmental policies with the private sector. These include recycling and the universal waste program. The records are maintained by Risk Management for informational purposes and to document all policies and procedures.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the procedures, periodic reports, program initiatives, and those who participate.
	<b>Retention and Disposition</b>	Retain until no longer useful, then destroy.
<b>L5612</b>	<b>Petroleum Underground Storage Tanks (UST)</b>	This record series is used to document the Urban County governments underground storage tanks for hazardous chemicals. This is the registration file and is used to document any changes in the facility. This also documents what type of chemicals are stored and the maintenance on those facilities.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record may contain the address, capacity, registration with the state, type of chemical, and maintenance.
	<b>Retention and Disposition</b>	Retain until three (3) years after tank is removed, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Administrative Services - Risk Management

Series	Records Title and Description	Function and Use
L5613	<b>Tier II Emergency and Hazardous Chemical Inventory Submittals (Community Right to Know)</b>	This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5614	<b>Hazardous Materials Exposure File</b>	This record series is used to document any personal or environmental monitoring of exposure to hazardous materials, lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation or other related conditions.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains date of exposure, amount, time, type of exposure and actions taken.
	<b>Retention and Disposition</b>	Retain for thirty (30) years, then destroy.
L5615	<b>Material Safety Data Sheets (MSDS)</b>	This record is used to document that a data sheet has been submitted for each hazardous chemical received by employers and must maintain it on file. These must be readily available to the employees. This record documents where the chemicals are used and where they were used and for how long.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains name of employer, address, chemical, quantity, summary of use, where they were used, date, and certification.
	<b>Retention and Disposition</b>	Retain for thirty (30) years, then destroy.
L5616	<b>Occupational Safety &amp; Health Administration (OSHA) Annual Summary</b>	This record series is completed annually to report to OSHA the number of cases, number of days away from work, and the injury and illness involved. This is a statistical report and must be completed and signed.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the number of cases, total number of deaths, number of days missed, injuries, skin disorders, respiratory conditions, poisonings, facility info, employment information and a certification.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Risk Management

Series	Records Title and Description	Function and Use
L5808	<b>Insurance Policy File (Property and Casualty) (V)</b>	This series documents a contract between LFUCG and an insurance company whereby for a stipulated consideration, the company agrees to compensate the other for loss against a specified action or event. According to KRS 413.120 actions taken against the provisions of the policy must be made within a 5 year period. These are primarily property and casualty policies.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains th policy, correspondence, supportive claim documents.
	<b>Retention and Disposition</b>	Retain until five (5) years after cancellation or expiration, then destroy after audit.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Administrative Services - Tenant Services and Housing Counseling Office

Series	Records Title and Description	Function and Use
L5632	<b>Client Files</b>	This record series is used to document those who apply for the services provided by this office. This agency provides counseling referrals and information concerning housing. The agency acts as an advocacy center for low to moderate income individuals who experience a range of housing problems including issues of quality of housing, affordability, legality and discrimination. This office has been a HUD certified comprehensive housing counseling agency since 1989. The main types of service provided are: 1) Renter/tenant assistance, finding re-location housing or temporary housing, homeless prevention, emergency resources for rent, utilities, security deposits, food, furniture and money management counseling. 2) Tenant/Landlord Counseling 3) Lawyer services for notices to vacate, evictions, representation in court, appeals and landlord-tenant mediation 4) Homeowners assistance with mortgage default, foreclosure prevention counseling, pre-homeownership counseling, and home equity conversion mortgage.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain name of client, address, correspondence, medical statement, confidentiality statement, social security number, banking information, land ownership documentation.
	<b>Retention and Disposition</b>	Retain for four (4) years, then destroy.
L5633	<b>Client Index (V)</b>	This record series is used as a finding aid for the clients that are actively being served by the office. This file is both in a card index and in electronic form. This is not only used as a finding aid but as a quick reference for information concerning a client.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the name of the client, address, social security number, location in file, type of service, list of visits, intake data, income.
	<b>Retention and Disposition</b>	Delete client name when client file is destroyed.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Citizens' Advocate Office

Series	Records Title and Description	Function and Use
L5635	<b>Complaint Case File</b>	This record series is used to document concerns of citizens. This office acts as an ombudsman or independent agent to investigate citizens complaints, discloses any irregularities or abuses by urban county government or its employees, recommends policy changes to improve access to urban county government offices, suggests ways to strengthen the government system and provides callers with information and referrals. Citizens contact the office and a file is kept on each of these.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain correspondence, time/date complaint received, citizen name, nature of complaint or request and steps taken by the office to answer the complaint.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L5636	<b>Index to Complaint Case File (V)</b>	This record series is used as a finding aid for the complaint case files. Each citizen call or correspondence is given a number which corresponds to the name.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain name of citizen, number of file and summary of the complaint.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
<b>L5446</b>	<b>Annual Reports of Departments, Divisions or Offices (V)</b>	This series documents the administrative and fiscal history of each department, division, office or agency within the local government for the business year. These may be presented to the legislative body as the annual report or presented to the official office of record.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Annual compilation of department activities and statistics.
	<b>Retention and Disposition</b>	Retain Permanently.
<b>L5447</b>	<b>Periodic Reports of Departments, Divisions and Offices</b>	This series documents monthly, quarterly administrative and/or economic activity for each department, division or office. These report the activities for the period indicated and are used for the purpose of tracking the work completed during that period. These reports may be routed to the executive branch, legislative branch, department head or division head and are used to produce the annual report.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, narrative, statistics, signature of department head, cover letter
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
<b>L5448</b>	<b>Agendas/Meeting Notices</b>	This record series is used to document that those members and other interested parties have been notified and sent what items would be addressed at a meeting of the legislative body.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may include the date and time and the subjects to be addressed.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
<b>L5449</b>	<b>Official Correspondence</b>	This record series documents the major activities, functions, events and programs of a local government and in addition helps in the establishment of an administrative history. It provides a record of policy evolution and formulation, how and why decisions are made, and how these decisions impacted the local government and the public at large. This series is usually created by the chief administrative officer of the local government and also by administrative heads of official departments, commissions, boards and agencies within the local government.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series may contain memos, letters, policy statements, surveys and other communication between the agency head and others. This may be in paper or electronic form.
	<b>Retention and Disposition</b>	Retain Permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
<b>L5450</b>	<b>Routine Correspondence</b>	This correspondence is not crucial to the preservation of the administrative history of the agency. It is a non-policy nature and without permanent value. It deals only with general and routine operations of the office. The official operations are documented by other records maintained by the agency.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Incoming and outgoing correspondence of a non-policy nature without permanent value. May include: form letters, notice of meetings, intra-office memorandums, and duplicates of other correspondence, when the duplicates are made for reference purposes only.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
<b>L5451</b>	<b>Informational and Reference Material</b>	Reference and informational materials are published and unpublished aids often not prepared by the urban county government itself, often of professional or technical nature, used in the official business of the local government and the agencies within the government. This includes material used in the professional enhancement of its employees. They may be destroyed when they become obsolete or are no longer of use to the various offices within urban county government.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Published and unpublished aids used in the conduct of the agencies business or the professional enhancement of its employees. Some examples may be magazines, publications or items distributed by professional organizations and catalogs used in the purchase of equipment.
	<b>Retention and Disposition</b>	Retain until obsolete or no longer useful, then destroy.
<b>L5452</b>	<b>Publications Created by Urban County Government</b>	This record series is created and published by urban county government. These may be in the form of surveys, informational material for the public, promotional material (tourism), statistical reports, periodicals and plans.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain all published material produced by a local government.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.
<b>L5453</b>	<b>Minutes of Official Meetings (V)</b>	As required by KRS 61.835, minutes of actions taken by any public agency, with an accurate record of votes and actions at such meetings, shall promptly be recorded and shall be open to public inspection at reasonable times no later than immediately following the next meeting of the body.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, time, place, attendance, approval of prior meetings minutes, motions made, votes, actions taken.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
L5454	<b>Policies and Procedures (Manuals or Memorandums) (V)</b>	This record series is used to document all polices and procedures regulating the internal administrative functions of urban county government. It is updated to reflect changes in administrative regulations, policies, procedures and state, federal or local mandates. This series provides an official operating policy while active and also reflects the history of urban county government.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains purchasing and procurement ploicies, internal rols, cost allocation policy, personnel policies and procedures, travel policy, meeting expense policies, investment policy, open records policy, retentions schedule, and federal and state mandates.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.
L5455	<b>Annual Policy Guidelines (V)</b>	This series documents the policies and procedures for the administration of day- to- day business. This is reviewed annually and there may be updates and there may nothing done.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, policy statement narratives
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.
L5456	<b>Open Records Register (V)</b>	This series documents requests for information desired by the public or press and available through the Open Records Law.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date of request, requesting party name, brief description of information wanted, disposition, disposition date
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5457	<b>Open Records Request for Inspection/Disposition Record (V)</b>	This series documents requests for information from the public, press, or other governing agency. It is a joint form that also documents approval and/or denial of information and supporting documentation.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date of request, requesting party name, information requested, copies needed or only viewing, disposition, supporting documentation for decision
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
L5459	<b>Itineraries/Schedules of Meetings</b>	This record series is used to document the time and place of meetings and the agendas for those meetings.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may include the time, date, place of meeting and the subjects to be covered.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5460	<b>Department for Libraries and Archives Records File</b>	This record series is used to document the official relationship with the Department for Libraries and Archives concerning records retention, records disposal, records transfers, records surveys and microfilm evaluation.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the signed records destruction certificate, signed records transmittal form, completed records survey and microfilm quality evaluation.
	<b>Retention and Disposition</b>	Retain permanently.
L5461	<b>Media Release</b>	This series consists of records related to official media releases and coverage (television, radio, newspapers, internet, etc.) that are used to inform the public about business or administrative operations, activities, programs, and/or accomplishments of the local government agency. They may be concerning a single item or may be general in nature. They may be promotional, information-seeking, or information-announcing.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	This series may contain: Description of narrative released, details of event or activity, item publicized, information sought, information released, agency name, date, contact person or lead, and official involved.
	<b>Retention and Disposition</b>	Retain routine news or announcements for one (1) year, then destroy. Retain news or announcements that contain policy or have historic value permanently.
L5462	<b>Telephone Record/Log</b>	This record series is used to document all outgoing and incoming calls and may be used to disburse telephone expenses to other local government agencies. This file may include the extension detail and summary reports for outgoing calls and a daily listing and recap of incoming calls. In some instances this record series is used only for reference.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain: Date, Time, Name, Division, Extension, Date, Time, Duration, Charge, Number Called, Local or Long Distance, Place. Extension Summary Report by Division contains: Date, Time, Name, Report Period, Division, Extension, Name, Total Cost, Fixed Cost, Local Cost, Long Distance Cost, Out duration hrs./min.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
<b>L5464</b>	<b>Plans, Drawings and Blueprints (V)</b>	This record is used to document all infrastructure construction and improvements done within the local government. They are used as a reference when there is a need for information concerning buildings and projects which are still current. They also may give a structural history of the local government.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record contains drawings, name of architect, date of drawing, name of project or structure.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5466</b>	<b>Vehicle Maintenance Record File</b>	This record series is used to document repairs and other maintenance that has been performed on certain vehicles. It may also may be a scheduling tool to indicate when certain maintenance is to be done. This file documents this information concerning local government vehicles.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record contains the name of vehicle, make, engine, year, filter, oil change fuel air, power steering, and other maintenance items. This sheet is also dated when the maintenance was done.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
<b>L5467</b>	<b>Duplicate "Copy of Record"</b>	This record series is created/reproduced/copied for administrative convenience and distributed throughout the local government, department or agency. These are excess copies that are not recognized as the copy of record.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain duplicates of the copy of record regardless of the format ( paper, microfilm or electronic).
	<b>Retention and Disposition</b>	Retain until no longer useful, then destroy.
<b>L5468</b>	<b>Surveillance Video/Audio Recordings</b>	This record series is used to document the activities in public areas of local government facilities. The cameras usually run 24 hours a day and record all activities in specific areas. Used in case there is destruction of property, breaking and entering, or other unlawful acts. This includes the general inmate population areas of detention facilities except for booking/interrogation. These cameras may be located in areas such as lobbies, kitchens, control rooms, libraries, hallways, entrances to government buildings, local government offices and any where the public has access. These tapes are used as a security measure in the identification of persons who cause disturbances or violate laws.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Video of a certain area of the facility or the outside of the facility.
	<b>Retention and Disposition</b>	Retain for thirty (30) days, then destroy or re-use if no litigation is pending.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
L5553	<b>Daily Calendars</b>	This record series documents the activities of persons on a daily basis. This is used extensively while active. May be useful as a reference
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time and activity.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5554	<b>Work Orders</b>	This record series is used to document public works or utilities service that has been rendered. These are issued as a result of customer requests, construction needs or identification of problems. This order is issued and the repairs are made or consultations with customers completed. These are routine jobs such as the filling of street problems, water problems, sewer problems, electricity problems, building maintenance of any type etc.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This records series may contain the date of service, name of customer, name of person providing service, address, phone #, materials used, hours of labor, equipment used, date completed and signature of person completing the task.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5555	<b>Building Access Records</b>	This record series is used to document those who enter LFUCG buildings for business purposes, including employees. This is a reference to know who is in the building and who has had access in the past..
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may include building sign in/out sheets, visitor badging system records and building access control system records. Record may consist of photograph, employee number, name, position, division, drivers license number and other information, where in building and time entering/leaving.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5624	<b>Daily Activity Report</b>	This record series is used to document the activities of individuals, offices, divisions or departments. Can be used as a tracking instrument to keep track of all activities such as telephone calls, meetings, location of individuals, work completed, schedules and all activities within a certain area.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of individual, work area, time, date, and summary of activities. (This record series may act as a tracking document for daily activities within an office, division or department. This may be activities for individuals or those of the office, division or department. These may be used to compile periodic reports).
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
L5759	<b>Occupational and Safety and Health Act (OSHA) Records</b>	This record series is used to document that OSHA requirements have been met. These records may be logs of work related injuries and summaries of work related injuries and illnesses. Some of these are required to be posted every year.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	May include summaries of injuries and illnesses along with logs. Date and times.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5760	<b>Purchase Orders (Duplicate)</b>	These are duplicate copies of Pos sent to the Division of Accounting for payment. All offices within Urban County Government has these. These are never used past the time they are active.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of vendor, contents, date, signature, description of purchase, and cost.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.
L5761	<b>Audio/Video Recordings of Official Meetings</b>	This series documents the actual proceedings of public meetings held by any local government body or its entities. The audio tapes are generally used by the recording secretary as a transcribing aid. The video tapes are generally made available to local access television stations for public broadcast. Minutes usually contain the date, time, place, attendance, approval of prior meetings minutes, motions made, votes, and actions taken, however, according to KRS 61.835, minutes need only contain an accurate record of votes and actions. Because additional discussion need not be included as part of the official record, after the minutes are formally accepted at the following meeting, the tapes can be destroyed or used again.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Actual recording of proceedings
	<b>Retention and Disposition</b>	Retain until thirty (30) days after minutes have been transcribed and approved, then destroy or re-use unless challenged. If minutes are challenged, recordings should be retained until resolution.
L5762	<b>Time and Attendance Record File (Division/Office Copy) (V)</b>	This record series is used to document the time worked by the employees during a specific pay period. These records may be kept by each Division, office or agency of Urban County Government. The official copy is maintained by the Division of Human Resources.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the payroll sheet which is a cumulative record of employees and the time they worked during the pay period. This data is collected from the time sheets. This record series also contains the time sheet for each individual employee. Each of these contain the name of employee, time worked, name of department, authorized signature, payroll beginning date, payroll ending date, dates worked, hours worked, t orals and certifications.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
<b>L5765</b>	<b>Speeches by Administrative Heads</b>	This series documents the public addresses to assemblies by administrative heads when given as a function of or on behalf of their respective agencies. The speeches may apply to issues related to public policies, results of programs, policy or procedural changes, or other issues related to the administration of the agency.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Date; duration; location; administrative head; text of speech; location
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5766</b>	<b>Organizational Charts</b>	This series documents the organizational structure of agencies at various stages of their evolution. Organizational charts generally reflect all administrative units within urban county government and their functions. Additionally, the charts may identify by name and title those who manage the units and the individual staff responsible for specific activities, programs and functions within the agency. The series serves as representation of the organizational changes within an agency over time.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Date; agency; divisions; branches; sections; names of unit heads; individuals responsible for activities
	<b>Retention and Disposition</b>	Retain one (1) copy of each revision permanently in the agency.
<b>L5767</b>	<b>Photographic File</b>	This record series documents agency activities and functions in a photographic format. Such activities may document the administrative functioning of an agency, its programs and operations. Records in this format (if determined to be archival), often replace or supplement more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of an agency. When creating records in this format, agency personnel should properly identify the event being photographed and the participants.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain: Photographs and accompanying explanatory materials and finding aids.
	<b>Retention and Disposition</b>	Retain permanently material that has to do with Urban County Government. Duplicates may be destroyed if not needed by other agencies.
<b>L5768</b>	<b>Newspaper Clipping File</b>	This series documents various articles or news items clipped from newspapers related to the conduct of agency business. It is most usually used for reference purposes.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: date; names of newspapers; articles related to agency function
	<b>Retention and Disposition</b>	Retain until no longer useful, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
<b>L5770</b>	<b>Minutes - Staff Meetings</b>	This series documents the record of proceedings of internal meetings in divisions and offices. The series includes information for providing direction, clarifying procedures, decision making among staff, or development of new ideas.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Date of meeting; department; location of meeting; organizational level; discussion topics; names of attendees; decisions reached, if applicable
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
<b>L5771</b>	<b>Hiring Process Materials File</b>	This series documents the process by which decisions are reached regarding who will or will not be hired when vacant positions are filled. It provides proof of the decisions made. It provides information on all aspects of the process including any notations that are written on applications or any written response to interview questions. If the interview is conducted in a panel format, all written comments by interviewers, including copies of the actual interview questions should be collected and retained. It also includes any information received from the applicant that directly relates to the decision that is reached. Such information would include leave balances, copies of evaluations, resumes, and recommendations for employment, as well information provided when references are checked. Information from the series would be needed in the event of any legal action regarding the hiring process.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: All written comments; interview questions; job advertisements; job postings; resumes; leave balances; copies of evaluations; written recommendations for hiring; and any other information that directly relates to the hiring process
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L5772</b>	<b>Leave Requests</b>	This record series is used to document requests for leave by urban county government employees. This information may be forwarded to the payroll section which will use it to compile attendance.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Data elements in these records include: name of applicant, school, date of absence, reason for requested leave, attachments when necessary, signature of the employee and that of the physician and/or notary when required.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
L5876	<b>Nonbusiness Related Correspondence</b>	<p>This series represents paper correspondence and email that is commonly found at all levels of an organization and is not related to agency business. It consists of messages of a purely personal nature, spam, and other unsolicited correspondence. (See contents for more detailed descriptions.) Agency staff should destroy or delete these records upon receipt because they are not business-related, and because agencies may be required to produce them under legal orders or open records requests. This type of correspondence is problematic for many reasons: SPAM and unsolicited messages (1) tend to exist in tremendous quantities, which can overwhelm an email system; (2) are usually unwanted; (3) can be offensive; and (4) are potentially virus laden. Personal messages (1) take away from an employees work time; (2) may be interspersed with business related email, making management difficult and exposing the agency to potential embarrassment and legal risk; and (3) may be a violation of the agency's email and Internet acceptable use policy. Given the nature of email, the existence of this type of correspondence is inevitable and agencies are encouraged to train employees to delete it as soon as possible. See "Guidelines for Managing Email in Kentucky Government" for more information on managing email correspondence.</p>
	<b>Access Restrictions</b>	None
	<b>Contents</b>	<p>Nonbusiness related correspondence is incoming and outgoing correspondence that may consist of: Paper records that may be personal, unsolicited and unwanted that has nothing to do with agency business. Email that may be: (1) Personal messages: While a certain amount of personal material maybe acceptable, abuse of the system can lead to disciplinary action and even dismissal. All agencies should have an appropriate use policy that determines the amount of personal messages acceptable on the system. (2) SPAM is the term for electronic junk mail. It is completely unsolicited and unwanted. It can be offensive in nature, can carry viruses and is sent as a way of disrupting normal business operations.(3) Unsolicited messages are email that may be unwanted, but is somewhat business related such as advertising from vendors and non-work related email from coworkers such as jokes and forwards, miscellaneous news articles, non-work related announcements, etc.</p>
	<b>Retention and Disposition</b>	Destroy all nonbusiness related records and delete all non business related email immediately.
L6288	<b>Property Ownership and Disclosure Form (V)</b>	<p>This record series is used to document the ownership of real property in Fayette County by employees (and their immediate family members) of the Divisions of Building Inspection, Code Enforcement, Engineering, Planning and Fire Prevention Bureau in accordance with CAO policy 23R and to ensure that ownership is in compliance with that policy.</p>
	<b>Access Restrictions</b>	None
	<b>Contents</b>	<p>The record series may contain the address of each property, name of the owner of record (as recorded in the PVA office) and the names of any other individuals having an interest in the property. If the employee manages, oversees the management or maintenance of, or has an ownership interest in any business which manages or maintains any property in Fayette County. It must also include a description of his or her duties.</p>
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Common Records

Series	Records Title and Description	Function and Use
<b>L6626</b>	<b>Photo Identification Records</b>	This record series is used to document imaged identification cards issued to employees, contract workers and others having access to LFUCG facilities. These are created at time of employment or when a person is authorized to enter facilities for business purposes.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the photograph of person, employee number, name, position, title, division, authorization and expiration date (if temporary or intern).
	<b>Retention and Disposition</b>	Retain 1 year after person leaves service or ID becomes invalid, then destroy.
<b>L6633</b>	<b>Building Security Check Records</b>	This record series is used to document periodic security checks of buildings and grounds done by staff. The security staff work with all departments in doing periodic checks after working hours. These may be routine checks or requested checks when there may be cause to investigate.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name and initials of the security person conducting the check, location, date, time of check, and listing of what buildings were checked on a particular shift.
	<b>Retention and Disposition</b>	Retain one (1) year, then destroy.
<b>L6666</b>	<b>Open Records Appeals to the Office of the Attorney General</b>	This record series is used to document appeals to the Office of Attorney General concerning requests made for public records under Kentucky's Open Records Law (KRS 61.870 - 61.884). If an Urban County agency denies a request for public records, the requester may file an appeal with the Attorney General for review of the agency's action. The Attorney General will review the appeal and issue a decision stating whether the agency violated the Open Records Act. The Attorney General will mail a copy to the agency and a copy to the person who requested the disputed records.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, signature of the Attorney General, signature of Assistant Attorney General, the appeal letter, public agency response, notification to agency of receipt of open records appeal, response of public agency to the appeal, and the decision.
	<b>Retention and Disposition</b>	Retain five (5) years, then destroy.
<b>L6898</b>	<b>Photo/Video Release Form</b>	This record series documents that individuals have given permission to Lexington-Fayette Urban County Government to use photographs and/or videos (individual likeness) in promoting local government programs and events. Typically, this is a parent or guardian giving permission to release photos/videos of children, but can be for adults as well.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain: Release policy, name of individual giving permission, address, names of children, date, signature of individual giving permission, description of photo/video and promotional event or program.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Council Clerk - Administration

Series	Records Title and Description	Function and Use
L4920	<b>Dockets for Council Meetings (V)</b>	This record series is used to document those items that will be presented at official meetings of the Council. This includes both regular and special meetings. This is a summary of what will be presented including ordinances, resolutions, reports, and announcements. The minutes will reflect the proceedings.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the agenda which will include the roll call, invocation, minutes of previous meetings, presentations, mayors communication, reports, and public comments. This is an outline.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L4921	<b>Exhibits (Official Meetings)</b>	This record series documents those materials used to illustrate items presented before official meetings such as zoning, planning, public hearings and others. These may be written material, statistical material (written, tables, graphs etc), drawings, maps, plats, layouts, and other. Some of these exhibits may be forwarded to other agencies within Urban County Government but most of it is maintained by the Council Clerk.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain written handouts, poster boards, graphs, tables, and demonstration material.
	<b>Retention and Disposition</b>	Retain permanently those exhibits that are essential to the understanding of the official minutes. Destroy all others, including duplicates, when no longer useful.
L4922	<b>Oath of Office</b>	This record series documents oaths of office taken as defined by KRS 62.010 and KRS 62.020.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	This record series may contain: Name of the person administering the oath, date taken, name of person taking the oath, office, signature of both parties and certification.
	<b>Retention and Disposition</b>	Retain permanently.
L4923	<b>Publication of Legal Notices (V)</b>	This record series documents that a notice has been advertised by urban county government in a qualified newspaper with circulation/office in the area for the purpose of gathering news and soliciting advertisements an other general business of newspaper publications and has a second class mailing permit. The matters required to be published are financial statements, optional monthly or quarterly statements, city and county budgets, school district budgets, ordinances, bids for materials, supplies, equipment or services in excess of \$20,000. The publishing newspaper must submit an affidavit stating that an advertisement has been published and the times it was published and attach to a copy of the advertisement. Legal notices are required by KRS424.010 thru 424.990.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The contents of the advertisement of a hearing, meeting or examination states the time, place and purpose of the same. An advertisement of an election states the time and purpose of the election; An advertisemet for bids or of a sale shall describe what is the be bid for or sold, the time and place of the sale or for the receipt of bids and terms of the sale; where any statute provides that, within a specified period of time after action by any governmental agency the time and place when and where action may be taken. This file may also contain the affidavit of publication by the newspaper.
	<b>Retention and Disposition</b>	Retain permanently.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Council Clerk - Administration

Series	Records Title and Description	Function and Use
L4924	<b>Bond Transcripts</b>	This record series documents the issuance of bonds for sale. This gives the progression of the issue from the time it is approved by the Council till closing. This contains the authorizing and financing documents and closing documents.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date of issue, title, authorizing documents, financing documents, opinions of counsel, taxp certificates, and closing documents.
	<b>Retention and Disposition</b>	Retain permanently.
L5435	<b>Official Minutes of Urban County Council (V)</b>	This record series is used to document all official actions, votes and proceedings of the Urban County Council. These are maintained in the Council Clerk. As required by KRS 61.835, minutes of actions taken by any public agency, with an accurate record of votes and actions at such meetings, shall promptly be recorded and shall be open to public inspection at reasonable times no later than immediately following the next meeting of the body.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain date, time, place, attendance, approval of prior meetings minutes, motions made, votes, actions taken.
	<b>Retention and Disposition</b>	Retain permanently.
L5437	<b>Audio/Video Recordings of Urban County Council</b>	This series documents the actual proceedings of the public meetings held by Urban County Council. The audio tapes are generally used by the recording secretary as a transcribing aid. The video tapes are generally made available to local access television stations for public broadcast. Minutes usually contain the date, time, place, attendance, approval of prior meetings minutes, motions made, votes, and actions taken, however, according to KRS 61.835, minutes need only contain an accurate record of votes and actions. Because additional discussion need not be included as part of the official record, after the minutes are formally accepted at the following meeting, the tapes can be destroyed or used again after 30 days.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Actual recording of proceedings
	<b>Retention and Disposition</b>	Retain until thirty (30) days after minutes have been transcribed and approved, then destroy or re-use unless challenged. If minutes are challenged, recordings should be retained until resolution.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Council Clerk - Administration

Series	Records Title and Description	Function and Use
L5438	<b>Ordinances (V)</b>	This record series documents an official action of Urban County Council, which is a regulation of a general and permanent nature and enforceable as a local law or is an appropriation of money. The ordinance shall embrace only one subject and shall have a title that clearly states the subject. No ordinance shall be enacted without two separate readings and publication in the local newspaper unless there is an emergency. The ordinances are to be recorded in a minute book or an ordinance book in the order adopted and indexed in a composite index or maintained in a code of ordinances.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the date, title of the ordinance, subject of the ordinance, members present, the body of the ordinance, # of the ordinance, signatures of the presiding officer and the person responsible for the safe keeping of the record.
	<b>Retention and Disposition</b>	Retain permanently.
L5439	<b>Index to Ordinances</b>	This record series is used as a finding aid for the ordinances and may be by subject or key word identification. This series is maintained as part of the ordinance file.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the subject of the ordinance, # of ordinance, name of ordinance, date passed, and where found.
	<b>Retention and Disposition</b>	Retain permanently.
L5440	<b>References to Ordinances</b>	This record series is used as a finding aid to ordinances and sometimes resolutions. These are abstracts of the ordinances and are linked to the ordinance by number. These are used in the advertisement of ordinances in the paper.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the # of the ordinance, abstract of the ordinance, date passed.
	<b>Retention and Disposition</b>	Retain permanently.
L5441	<b>Resolutions (V)</b>	This series documents administrative history of appropriations, personnel actions, and board appointments. Orders have a pre-assigned number and are indexed separately from minutes. These are synonymous with Resolutions. A municipal or county order is an official act of the legislative body which is binding upon the officers and employees of the local government and any governmental agency over which the local government has jurisdiction. These do not have to be advertised in the paper in order for action to be taken.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Order number, title, narrative, supporting documents, effective date, reading date(s), mayors signature, city clerk certification
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Council Clerk - Administration

Series	Records Title and Description	Function and Use
<b>L5442</b>	<b>Index to Resolutions/Orders</b>	This record series is used as a finding aid for the resolutions or orders issued by the legislative body. It is used in accessing the resolution or order file and book.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the number of the resolution/order, date passed, subject and abstract.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5443</b>	<b>Code of Ordinances (V)</b>	This record series documents the ordinances passed by the legislative body. A code of ordinances is a reenactment of the body of positive local government law, read and interpreted as a whole, with the text arranged by subject matter and properly indexed.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the text of the ordinances, index by subject, date of passage, indexed alphabetical.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5444</b>	<b>Proclamations</b>	This series documents special recognitions of local government events and/or persons. If action is taken by the legislative body the information is covered in the official minutes. Sometimes a proclamation is only issued verbally and no certificate is created.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, narrative of proclamation, signatures
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5445</b>	<b>Real Estate File (V)</b>	This record series is used to document all real estate transactions and holdings of the local government. These documents are for ownership and other land associated transactions. These include deeds to local government owned property, easements and right of ways.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	May include deeds, easements and right of ways along with any legal documentation.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Council Clerk - Administration

Series	Records Title and Description	Function and Use
L5647	<b>Contracts and Agreements (V)</b>	This record series is used to document the terms by which items and/or services were purchased and the responsibilities of each party.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the names of the parties involved, date issued, terms, expiration date, signatures and date signed.
	<b>Retention and Disposition</b>	Retain until fifteen (15) years after completion or termination then destroy after audit (KRS 413.090).
L6662	<b>Oath Books (Constitutional)</b>	This record series is used to document those officials who must take a constitutional oath of office. These may include executive branch, board members, persons serving on certain commissions, fire and police personnel, corrections personnel, citation officers and others.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of person taking the oath, office or position, oath signature, and date.
	<b>Retention and Disposition</b>	Retain permanently.
L6890	<b>Personal Information Security Breach Investigation/Notification File</b>	This record series documents an agency's investigation into a breach of sensitive information it collects, stores, or maintains. Effective January 1, 2015, KRS 61.933 requires local agencies that are notified of or determine that a breach has occurred in security relating to personal information they collect, maintain, or store, to begin a reasonable and prompt investigation within no later than seventy-two (72) hours of discovery or notification of the breach. If the agency determines that a security breach has occurred and that the misuse of personal information has occurred or is reasonably likely to occur, it must notify certain state officers and affected parties within timeframes established by the statute. If the agency determines that the misuse of personal information has not occurred and is not likely to occur, the agency does not have to give notice, but must maintain records that reflect the basis for its decision. The requirements of KRS 61.933 also apply if non-affiliated third parties collect, receive, maintain, or store personal information for state agencies.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain: Related contracts or agreements; related correspondence/notices; any records that reflect the basis for the decision of the investigation; related reports from non-affiliated third parties.
	<b>Retention and Disposition</b>	Retain until five (5) years after conclusion of investigation or any notifications, whichever is longer, then destroy. If any investigation, litigation, or open records request involving these records is taking place or is pending, maintain until all investigative or legal activity is completed.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

**LOCAL GOVERNMENTS**  
County/Local: Lexington/fayette Urban County Government  
Council Clerk - Ethics Commission

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>L5419</b>	<b>Code of Ethics (V)</b>	This series documents compliance with the requirements of KRS 65.003(1) which states that the governing body of each city and county, including urban county and charter counties, shall adopt by ordinance, a code of ethics which shall apply to all elected officials of city or county, and to appointed officials and employees of the city or county government as specified. KRS 65.003 (4) requires that code of ethics may be amended but not repealed. Failure to comply may result in suspension of all services or funds to the governing body by state government.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	May include standards of conduct, requirements for creation of financial disclosure statements, employment policies, designation of responsibility for ethics code enforcement, instructions for distribution.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5420</b>	<b>Ethics Commission Financial Disclosure Statement File (V)</b>	This series consists of required annual financial disclosure statement(s) filed by all candidates for local government elective offices, defined by KRS 65.003(1); elected officials of each city, county, or consolidated local government; and other officials or employees of the city, county, or consolidated local government as specified in the code of ethics (L3139). The financial disclosure statement provides information about sources and nature of income, businesses owned, and whether a governing body conducted business transactions with a filer or a filer's immediate family.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address, telephone number, title of filer's office or office or position sought, occupation of filer and filer's spouse, income, names and addresses of business or government related activities, designation of real property held by filer, name and address of gift sources, and name and address of business government creditors.
	<b>Retention and Disposition</b>	Retain for two (2) years after termination of employment for non-elective positions, term of office for elected official, or date of election for candidates who are not elected.
<b>L5421</b>	<b>Ethics Commission Advisory Opinions</b>	This series documents the written advisory opinions rendered concerning matters under local ethics code enforcement jurisdiction, based upon real or hypothetical facts and circumstances, upon its own initiative, or when requested by any officer or employee of the governing body who is covered by the ordinance.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The narrative opinion providing a response to the requestor.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Council Clerk - Ethics Commission

Series	Records Title and Description	Function and Use
L5422	<b>Ethics Commission Orders</b>	This series documents a formal action summarized in writing by the local ethics code enforcement authority to require persons to comply with the request outlined in the order. Examples of requests may be the persons submit in writing and under oath reports and answers to questions relevant to the proceedings, to order testimonies to be taken by deposition, require attendance and testimony of witness, and to require a person to cease and desist violations.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	A written narrative outlining a required action to be taken by the recipient.
	<b>Retention and Disposition</b>	Retain permanently.
L5423	<b>Ethics Commission Hearing File (V)</b>	This series documents the activities of the local ethics code enforcement authority in response to a formal complaint instituted under the provisions of KRS 65.003 (3) (d). Formal complaints must be filed within one year. If the authority finds no violation the subject of the complaint and party who filed the complaint are sent written notices. However, if the authority finds a violation it may issue an order to cease and desist, in writing, reprimand the violator and provide a copy to the governing body with which the violator serves. Further, the authority may recommend to the governing body that the violator be disciplined, dismissed or removed from office or impose a civil penalty or refer evidence of criminal violations to the appropriate jurisdiction for prosecution. Appeals may be made to the Circuit Court.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Copy of complaint, hearing notice, orders, hearing transcript, correspondence, research notes, and disposition of case.
	<b>Retention and Disposition</b>	Retain for twenty-five (25) years, then destroy.
L5424	<b>Ethics Commission Complaint/Investigative File</b>	This series documents the investigation of any local elected official and or local government employee. Pursuant to KRS 65.003 (3) (d) the local code enforcement authority is responsible for the receipt of any complaints alleging possible violations of the code of ethics and or investigation of said violations as well as imposing penalties for verified violations. Each complaint must be in writing and the local ethic enforcement begins a preliminary inquiry into the investigations. After inquiry, the accused may respond. Until a final determination is made all proceedings and records are confidential per KRS 61.878. If Grounds for further action are found necessary a hearing is initiated or allegations could be pursued by appropriate authorities. If none are found, the complainant and the subject are notified.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)(i)(j)(until settled)
	<b>Contents</b>	Complaint, summary of investigative finds, relative evidence, correspondence.
	<b>Retention and Disposition</b>	Retain for six (6) years, then destroy.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Council Clerk - Ethics Commission

Series	Records Title and Description	Function and Use
L5425	<b>Ethics Commission Expense File</b>	This series documents the request for reimbursement for expenses incurred by a designee of the local ethics code enforcement authority in an official capacity. These documents may be maintained as a separate file or as part of an expenditures file.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Travel vouchers, invoices, and receipts.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Council Office

Series	Records Title and Description	Function and Use
L5639	<b>Staff Research Files (V)</b>	This record series is used to document the research done by staff for each council member. This research is done for the purpose of informing and preparing each member for council meetings, committee meetings and work sessions where certain subjects or items are to be discussed. The Council employs its own administrative and research staff which include aides who work for specific council members. Twelve Council members are elected every two years. Each of these may serve no more than 6 terms. Three at large members are elected for four year terms and may serve only a total of 4 terms. These files are used extensively while active and give background information that may be important for upcoming regular bi - monthly meetings.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain correspondence, informational materials, copies of monthly reports, and supporting documentation.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L5640	<b>Table of Motions (V)</b>	This record series is used to document those motions that are made during a council work session. The council members have a work session once a week which are open to the public. At these meetings the council members decide what actions will be presented at the formal Council meeting. Council staff members record and summarize the proceedings. A table of motions is part of the summarization. This is a finding aid for the motions that are presented and that will be presented at the next council meeting.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the title of the motion, when given, by whom and summary of the motion.
	<b>Retention and Disposition</b>	Retain permanently.
L5641	<b>Summary of Meetings (V)</b>	This record series is used to document the work sessions, which are informal meetings conducted weekly where the council members decide what to bring before the Council and items to be discussed. A Council staff member records and summarizes the proceedings. This may be committee work sessions or council as a whole work sessions. This is a capsule of the meetings and is presented to the whole council at their regular meeting for their approval.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date of the meeting, items covered, council members present and a summary of the work session agenda.
	<b>Retention and Disposition</b>	Retain permanently.



**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Council Office

Series	Records Title and Description	Function and Use
L5642	<b>Packets for Council Members (V)</b>	This record series is used to furnish each council member information about business that is going to be conducted at a work session or committee meeting. This packet provides the information necessary for the council members to make informed decisions. There are four standing committees: The Planning Committee, the Intergovernmental Committee, the Services Committee and the Budget and Finance Committee which meet monthly. Packets are provided at the committee meetings as well as the work sessions.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain an agenda, copies of reports, administrative synopsis of new business and summary of business.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Finance - Administration

Series	Records Title and Description	Function and Use
L3173	<b>Transcript of Proceedings-Revenue Bonds and Notes (LFUCG Public Corporations) (V)</b>	This record documents all official proceedings relating to revenue bonds and notes issued. These are bound into books. Examples are: Public Library Corporation, Public Facilities Corporation, Public Parking Corporation, Home Mortgage Corporation, Detention Center Corporation, Sanitary Sewers Corporation. The record provides the historical record of the bond: agreements, legal proceedings, etc., related to the bonds. It is used for reference and for accountability-a public record.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains official documents relating to the sale of Notes or Bonds such as: authorization resolutions, bond resolution, resolution accepting bid, notice of sale, official bid form, official statements, acknowledgment of state local finance officer, mortgage & trust indenture, lease, sublease, title insurance policy, insurance & arbitrage certificates, information report to IRS, certificate of LFUCG, certificate of LFUCG corp, certificate of trustees, legal counsel opinion, rating letter, closing receipt, form of requisition certificate, specimen bond.
	<b>Retention and Disposition</b>	Retain permanently.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

**LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Finance - Pension Administration**

Series	Records Title and Description	Function and Use
L5849	<b>Individual Retirement/Pension File (V)</b>	<p>This record series is used to document the retirement of individual employees who are enrolled in the City Employees Pension Fund (CEPF) and the Policemens and Firefighters Retirement Fund. This also applies to those files of the old City Employee Pension Fund which is now closed. Each file is created at the time of employment to show that they are now a part of a pension plan. Upon retirement an employees pension is activated. The information in this file is used to determine the amount of pension paid, who the beneficiaries are, funeral allowances to be paid, health insurance coverage, whether there is a disability involved. These records are vital as long as they are deemed active. This file becomes inactive when the individual dies, there are no legal beneficiaries, and there is no pending litigation. Also under the Policemens and Firefighters Retirement Fund a person may opt out before serving for 20 years. A lump sum payment may be made to those who leave before 20 years or they may buy time to increase their retirement to comply with the 20 years. If they do buy time the file evolves into an active individual retirement file. If a person dies on the job his/her beneficiaries will receive a monthly payment and the file continues to be active until there are no beneficiaries.</p>
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	<p>This record series may contain retirement master deduction record, name, social security number, cola date, adjustment amount, direct deposit, correspondence, application for retirement, on the job disability documentation, medical evaluations, payment for medical evaluations, documentation of injuries, circuit court appeals, appeals to the pension board, disposition, rehearing, transcript of rehearing, documentation of injury, retirement checklist, enrollment change request, W4, audio tapes, and other reference information.</p>
	<b>Retention and Disposition</b>	<p>Retain until six (6) years after the file becomes inactive, then destroy. This file becomes inactive when the individual dies, there are no legal beneficiaries, there is no pending litigation or the employee leaves the pension plan early.</p>
L5850	<b>Benefits File (Retirees)</b>	<p>This record series is used to document those benefits for individual retirees. Those benefits include health insurance, dental insurance and life insurance. This file is used to document the deductions from individual retirees monthly pensions. A list containing the deductions is sent by computer services and this is reconciled with the amount paid to the insurance companies.</p>
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	<p>This record series may contain the list of individual retirees and includes the social security number, name, amount of individual deductions and the total for the month. May also contain a copy of the payment to the insurance companies that has been done by the Division of Accounting.</p>
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5851	<b>Trust Statement (Monthly)</b>	<p>This record series is used to document the financial status of investment accounts maintained by financial institutions. These are monthly statements of accounts and are used in reporting to the pension board. These are used to track performance of accounts where pension funds are invested.</p>
	<b>Access Restrictions</b>	None
	<b>Contents</b>	<p>This record series may contain the asset (stocks and bonds), shares/units or par value, tax cost, market value, percentage of market, estimated annual income, yield at market/maturity, total fixed income non-taxable, cash, total principal, income cash and total account.</p>
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Finance - Pension Administration

Series	Records Title and Description	Function and Use
L5852	<b>Disability Application (Not Approved) (V)</b>	This record series is used to document that an employee wants to retire because of a disability. For a job related injury or illness an employee initiates the retirement process by submitting a retirement application and supplemental questionnaire. The employee must submit a signed release for medical information and a doctors statement regarding the disability, indicating whether the member has reached maximum medical improvement and a fitness for duty evaluation. A workers compensation claim must be submitted along with an injury report. For a non-occupational disability may apply if they have 5 years of service. They must also use this application along with medical proof of illness or injury. Once the application is not approved by the Board the employee has 20 days to apply for a rehearing. If there is another denial, the employee may appeal to the Circuit Court.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain name, ss#, address, work title, denial letter, application, medical reports and correspondence.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after all appeals have been exhausted and all litigation completed.
L5853	<b>Roster Sheet/Ballots &amp; Legislative Survey (Policemen's &amp; Firefighters') (V)</b>	This record series is used to document the election of active members to the Board of Trustees (Policemens & Firefighters Retirement Fund). The mayor, police chief, fire chief, commissioner of finance, commissioner of public safety, director of human resources, 2 retired (fire and police) representatives and 4 active participants (2 from fire and 2 from police) make up the Board of Trustees. The election is done annually starting with the nomination process in August with the final election completed in September. This series documents the voting for the 4 active representatives to the Board. During this election cycle a survey is taken to see if the active participants in the pension fund want to vote on certain proposed legislation to be brought before the upcoming session of the Kentucky General Assembly. Using the results of this survey a listing of each piece of proposed legislation will be circulated and the membership will be asked to vote on each.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the roster of candidates, the completed ballot, results of the election and certification. Also a listing of proposed legislation.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L5854	<b>Roster Sheet/Ballots - Proposed Changes by Statute (Policemen's &amp; Firefighters') (V)</b>	This record series is used to document the active memberships vote to have certain proposed legislation presented to the upcoming legislative meeting of the Kentucky General Assembly. After receiving the survey completed by the membership a roster of specific legislation is presented to the active membership for a vote. The results will determine what specific legislation will be brought before the state legislature. Only legislation which will result in changes to the provisions of KRS 67A.360 thru KRS 67A.690 are considered.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain a roster of proposed legislation, description, completed ballots, results and certification.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Finance - Pension Administration

Series	Records Title and Description	Function and Use
L5855	<b>Payroll Worksheets (Monthly)</b>	This record series is used to verify any changes in the monthly payments to retirees. These changes may result from adjustments made for cost of living, benefits or beneficiary information. This is a listing of individuals who are receiving retirement payments and is used as a cross check to make sure that the information that Pension Administration has on file is the same as Human Resources. This file is used little after the monthly comparison.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the name, ss#, address, annuity information, deductions and date of report.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L5856	<b>Domestic Relations Report</b>	This record series is used to document the amount of money is paid to the Division of Child Support for each participant in the pension plans. This deduction is a result of receiving an order from the Division of Child Support. Used as a reference and to verify the deduction. This is really just a back up to the information that is maintained by Payroll and Benefits section of Human Resources.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain the name of employee, ss#, directory information, amount of payment.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5857	<b>Investment Manager Search Information (V)</b>	This record series is used to document the search for investment consultants for pension funds. Applications are submitted by those seeking to be investors. An RFP is completed to request applications from investors. This file documents the criteria for those applying along with all other parameters that have to be met. The process whereby an investor is chosen starts with a list of investors compiled by a company employed by LFUCG to search for investors that have a proven track record. The list is pared to 3. These three are asked to make presentations and one is chosen. The one chosen will enter into a contract with LFUCG to provide services.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the RFP and the list of possible investors.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5858	<b>Official Minutes Board of Trustees (V)</b>	This record series is used to document all official actions, votes and proceedings of the Board of Trustees of Lexington/Fayette Urban County Government pension plans. These are maintained in the Pension Administration Office. As required by KRS 61.835, minutes of actions taken by any public agency, with an accurate record of votes and actions at such meetings, shall promptly be recorded and shall be open to public inspection at reasonable times no later than immediately following the next meeting of the body.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain date, time, place, attendance, approval of prior meetings minutes, motions made, votes, actions taken.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Finance - Pension Administration

Series	Records Title and Description	Function and Use
L5859	<b>Audio/Video Recordings Board of Trustees</b>	This record series documents the actual proceedings of the public meetings held by the Board of Trustees. The audio tapes are generally used by the recording secretary as a transcribing aid. Videos may also be used to verify the content of the official minutes. Minutes usually contain the date, time, place, attendance, approval of prior meetings minutes, motions made, votes, and actions taken, however, according to KRS 61.835, minutes need only contain an accurate record of votes and actions. Because additional discussion need not be included as part of the official record, after the minutes are formally accepted at the following meeting, the tapes can be destroyed or used again after 30 days.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Actual recording of proceedings
	<b>Retention and Disposition</b>	Retain until thirty (30) days after minutes have been transcribed and approved, then destroy or re-use unless challenged. If minutes are challenged, recordings should be retained until resolution.
L5860	<b>Packets for Members of the Board of Trustees (V)</b>	This record series is used to furnish each member with information about business that is going to be conducted at a meeting. This packet provides the information necessary for the Trustees to make informed decisions.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain an agenda, copies of reports, administrative synopsis of new business and summary of business.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.
L5861	<b>Banking Records File</b>	This record series documents all banking transactions completed by the administration office. This file verifies the checks written and reconciliation of accounts. It is also used as an audit trail and a reference. This file also is used to maintain investment statements from the investment manager.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the, bank reconciliation, bank statement, check stubs, duplicate copies of checks and deposit ticket.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5862	<b>Employer's Monthly Return of Income Tax Withheld</b>	This record series documents the monthly withholding of state income tax for those enrolled in the pension plans. The return is filed with the Ky. Revenue Cabinet and a check with the total amount due is attached to the return. This return provides only grand total for all employees and does not list individual employee names and individual withholding amounts.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the employer name and address, time period covered, return due date, account number, total wages for period, Kentucky income tax withheld for period, previous period adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature, title and date line.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Finance - Pension Administration

Series	Records Title and Description	Function and Use
L5863	Form 1099 - R	This record series is used by a participant in the pension plans to report retirement funds that are subject to state and federal taxes. This form is issued by Lexington/Fayette Urban County Governments Pension Administration office on an annual basis to those who are responsible for payment of taxes. A copy is maintained by the office.
	Access Restrictions	None
	Contents	This record series contains the name, social security number, address, amount subject to tax and tax year.
	Retention and Disposition	Retain for four (4) years, then destroy after audit.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Finance - Revenue

Series	Records Title and Description	Function and Use
L4194	<b>Audit File (V)</b>	This record series is used to document the procedures whereby taxpayers are audited. This is done either in a random fashion or when there are reasons to audit. This is done by the Davison of Revenue staff.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the payment form, audit information, license fee payment history, federal tax return, profit or loss statement, w2s, settlements, letter of findings, name of business or individual and directory information.
	<b>Retention and Disposition</b>	Retain until five (5) years after close of audit, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
General Services - Fleet Services

Series	Records Title and Description	Function and Use
L5556	<b>Vehicle Information File (V)</b>	This record series is used to document certain information about urban county government owned vehicles. This includes the purchasing documentation and type of vehicle.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the registration, purchase order, type of vehicle, specifications of vehicle and year put into service.
	<b>Retention and Disposition</b>	Retain until vehicle is no longer owned by government, then destroy.
L5557	<b>Fuel Tickets</b>	This record series is used to document that fuel was gotten from urban county government fueling places. This is used to track gas usage and the amount used by vehicles. The urban county government has fueling places that can be accessed by all government vehicles.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, name of driver, vehicle #, amount of fuel, cost and time received.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.
L5558	<b>Monthly Fuel Report</b>	This record series is used to document that fuel was purchased from an outside vendor. This report is created to reflect all purchases from a vendor other than urban county government. It is used to track the fuel usage and to verify the purchases.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the dates, vehicle #, amount of fuel, cost and time received.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.
L5559	<b>Weekly Electronic Fuel Transaction Report</b>	This record series is used to document fuel purchases through Fleet One. This fuel is purchased using Fleet One credit cards and the transactions are sent to the Division of Fleet Services for payment. This is a weekly report.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the dates, vehicle #, amount of fuel, cost and time received.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government General Services - Fleet Services

Series	Records Title and Description	Function and Use
L5560	<b>Vehicle Maintenance Record File</b>	This record series is used to document repairs and other maintenance that has been performed on certain vehicles. It may also may be a scheduling tool to indicate when certain maintenance is to be done. This file documents this information concerning urban county government vehicles.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record contains the work orders, name of vehicle, make, engine, year, filter, oil change fuel air, power steering, and other maintenance items. This sheet is also dated when the maintenance was done.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5561	<b>Hazardous Waste Annual Report and Assessment Return</b>	This record series is used to document any site registered as either a large or small hazardous waste generator. Any site that treats, stores or disposes of these waste products must submit this report by March 1 of each year to the Division of Hazardous Waste. The original and one copy is sent to that Division and one copy to the executive authority (Mayors office). Fleet management documents the used oil, paints and oil filters that are disposed of and how it is done.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain a signature, registration number of facility, description of waste, epa #, the disposal process, generic name of chemical waste, date, time and amount.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5562	<b>Underground Storage Registration</b>	This record series is used to document that Fleet Services has underground storage of hazardous chemicals. This is an annual registration and must be done by July 1 of each year. Fleet services has tanks for gasoline and oil.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain a signature, description of stored chemicals, epa #, capacity, location and access information.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L6643	<b>Oil Price Information Service Reports</b>	This record series is used to document the reports obtained from the Oil Price Information Service, a comprehensive database of U.S. wholesale petroleum prices, which provides the basis for the price at which fuel is purchased from the vendor.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, local terminal price per gallon of unleaded, diesel and other fuels.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government General Services - Parks and Recreation

Series	Records Title and Description	Function and Use
L5497	<b>Departmental Loss/Incident Reports</b>	This record series is used to document any loss, theft, or vandalism that involves park property. It is used as a reporting and request for reimbursement document for the company that is insuring the public property involved.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series may contain correspondence, insurance company claim forms, uniform offense report completed by local law enforcement, estimates for repair and/or replacement
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5499	<b>Release of Liability by Participant</b>	This record series is used to document that the local government and recreation department will not be held liable for injuries and other accidents that may befall participants in recreational activities. This is signed by the parent or guardian at the beginning of the activity and is in force for the duration of that activity. This may also act as a reference if there is an injury to find medical information/insurance. This gives permission by the parent or guardian to the recreation department to utilize doctors/insurance when needed for the participant. This release may also contain the name of contact people in case of emergency.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the release, dates of activity, name of participant, name of guardian/parent, names of emergency contacts, medical insurance documentation, and signature of parent/guardian.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L5563	<b>Report of Chemical Applications</b>	This record series is used to document that certain chemicals have been applied to grassy areas, including golf courses, ball fields and other park areas. This application report is sent to the Division of Water periodically. This documentation is provides information about the chemicals used in case there is ground water contamination.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of the date, applicator, certification #, chemical name, type of fungicide, insecticide and fertilizer used, rates, acres or footage, locations, notes, weather, temperature, reason used, and total products.
	<b>Retention and Disposition</b>	Retain for six (6) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government General Services - Parks and Recreation

Series	Records Title and Description	Function and Use
L5564	<b>Altercation File</b>	This record series is used to document altercations that result in the permanent and non-permanent suspension of a spectator, fan, coach, or player from attending or participating in a parks supervised sponsored event. A physical and verbal altercation policy has been adopted by the Division of Parks and Recreation with the purpose of defining sportsmanship expectations of the department and to serve above and beyond the rules of the game. When certain rules are breached by any of the above participants. The rules address the issues of fighting, verbal abuse, harassing, use of racial/gender epithets, unsportsmanlike conduct, and procedures followed. There are definite penalties for 1st, 2nd and 3rd offenses. The suspensions can be for one year, three years or permanent.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the incident report, correspondence, policy violation, disposition of the case.
	<b>Retention and Disposition</b>	Retain until suspension is no longer active, then destroy.
L5565	<b>Departmental Loss/Incident Reports</b>	This record series is used to document any loss, theft, or vandalism that involves park property. It is used as a reporting and request for reimbursement document for the company that is insuring the public property involved.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series may contain correspondence, insurance company claim forms, uniform offense report completed by local law enforcement, estimates for repair and/or replacement
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5566	<b>Accident Reports-Public (V)</b>	This series is used to document any accident that occurs on parks property. It is an administrative document that aids in gathering statistics concerning injuries for each year. The information is also used to settle any liability claims that result from the accident.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain correspondence, accident form, supporting documents
	<b>Retention and Disposition</b>	For adults, retain until two (2) years after accident, then destroy. For juveniles, retain until two (2) years after reaching eighteen years of age, then destroy.
L5830	<b>Facilities Rental Agreement (Reservation)</b>	This record series is used to document the rental of parks and recreation facilities. These facilities are reserved for specific times during the year. This may be buildings, ball fields, swimming pools etc.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of renter, date, phone number, dates rented, facility, type of activity, and any compensation.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government General Services - Parks and Recreation

Series	Records Title and Description	Function and Use
L6291	<b>Administrative File (Extended School Program)</b>	This record series is used to document compliance with 922 KAR 2.110. This administrative regulation lists the requirements for child-care center providers. The Extended School Program is a fully licensed program that provides care and activities for elementary and middle school age children at a reasonable cost. This is a cooperative program of the Division of Parks and Recreation and selected Fayette County Public Schools. This file documents all reporting, plans and drills that are required for this licensed child care center.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the annual staff professional development plan, disaster plan, record of quarterly earthquake and tornado drills, record of monthly fire drills and reports required by 922 KAR 2:110 section 6(1) and inspection reports.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L6292	<b>ESP Student File (Extended School Program)</b>	This record series is used to document compliance with 922 KAR 2.110. Under Section 3 all day care center providers must maintain records for those attending including the identification of each child, parents, home address, attendance and their schedule.
	<b>Access Restrictions</b>	KRS 61.878 (1) a
	<b>Contents</b>	This record series contains the enrollment form, parent information, physician information, medical history, immunization certificate, pick-up permission, off premises permission forms, and attendance records.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L6293	<b>ESP Personnel File (Extended School Program)</b>	This record series is used to document the staff requirements for the Extended School Program operated by Parks and Recreation. The staff must meet certain qualifications listed in 922 KAR 2:110. This file is kept for each staff member.
	<b>Access Restrictions</b>	KRS 61.878 (1) a
	<b>Contents</b>	This record series contains the staff person name, ss#, directory information, criminal records check, child abuse and neglect check, background check, high school diploma/GED, TB test, and training information and certification.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
General Services - Parks and Recreation

Series	Records Title and Description	Function and Use
L6612	<b>Program Volunteer Records Check</b>	This record series is used to document applications, criminal background check and other related documents for volunteers who assist in various Parks and Recreation sponsored events, activities and classes. Parks and Recreation will conduct a criminal background check on volunteers working in any capacity that is in a leadership role or works directly with minors.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the application including name, address, addresses for previous five years, date of birth, social security number, drivers license number, signature of applicant, results of background check and related documents.
	<b>Retention and Disposition</b>	Retain until five (5) years after end of volunteer service, then destroy.
L6613	<b>Program Registration Records</b>	This record series documents the registration and attendance of participants in various Parks and Recreation sponsored events, activities and classes.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain registration/enrollment forms or cards, class or activity rosters, sign-in/sign-out sheets, and related documents. Information usually includes name, address, phone number, date of birth, pertinent medical information, signature of participant or parent/guardian, name, dates, and times of class or activity, fee paid, correspondence and similar documents.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Internal Audit

Series	Records Title and Description	Function and Use
<b>L6614</b>	<b>Final Audit Report (V)</b>	This record series is created as a result of an audit or investigation and contains the final results of the audit or investigation. These are internal audits outside the annual audit conducted for the entire LFUCG.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the scope of work, findings, recommendations and action plans.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L6615</b>	<b>Complaint Case File</b>	This record series documents the receipt of complaints from LFUCG employees identifying potential fraud, abuse, violations of laws, ordinances, and/or regulations, inefficiency or misuse of public funds within the Urban County Government, conflicts of interest, harassment, etc. Upon receipt, an investigation is initiated to determine the merits of the complaint.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain original complaint, correspondence with complainant, and workpapers documenting inquiries, observations, and detail testing as necessary. In many ways, these workpapers may be the same or similar to standard audit workpapers. The difference in retention is due to the nature of the allegations they examine.
	<b>Retention and Disposition</b>	Retain for three (3) years in Office of Internal Audit, transfer to the Record Center and Archives for (5) years, then destroy. Total retention is eight (8) years.
<b>L6616</b>	<b>Audit Work Papers (V)</b>	This record series is maintained by the Office of Internal Audit and documents the procedures followed, tests performed, information obtained, and conclusions reached during an examination of a department or division of the Urban County Government. It provides the supporting documentation for the issuance of a final audit report.
	<b>Access Restrictions</b>	KRS 61.878 (1) (i) (j)
	<b>Contents</b>	This record series may contain workpapers documenting inquiries, observations, detail testing, and copies of pertinent documents as necessary to support audit conclusions.
	<b>Retention and Disposition</b>	Retain six (6) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Law

Series	Records Title and Description	Function and Use
L5568	<b>General Subject Files (V)</b>	This record series is used to document certain litigations that are performed by the Department. This is not the actual litigation file but is all the research information gathered on a particular subject. This file is used extensively by staff to do research. It basically is a memory of case litigation.
	<b>Access Restrictions</b>	SCR 3.130(1.6), KRE 503
	<b>Contents</b>	This record series may contain a research narrative, timeline, correspondence, memos, copies of litigation files, persons who worked on the research, and conclusions.
	<b>Retention and Disposition</b>	Retain permanently.
L5569	<b>General Subject Files Index (V)</b>	This record series is used as a finding aid for the General Subject File. It is both electronic and paper and is arranged by subject and number.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the subject file name, number of file, brief content.
	<b>Retention and Disposition</b>	Retain permanently.
L5570	<b>Reading File (V)</b>	This record series is used to document all business that is sent from the office. This includes all court matters and correspondence. These are all copies.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain memos, letters, published informational material and reference materials, pleadings, deeds, mortgages, and supporting documentation.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5571	<b>Litigation Files (V)</b>	This record series is used to document all litigation involving the Urban County Government. This record is created as a result of citizens bringing suit against the government or as a result of suits brought by the government to collect taxes, revenue, eminent domain and others. Much of the information in this file is not in the official court case file. This record is used as a reference and as a guide when new litigation is brought. This gives a legal history of the government.
	<b>Access Restrictions</b>	SCR 3.130(1.6), KRE 503
	<b>Contents</b>	This record series may contain the legal pleadings, correspondence, depositions, court process, discovery information, internal research documents, copies of checks, and video tapes.
	<b>Retention and Disposition</b>	Retain permanently.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Law

Series	Records Title and Description	Function and Use
<b>L5573</b>	<b>Litigation Files Index (V)</b>	This record series is used as a finding aid for all litigation files. This is both in paper form and electronic form. It can be accessed by name of case and by its number.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the name of case by plaintiff/defendant, number of case and location.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5574</b>	<b>Law Department Opinions (V)</b>	This record series is used to document opinions that are given by the Department of Law when requests come from Urban County Government agencies. When issues need clarification within the government an opinion is written and issued to the requesting agency. This carries weight only within the Urban County Government. Much research goes into this.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain research data, formal opinion in memo form, date issued, requesting party, and subject.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5575</b>	<b>Law Department Opinions Index (V)</b>	This record series is used as a finding aid for the opinions and is maintained as a paper card catalog.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the subject and location.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L6650</b>	<b>Bankruptcy Records</b>	This record series is used to document claims in bankruptcy cases where money is owed to the Urban County Government. Individuals, corporations, or private companies file for bankruptcy. A notice is sent to Urban County Government that they are listed as part of the debtors liabilities. This record file is used to document the responding process.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the notice from the court, copies of liens and mortgages, payoff, invoices, proof of claim and supporting documentation.
	<b>Retention and Disposition</b>	Retain until two (2) years after settlement, then destroy.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Lexington-Fayette Urban County Housing Authority - Financial

Series	Records Title and Description	Function and Use
L2483	<b>Administrative Contracts (V)</b>	Administrative contracts are contracts that the Public Housing Authority enters into with an outside agency for services or goods. An example would be a contract with a construction company to build new housing units or a contract with a computer company for the purchase and service of a new computer system.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The names of the company, institution or persons entering into the contractual agreement. The responsibilities of each party involved. The procedure for amending or waiving parts of the contract agreement.
	<b>Retention and Disposition</b>	Retain until five (5) years after expiration then destroy after audit.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Mayor

Series	Records Title and Description	Function and Use
L5418	<b>Executive Orders (V)</b>	This series documents orders issued by the mayor but not requiring board or commission action and/or approval. It may also document appointments not required by statute. This authority is given to the mayor by the merged government Charter.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Title, narrative, date, signatures, recommendations
	<b>Retention and Disposition</b>	Retain permanently.
L5643	<b>Industrial Revenue Bond Committee File</b>	This record series is used to document applications for industrial revenue bonds for new and expanding manufacturing projects. Urban County Government applies to the KY. Economic Development Finance Authority for approval of these bonds. These may be used to finance manufacturing projects and their warehousing areas, major transportation and communication facilities, most health care facilities, and mineral extraction and processing projects. Bond funds may be used to finance the total project costs including engineering, site prep, land, buildings, machinery and equipment, and bond issuance costs. The Kentucky Private Activity Bond Allocation Committee administers bonds regulated by the Internal Revenue Code. This committee approves issuance with tax free interest earnings, for qualifying projects.
	<b>Access Restrictions</b>	KRS 61.878 (1) c 1.2.
	<b>Contents</b>	This record series may contain correspondence, application, bank information, qualifications, transcripts provided by the dept. of law, memorandum of agreement, loan agreement, transaction statement, regulatory agreement and request for council action.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5644	<b>Urban Renewal Committee Project Files</b>	This record series is used to document urban renewal projects considered by the urban renewal committee. This is a committee formed according to KRS Chapter 99. It is made up of five members appointed by the mayor to consider areas that are slums or blighted and are in need of improvement. This committee must work within the framework of an existing urban renewal plan and has the power to acquire and dispose of property, to issue bonds and other obligations, to borrow and accept grants from the federal government and to exercise the other powers provided in KRS 99.330 to 99.510. Most of these projects are financed by grants issued under the Federal Urban Renewal Act.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain agendas, banking records, applications, reports, construction information and correspondence.
	<b>Retention and Disposition</b>	Retain until three (3) years after the completion of the project, then destroy.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

**LOCAL GOVERNMENTS**  
County/Local: Lexington/fayette Urban County Government  
Mayor

Series	Records Title and Description	Function and Use
L5645	<b>Enterprise Zone Program File</b>	This record series is used to document the approval and participation of businesses in the Enterprise Zone program. The program was established to revitalize economically depressed areas of the state with some areas being inner-city, some being rural. Goals and intentions of the program include improving the quality of life for individuals residing within the program by providing job training, employment opportunities, and neighborhood improvement programs; encouraging economic activity by assisting and maintaining existing business; stimulating the influx of new business; and, eliminating blighted and deteriorated areas that feature chronic abandonment or demolition of residential or commercial structures or property. The program provides for tax exemptions for certified businesses approved by the Enterprise Zone Authority pursuant to KRS 154.45-001 to 154.45-090. The exemptions are only for those businesses within the set enterprise zone or zone boundary. Lexington/Fayette Urban County Government Enterprise Zone of 7,000 acres was approved in 1985 and runs for a twenty-year period. It expires in 2005. If a business moves from the zone, goes out of business, is acquired by another that doesn't participate in the program, or is out of compliance for one reason or another, it is de-certified, at least until the appropriate steps are taken in order to continue in the program.
	<b>Access Restrictions</b>	KRS 61.878 (1) c 1.2.
	<b>Contents</b>	This record series may contain the application, employee info (with SS#, names, addresses, unemployment dates--90 days prior to hire, part/full time employee, if he/she is a resident of the Enterprise Zone), certification, correspondence and monitoring of contract.
	<b>Retention and Disposition</b>	Retain until two (2) years after de-certification, then destroy.
L5646	<b>Kentucky Economic Development Finance Authority (KEDFA) File</b>	This record series is used to document the application for approval for participation in the loan and tax incentive programs. KEDFA was established to encourage economic development, business expansion, and job creation by providing financial support through financial assistance and tax credit programs. This assistance is given through the Kentucky Jobs Development Act (KJDA) and the Kentucky Industrial Development Act (KIDA). Companies must apply through Urban County Government for this assistance. In turn the Urban County Government applies to this program for approval.
	<b>Access Restrictions</b>	KRS 61.878 (1) c 1.2.
	<b>Contents</b>	This record series may contain copies of the application, correspondence, and company information.
	<b>Retention and Disposition</b>	Retain until two (2) years after business becomes inactive, then destroy. If business is active, retain for ten (10) years, then destroy.
L5871	<b>Legislation Preparation Work Papers</b>	This record series is used to document correspondence with council and others for the purpose of asking for changes in legislation or proposing new legislation. This is done by staff in preparation of presenting a proposal to council. Much of the information goes into producing the changes to legislation or into new legislation.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Correspondence, supporting documentation
	<b>Retention and Disposition</b>	Retain until no longer useful, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety

Series	Records Title and Description	Function and Use
L6956	<b>Mobile Device Records - Evidence (non-Law Enforcement)</b>	This series consists of records created by mobile devices used by a person acting in their official capacity as public safety personnel that are known to have captured evidence or unusual actions. These records may be created manually or automatically by the device and contain information that may be used as evidence in civil or criminal investigations, reviewed administratively for compliance with departmental policies, used as a tool in trainings, utilized as a reference in incident documentation, to improve evidence collection, to strengthen performance and accountability, to enhance agency transparency, to document encounters between agency and the public, and to investigate and resolve complaints. This series includes records from any mobile device, regardless of where the device is mounted, such as (but not limited to) body-worn cameras, dash-cams, cell phones, drones, audio devices, and helmet-cams.
	<b>Access Restrictions</b>	Agencies should consult with legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Digital image or video, time, date, statement by official and/or others (witness, etc.), record of scene or location, other incidental information, and associated metadata (both automatically and manually generated).
	<b>Retention and Disposition</b>	Records used in any investigation, current or pending legal activity, exhaustion of appeals process, or internal action must be kept until all investigative or legal activity is completed. These records may also become part of other investigative series with the following exceptions: L6950 Mobile Device Records - DUI Related Records, L6948 Mobile Device Records - Evidence, and L6949 Mobile Device Records - Non-evidentiary.
L6957	<b>Mobile Device Records - Non-evidentiary (non Law Enforcement)</b>	This series consists of records created by mobile devices used by a person acting in their official capacity as public safety personnel that are not known to have captured evidence or unusual actions from which investigations, litigation, or criminal prosecution is expected or likely to result. These records may be created manually or automatically by the device and contain information that may be reviewed administratively for compliance with departmental policies, used as a tool in training, to strengthen performance and accountability, to enhance agency transparency, and to document encounters between agency and the public. This series includes records from any mobile device, regardless of where the device is mounted, such as (but not limited to) body-worn cameras, dash-cams, cell phones, drones, audio devices, and helmet-cams.
	<b>Access Restrictions</b>	Agencies should consult with legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Digital image or video, time, date, statement by official and/or others (witness, etc.), record of scene or location, other incidental information, and associated metadata (both automatically and manually generated).
	<b>Retention and Disposition</b>	Retain for sixty (60) days, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Building Inspection

Series	Records Title and Description	Function and Use
L5508	<b>Inspection Reports</b>	This record series is used to document the inspection of structures that are newly built or altered . These include building, electrical, plumbing, plans and specifications and housing inspections. These are done in accordance with building code mandates. A certificate of occupancy can only be issued after successful inspections of all aspects of the structure.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the address of structure, type of construction, type of inspection, date of inspection, narrative of inspection, list of violations, results of inspection, name of inspector, signature of inspector and if there are inadequacies what needs to be done to correct it.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5509	<b>Building Permits Issued</b>	This record series documents application by a property owner to build and/or alter a building on property. Included in this records series are permits for commercial, new residential, residential remodeling, additions, and accessory structures, demolition/wrecking, signs, swimming pools, fences, grading and others. It is used to insure compliance with established requirements of the set forth in the building code. This information is also shared with the local property valuation office so that, if necessary, property taxes may be adjusted for the affected property.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, permit number, property owner name, description of building to be constructed or changes made to existing building, electrical demolition, zoning requirements, site plans, housing plans, property information and correspondence.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5510	<b>Building Permit Monthly Report</b>	This record series is used to document the total number of building permits issued and the fees associated with them on a monthly basis.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, name of person requesting permit, the amount charged.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5511	<b>Certificate of Occupancy</b>	This record series is used to document that an inspection of a building has been done and that the inspection indicated that the building was constructed in compliance with requirements of the Uniform State Building Code. The inspection shall be comprehensive and include provisions of general construction; structural quality; mechanical systems; electrical systems; and life safety from hazards of fire, explosion, and other disasters. A copy of the certificate is sent to the Commissioner of Housing, Buildings and Construction.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the building permit number; address of the structure; name and address of the owner; a description of that portion of the structure for which the certificate is issued; inspection statement; name of the building official; edition of the code under which the permit was issued; If an automatic sprinkler system is provided and whether it is required; any special stipulations and conditions of the building permit; date of inspection, description of property; name of contractor.
	<b>Retention and Disposition</b>	Retain until structure is destroyed, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Building Inspection

Series	Records Title and Description	Function and Use
L5512	<b>Residential Building Plans File (House Plans)</b>	This record series is submitted when applying for a building permit. These plans are voluminous and are not used after the certificate of occupancy has been issued. The builder also has a set of these plans. This may be used for enforcement of building codes and reference for later modifications. The homeowners warranty is in effect for one year, during which time the builder must address any issues the resident raises. The agency will keep the plans to allow the resident easy access to them. Once the agency has issued a certificate of occupancy, it has no legal jurisdiction over problems involving the residence.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	All files will contain: Building plans; Plat plan; Zoning approval; Workers Comp coverage agreement. Files may contain a checklist of plan review; sewage permits; deck specification sheets, blueprints, drawings.
	<b>Retention and Disposition</b>	Retain until one (1) year after certificate of occupancy issued, then destroy. If no building permit is issued, retain for 180 days, then destroy.
L5513	<b>Building Permit Application File - Not Issued</b>	This record series is used to document those who submit an application for a building permit. These were not issued because the applicant did not meet certain criteria. An application for a permit for any proposed work shall be deemed to have been abandoned 180 days after the date of filing, unless such application has been pursued in good faith or a permit has been issued; except that the building official is authorized to grant one or more extensions of time for additional periods not exceeding 90 days each. The extension has to be requested in writing and justifiable cause demonstrated. These may be applications for commercial, new residential, remodeling, additions, demolition, signs, swimming pools, fences, grading and any other.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the application, site plan, any written approvals, design requirements, plant requirements, full set of plans, name of construction location, owner, address, contractor, signature of applicant.
	<b>Retention and Disposition</b>	If permit is not issued, retain for 180 days, then destroy when all appeals and extensions end.
L5514	<b>Commercial Building Plans File (Nonresidential)</b>	This record series is submitted by persons applying for a building permit for all new commercial buildings, additions and/or improvements. This record helps document the planning and construction of a commercial facility. They are maintained to allow the owner easy access to them in the event that problems arise involving the facility and for code enforcement. Once the agency has issued a certificate of occupancy, it has no legal jurisdiction over problems involving the project.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain site plans, blueprints, drawings, foundation plans, floor plan, stair details, all means of egress, mechanical and electrical plans. May also include change orders or plan modifications.
	<b>Retention and Disposition</b>	Retain until two (2) years after certificate of occupancy issued, then destroy. If no building permit is issued, retain for 180 days, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Building Inspection

Series	Records Title and Description	Function and Use
L5873	<b>Encroachment Permit File (V)</b>	This file is started to obtain permission to work on the highway right-of-way or close at least one lane of a state highway. The permit is completed and sent to the Kentucky Transportation Cabinet, Department of Highways Permit Branch, for approval. The type of encroachment is listed and the dates of the encroachment if known. Information is retained in the local office, Dept. of Highways Permit Branch, and District Office. Once the permit has been approved, there are agreements that are signed by the parties that dictate when, how long, and how the project is to be completed. When work has been completed, the applicants forward notice of completion of Encroachment to their district office. The District Office sends an inspector to inspect the worksite for proper completion. If approved, District Office will send a release.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Encroachment permit application, Encroachment work release, notice of completion, Encroachment permit general notes and specifications, maps and information about the projects.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L6296	<b>Contractor Registration Files</b>	This record series is used to document that commercial, residential and specialty contractors are properly licensed to provide services in the Urban County Government area. This file verifies that contractors have a business license, workers compensation insurance and liability insurance.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the application for and renewals of contractor licenses, certificates of insurance, workers comp insurance exemption and state licenses for specialty contractors. The application would contain the name, name of company, directory information and type of contractor.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Code Enforcement

Series	Records Title and Description	Function and Use
<b>L5505</b>	<b>Condemnation File (V)</b>	This record series documents the record of proceedings, events, and conditions of a property slated for condemnation for reasons such as collapse of property, unsanitary conditions, health of public in jeopardy, or a lack of public utilities. The process is begun through violation of the Property Maintenance Code and appeals can only be taken to the Codes Appeals Board and then to Circuit Court.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	May contain photographic evidence, documentation of notices and orders, court order
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5506</b>	<b>Violation File - Zoning, Building &amp; Housing</b>	This record series is used to document that notice has been given that there is a violation of building codes, housing codes or zoning regulations. This is used until the violation is remedied. The violation may result in litigation and if so the documentation may be entered as part of the litigation file.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the address of violator, name of owner, date of violation, explanation of violation, the amount of time to remedy the violation, and instructions for verification that the violation has been fixed.
	<b>Retention and Disposition</b>	Retain until five (5) years after last complaint, then destroy.
<b>L5507</b>	<b>Violation File - Weed, Rubbish, Junk Car &amp; Sidewalk</b>	This record series is used to document violations of laws(state or local) concerning weeds, rubbish, junk cars and sidewalks. This notice is given to the owner of the property and they are given a certain time to correct the violation. These records are kept as a reference in case of future violations by the same persons.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of violator, address of violator, explanation of violation, the law that was violated, amount of time to correct violation, date of violation and name of person giving the notice of violation.
	<b>Retention and Disposition</b>	Retain until five (5) years after last complaint, then destroy.
<b>L5874</b>	<b>Home Inspector Files</b>	This record series is used to document the activities of home inspectors. These are prepared by a licensed home inspector for the purpose of giving findings made prior to the purchase of a residential dwelling. The inspector surveys the structure and certifies that the dwelling meets all state and local requirements.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain license applications, continuing education certificates, examination results, receipts for payment of fees, insurance documents, lists of inspections and correspondence.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
<b>L5745</b>	<b>Inmate Medical Folder (V)</b>	KAR 501, Chapter 3:020 Section 5(2) requires that inmate medical records shall be maintained. The records can follow the prisoner if he/she are transferred to another facility. The folder is used to record the medical history and medical treatment of jail inmates as required by KAR 501 3:090.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	May include medical request form, health history, medical information release, medication log sheet, medical test results, correspondence, memorandum of treating physician or hospital, prescription information, medical evaluations.
	<b>Retention and Disposition</b>	Destroy 10 years after release of inmate or 5 years after death of inmate if death occurred while in custody
<b>L5746</b>	<b>Inmate Record/Folder (V)</b>	KAR 501 Chapter 3:020 Section 4 and 5 relate to information systems and inmate records and require that certain information be retained in inmate records and allow that they can be retained in written or within computer records. Records on juveniles are to be kept separate from adult jail records and jail records for mental inquest detainees shall also be kept separate. Release of information is only possible by inmates signing a release of information consent form. The documents record in one place biographical, medical, arrest, property, inmate account, visitor and classification data on an individual inmate to assist in determining a proper rehabilitation program. If additional time in a state or federal facility is ordered by the court, a copy of the inmates file is sent to the facility from the jail and becomes part of the inmates folder at that facility. In most cases, if information is requested once this file has been archived, the court record is used to answer most questions. Unless the inmate is convicted of a felony offense, the court record is eligible for destruction in five years.
	<b>Access Restrictions</b>	KRS 196.280, 197.025, 610.320, 610.340
	<b>Contents</b>	photographs, incident reports, court proceedings, body receipt, property slip, leave slips, observations, letters to staff, inmate hearings, telephone calls, mental petitions.
	<b>Retention and Disposition</b>	Destroy 10 years after release of inmate or 5 years after death of inmate if death occurred while in custody
<b>L5755</b>	<b>Video/Audio Tapes</b>	This series is used to record any incident that may cause conflict between an inmate and an employee of the jail. Some jails/detention centers record the booking of all inmates while others record only the bookings in which they think there may be conflict. Also recorded are disciplinary hearings, incident reports, cell removals, and the time an inmate is in the restraint chair. This tape can be and is used as evidence in hearings in which an inmate complains that they were abused or treated unfairly by a jail employee.
	<b>Access Restrictions</b>	None
	<b>Retention and Disposition</b>	Destroy if no litigation is pending.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
L5756	<b>Video Log</b>	Each video is numbered and the number is identified in this log. The log also documents the date recordings begin and end. By checking the inmate folder and obtaining the date an incident happened, the log can be consulted to find exactly which tape is needed to locate specific entries.
	<b>Access Restrictions</b>	None
	<b>Retention and Disposition</b>	Destroy when Video/Audio Tapes are destroyed
L6298	<b>Adult Probation Case File (V)</b>	This record series is used to document those adult prisoners that have been placed on probation by the District Court. The person is placed on probation and is under the supervision of Community Corrections. This probation may be work release, community service or other types of probation.
	<b>Access Restrictions</b>	KRS439.510
	<b>Contents</b>	This record series may contain probation terms, counseling reports, restitution receipts, criminal history, police reports, documentation of educationa and community service hours.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after closure of case.
L6299	<b>Adult Probation Receipt Book</b>	This record series is used to documents payments made by probationers for restitution, probation fee, work release, drug tests or electronic monitoring.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record may contain receipts that payments have been made. The name of the payer and payee and other pertinent information.
	<b>Retention and Disposition</b>	Retain until closure of case then destroy after audit.
L6300	<b>Adult Probation Deposit Slips</b>	This record series is used to documents bank deposits made by Adult Probation. These consist of payments made by the probationers for restitution, probation fee, work release, drug tests or electronic monitoring.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record may containthe deposit slip and list of payments received from persons which make up the deposit.
	<b>Retention and Disposition</b>	Retain until closure of case then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
L6393	<b>Inspection Instrument for Jails (V)</b>	The report is required by KRS 441.064. This instrument is used by the Corrections Cabinet to report on the condition of the jail facility as well as the administration of the jail. The inspections are biannually and this report is produced from those inspections. The report is to sent to the County Judge/Executive with recommendations for the corrections of problem areas. If the Corrections Cabinet hands down an order for compliance, a deadline will stated. After compliance with the report, the Jailer will detail the steps to correct the problem.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The record contains the name of the facility, address, type of facility, person in charge, date of inspection, inspector, inspectors signature, date and the body of the report which details compliance with 186 items relating to administration, booking, information systems, training, etc. The instrument is a 37 page document.
	<b>Retention and Disposition</b>	Retain for fifteen (15) years, then destroy.
L6394	<b>Periodic (Monthly/Weekly) Report to Corrections Cabinet (V)</b>	This record series is used to inform the Kentucky Corrections Cabinet of inmates being cared for by county correctional facility and to comply with the requirements of KRS 441.105(2).
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of inmate, charge, date of birth, sex, county, time and date of entry, time and date of release.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L6395	<b>Visitor's Log</b>	This series is used to document time, date, name of visitors for inmates or jail facilities. This series includes Daily visitation, weekend visitations and visits by clergy, attorneys, family members and etc.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, badge number, visitors name/address, purpose, time in, time out.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L6396	<b>Work Release Money Log</b>	This record series is used to account for work release money received by the jail facility. An inmate may be employed in community service work outside the facility for which payment may be received.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, person paying and receipt number, correctional officer receiving money, supervisor received, office received.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
<b>L6397</b>	<b>Lunch Count Sheet</b>	This record series is used to record the number of correctional officers eating lunch for purposes of food preparation and to comply with 501 KAR 3:100 relating to food services.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Denotes shift, officers on duty, officers eating salad, officers eating lunch, inmate count scheduled, inmate documentation scheduled, name of officer, check off for lunch or salad.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
<b>L6398</b>	<b>Jail Register (a.k.a. Inmate Register) (V)</b>	KAR, Title 501, Chapter 3:020, Section 4, requires that jail information and inmate records shall be retained in written form or within computer records. The register will list what federal, state and local prisoners may be residing in a local jail facility for purposes of social control and monetary reimbursement. Depending on the size of the county and past records-keeping practice seperate registers may be found federal, state and local prisoners.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of prisoner, when committed, term of sentence, by whom committed, offense, color and sex, officer committing, age, nativity, when discharged, by whose order discharged, number of days in jail, jailers fees, total, remarks.
	<b>Retention and Disposition</b>	Retgain until five (5) years after release of inmate, then destroy.
<b>L6399</b>	<b>Inmate Classification Sheet (V)</b>	KAR Title 501, Chapter 3:110 sets forth procedures for the classification of inmates and the record is created in response to that procedure. Upon admittance to the jail facility, the inmate is interviewed, and as a result of the information received, the inmate is placed in a cell location appropriate to the offense and other factors (male, female, adult, juvenile, mental ill or mentally retarded, mental inquest detainees). In most recent cases (from approximately 1998), juvenile and mental detainees are housed in other- than- adult jail facilities.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, booking date, arrest date, arrest time, SSN, name, aliases, sex, age, race, d.o.b., place of birth, height, weight, address, phone number,marital status, spouses name,length of marriage,number of dependents,military service,discharge date,employer,medical problems, medication, drug use, alcohol use,physicians name, felony arrests,escape attempts,current charges,court date, bond, disposition,cell location.
	<b>Retention and Disposition</b>	Retain until five (5) years after release of inmate, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
<b>L6400</b>	<b>Inmate Phone Calls</b>	KAR Title 501, Chapter 3:140, Section 3, requires that a record of all telephone calls by an inmate shall be maintained by the jail. The record is used to document the date, time and party contacted by the inmate. This series is used seldomly if at all. The main use is to check if an individual complains an inmate is bothering them by calling from the jail. In some cases the inmate has an EPO filed against them and this document can prove they were trying to contact the protected individual.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of inmate, cell location, approved by, date, number called, person called, time, date, signature of inmate, recorded conversation.
	<b>Retention and Disposition</b>	Retain for six (6) months, then destroy.
<b>L6401</b>	<b>Inmate Account Deposit Receipt (V)</b>	KAR 501, Chapter 3:030, Sections 2, 3 and 4 relate to the fiscal management of the jail and canteen and requires that fiscal records be maintained relation to the operation of the jail and the canteen. The receipt is used to record the deposit of money to an inmates account(often by a family member) and to issue a receipt as an acknowledgement of that deposit and credit to the account.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Amount, deposit to account with inmate name, property number, cell number, by whom deposited, date, authorizing officer.
	<b>Retention and Disposition</b>	Retain until two (2) years after release of inmate, then destroy after audit
<b>L6402</b>	<b>Inmate Account (V)</b>	KAR 501, Chapter 3:030, Sections 2, 3 and 4 relate to the fiscal management of the jail and the canteen and require that fiscal records be maintained relating to the management of the jail and the canteen. This record covers debits and credits to an inmates account as the result of prison wages earned, deposits by family or others and commissary purchases. At the time of release any remaining balance is returned to the inmate.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of inmate, date, account balance, debit, or credit, initials of inmate for debit. May include deposit or receipt forms.
	<b>Retention and Disposition</b>	Retain until two (2) years after release of inmate, then destroy.
<b>L6403</b>	<b>Food Service Operation Inspection Record</b>	KAR 501, Chapter 3:100, Section 1 requires that Jail Food Services comply with the Kentucky Food Service Establishment Act and the StateFood Service Code(KRS 219.011 to 219.081) and the Kentucky Occupational Safety and Health Standards for General Industry. The record is the inspection by the local health department of the jail food service operation for compliance with the health codes and regulations and makes recommendations where appropriate for improvement.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Food service operation name, date inspected, violations found in structural cleanliness, ventilation, lighting, toilet facilities, water supply, waste disposal, serving and display, and cleanliness of staff with inspectors specific recommendations for correction or improvement in any of these areas.
	<b>Retention and Disposition</b>	Retain until superseded, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
<b>L6404</b>	<b>Menu</b>	KAR 501, Chapter 3:100, sets forth procedures for proper food services in local jails and includes certain records keeping requirements among which is maintenance of accurate records of all meals served. The menu serves to document the foods served at each meal to inmates of the jail facility.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	By week and then by day lists foods served at breakfast, lunch and dinner. Includes a comment space.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
<b>L6405</b>	<b>Refrigerator and Freezer Temperature Control Record</b>	KAR 501, Chapter 3:100, Section 1(11) requires that jail food services have sufficient cold storage facilities for food. The record serves to document temperatures within the refrigerator and freezer for purposes of monitoring for health purposes the safe storage of perishables.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Records date of temperature checked, individual checking temperature, and temperature of refrigerator and freezer
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
<b>L6406</b>	<b>Perpetual Inventory</b>	KAR 501, Chapter 3:030 relating to fiscal management of the jail facility requires that an inventory procedure shall be implemented and established. This record documents the amount of foodstuffs on hand in food services of meal planning, ordering and use of food products.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Lists name of food item, unit size, date, record of action, with quantity of food received, withdrawn and remaining on balance.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
<b>L6407</b>	<b>Special Diet Order</b>	KAR 501, Chapter 3:100 relating to food services in the jail requires that the jailer provide for medical and religious diets. The record documents the type of special diet (medical or religious) served to the inmate and the purpose for serving.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of inmate, date of birth, issue date, module, booking number, expiration date, type of diet, initials of approving physician or chaplain
	<b>Retention and Disposition</b>	Retain until obsolete, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
<b>L6408</b>	<b>Standard Kentucky Rebate Application-Food Processing Program</b>	KAR 501, Chapter 3:100 relating to food services in jails requires that adequate records be maintained relating to meals. The Jail as government entity is eligible to receive government donated foods from the Federal Government. The Kentucky Dept. of Agriculture is the state agency responsible for the administration of the donated foods program in the Commonwealth. The application is a request for a rebate/refund from the Kentucky Dept. of Agriculture for use of government donated foods. Refunds received from that agency must be placed back into the Food Service program at the jail facility.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of participant, identification code, address, city and state, zip code, purchased from, address, zip code, months when products purchased plus year, product code number, type of product, case size, number of cases purchased, donated food rebate value per case, net price per case after rebate, total rebate per line item, grand total, applicant signature, title and date.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
<b>L6409</b>	<b>U.S.D.A. Quarterly Food Inventory</b>	KAR 501, Chapter 3:100 relating to food services in jails requires that accurate records be maintained relating to meals. As a government entity, the Jail is eligible to receive federal surplus foods to provide an a nutritionally adequate diet for inmates. The record is used to document the quantity of federal surplus food on hand by the agency on a quarterly basis.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of agency, county, county code, address, date of inventory, by commodity lists cases, bales or bags on hand in previous quarter, received this quarter, used this quarter, transferred out this quarter and damaged or destroyed this quarter, totals, and in inventory with overages and shortages this quarter, signature line and date.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
<b>L6410</b>	<b>Utensil Count Sheet (Daily)</b>	KAR 501, Chapter 3:030, Section 6 requires the Jailer to utilize and implement an inventory procedure for property under his control. The record is used to document utensils on hand on a daily basis to protect against theft and to alert staff of the type of utensils taken. Not only is this critical for property administration but also for safety as some of these utensils may be fashioned into weapons for use against staff or other inmates.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Lists type of utensil and number on hand with signature line and date.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
L6411	<b>Institution Requisition for USDA Foods Entitlement Purchases</b>	KAR 501, Chapter 3:100 relating to food services in jails requires that accurate records be retained relating to meals. Since the Jail is a government entity it is eligible to receive surplus foods from the United States Dept. of Agriculture. The Kentucky Dept. of Agriculture is the state agency responsible for administration of that program in the Commonwealth. The record documents an annual request by the jail for USDA foods.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Signature of authorized representative, county, phone number, average daily caseload, needy persons served everyday, lists USDA Foods, their sizes and price per case, case/bags requested with total dollar value.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L6412	<b>Cleaning Supplies Inventory</b>	KAR 501, Chapter 3:030 relating to fiscal management requires that a jailer implement and utilize an inventory purchase to keep track of property in the custody of that office. The record accounts for cleaning supplies on hand and their specific location in the jail facility.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Notes POD location and numbers of push brooms, sweep brooms, dust pans, mops, mop buckets and wringers, window cleaner, shower/toilet cleaner, scrub brushes and floor cleaner on hand at each location with officers initials and date.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L6413	<b>Delivery Notice for Donated Foods</b>	KAR 501, Chapter 3:100 relating to food services in jail facilities requires that accurate records be maintained relating to meals. As the Jail is a government entity it is eligible to receive government donated foods to provide a nutritionally adequate diet for the inmates in its custody. The record is a notice to the distributor for the delivery of donated foods to the jail facility.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of institution, account number, arrival date, expiration date, deliver, year, pack size and price per case, route number, order number, total cases, signature line and date.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L6414	<b>Count Sheet of Meals Served</b>	KAR 501, Chapter 3:100 relating to food services in jail facilities requires that the jailer shall maintain accurate records of all meals served. This record is used to determine the number meals serving on a daily basis for purposes of planning food preparation and food purchases.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, meal, numbers of officers, court employees, doctors, new inmates, released inmates and those served at any other place.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
L6415	<b>Application for Training</b>	KAR 501, Chapter 3:040 relating to jail personnel sets minimum training standards certified by the Corrections Cabinet and provides for local and regional in-service training. Jailers receive a minimum of 40 hours annually of certified in-service training while deputy jailers and other correctional officers receive a minimum of 16 hours annually. The application records an individual employees request for training and compiles a list of courses completed or not completed Chapter 3:020 Section 4(5) requires each jail to maintain records on the types and hours of training completed by each employee.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name, SSN, job title, employing agency, employment date, date of birth, sex, course title, training site, total hours, beginning date, ending date, training supervisor, employing agency address, trainees signature, lists of courses, hours completed, not completed, training supervisors signature and date.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
L6416	<b>Training Checklist for Fire Emergency</b>	KAR 501, Chapter 3:070 sets forth safety and emergency procedures to be followed in local jails and relate to the provision of fire emergency planning and the creation of a fire emergency plan.The checklist is meant to acquaint the staff member with those procedures as part of their in-service training and is used to document the fact that the employee has received training in the handling of a fire emergency. Chapter 3:020 Section 4(5) requires each jail shall maintain records on the types and hours of training completed by each employee.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, employee name, SSN, checklist of six areas of responsibility, signature of instructor and trainee, date.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L6417	<b>Training Checklist for Booking</b>	KAR 501, Chapter 3:040 relating to personnel in jail facilities shall receive 16 hours annually of in-service training. One of the most critical is the booking(admission) area. The checklist is used document the fact that the jail employee has received training in the facets of the booking area. Chapter 3:020 Section 4(5) requires that each jail shall maintain records on the types and hours of training completed by each employee.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, employee name, SSN, checklist of twenty-eight areas of responsibility, signature of instructor and trainee upon completion and date.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Community Corrections

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>L6418</b>	<b>Training Checklist for Juvenile Area</b>	KAR 501, Chapter 3:040 requires a minimum of sixteen hours annual in-service training for deputy jailers and correctional officers. Chapter 3:020, Section 4(5) requires each jail maintain records on the types and hours of training completed by each employee. The Juvenile Area requires a different approach from that for the adult population. The checklist is to document that the jail employee has received training in the Juvenile Area.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, employee name, SSN, checklist of eight areas of responsibility, signature of instructor and trainee upon completion and date.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
<b>L6419</b>	<b>Training Checklist for Roving Officer</b>	KAR 501, Chapter 3:040 Section 4(5) requires that each jail maintain records on the types and hours of training completed by each employee. Furthermore, Chapter 3:040 requires a minimum of sixteen hours annual in-service training for deputy jailers and correctional officers. The checklist is used to document the fact that the jail employee has received training in the requirements of being a roving officer.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, employee name, SSN, checklist of twenty-six areas of responsibility, signature of instructor and trainee upon completion and date.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
<b>L6420</b>	<b>Training Checklist for Administration Area</b>	KAR 501, Chapter 3:040 Section 4(5) requires that each jail shall maintain records on the hours and types of training completed by each employee. Chapter 3:040 Section 4(2) also requires sixteen hours annually of in-service training for deputy jailers and correctional officers. The record documents that the jail employee received training in the operations of the administrative area.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, employee name, SSN, checklist for code of ethics, use of force, policy and procedures, timesheets, instructor and trainee signature of completion and date.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
<b>L6421</b>	<b>Training Checklist for Main Control and Control Tower</b>	KAR 501, Chapter 3:040 Section 4(5) requires that each jail shall maintain records on the types and hours of training completed by each employee. Chapter 3:040 Section 4(2) requires sixteen hours annually of in-service training for deputy jailers and correctional officers. The record is used to document the fact that the jail employee has received training in the operation of the main control area and the control tower.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, employee name, SSN, checklist of twenty-four areas to be knowledgeable about, instructor and trainee signature and date.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
L6422	<b>Training Checklist for Reports</b>	KAR 501, Chapter 3:040 Section 4(5) requires each jail to maintain records on the types and hours completed by each employee. Chapter 3:040 Section 4(2) requires sixteen hours annually of in-service training for deputy jailers and correctional officers. The checklist is used to document the fact that the jail employee received training in the proper completion of incident reports, daily activity log, work orders, etc.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, employee name, SSN, checklist for reports, signature of instructor and trainee on completion of training along with the date.
	<b>Retention and Disposition</b>	Retain until reports are superseded, then destroy.
L6423	<b>Jail Employee Training Form</b>	KAR 501, Chapter 3:020 Section 4(5) requires that each jail shall maintain records on the types and hours of training completed by each employee and that a current and accurate record shall be maintained on each employee. Chapter 3:040 Section 4(2) requires that sixteen hours annually of in-service training be provided to deputy jailers and correctional officers. The form is used to record training received by a jail employee. This training is done to acquaint employee with the facility and prepare them to handle a variety of situations.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of employee, SSN, training course, date, number of hours trained, number of hours to complete course, course completion, instructor signature, trainee signature.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
L6424	<b>Daily Inspection Sheet</b>	KAR 501, Chapter 3:060 Section 3 requires that each jailer establish a procedure for inspecting all areas of the facility for physical security and contraband. The sheet is used to record a daily inspection and rating of all jail areas for cleanliness and security to conform with that requirement.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Officer undertaking inspection, date, area, listing of 26 items for rating, areas to be rated, total points and comments section.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L6425	<b>Shift Report (Daily)</b>	KAR 501, Chapter 3:060 relating to security and control requires that jail personnel document surveillance of each inmate. Chapter 3:020 Section 4 also requires that jail and inmate records shall be maintained. The report is used to record officers on duty on a particular shift and to inform incoming shifts of situations requiring their attention.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Shift, guards, dates, on duty, off duty, time, and remarks.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
L6426	<b>Daily Activity Report</b>	KAR 501, Chapter 3:060 requires that jail personnel shall document surveillance of inmates which includes at least one headcount per shift. The report is used to document the daily work activities and incidents reported by each deputy jailer for reasons of accountability and to assist succeeding shifts.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of deputy jailer, shift, location, date, on duty, off duty, head count males/females in cells, work release, detox, juvenile, administrative holding, community placement and remarks plus narrative columns for time and description.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L6427	<b>Telephone Log (Individual Inmate)</b>	KAR 501, Chapter 3:060 Section 4 relating to jail security requires that documentation be maintained on telephone usage by inmates of the facility. Inmates are permitted at least one call of five minutes length weekly and the jailer under Chapter 3:140 Section 3(2) calls for maintenance of a log for all phone calls. The log documents phone calls made by individual inmates and is useful for classification, security and treatment reasons.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Inmate name, cell number, date, time, number called, person called, officers initials or number.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L6428	<b>Fire Evacuation Procedure List</b>	KAR 501, Chapter 3:070 relating to safety and emergency procedures for the jail requires written documentation on fire planning sessions and the quarterly provision for fire planning sessions for staff. The list is used to document the fact that jail employees have participated in fire evacuation procedures.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Signature of employee, date participated, and signature of supervisor
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L6429	<b>Community Service Center Work Schedule</b>	KAR 501, Chapter 3:060 establishes special control procedures for jails with community service or work release programs. The schedule is used as a control mechanism and provides information on work location, times in and out, and the names of those on community service duty.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of inmate, work location, time in and time out
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
L6430	<b>Headcount Report</b>	KAR 501, Chapter 3:060 relating to security and control in the jail requires that documented headcounts be maintained for inmates in the facility. The record documents on a cell by cell basis inmates residing in the jail on a given day.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date of headcount, cell number, inmate or inmates in cell, male or female, type of cell, actual count and number of inmates.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L6431	<b>Transportation Log</b>	KAR 501, Chapter 3:030 relating to fiscal management provides for the maintenance of records relating to the cost for operating the jail. Chapter 3:120 requires a written record when an inmate is removed from custody. The log is used to record the destination and time of transportation of inmates to a work site, medical care or court.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, officer, vehicle, destination, time out, arrival time, time in, initials.
	<b>Retention and Disposition</b>	Retain until five (5) years after final entry, then destroy.
L6432	<b>Inmate Medical Folder (V)</b>	KAR 501, Chapter 3:020 Section 5(2) requires that inmate medical records shall be maintained. The records can follow the prisoner if he/she are transferred to another facility. The folder is used to record the medical history and medical treatment of jail inmates as required by KAR 501 3:090.
	<b>Access Restrictions</b>	KRS 196.280, 197.025, 610.320, 610.340
	<b>Contents</b>	Contents: Medical request form, health history, medical information release, medication log sheet, medical test results, correspondence, memorandum of treating physician or hospital, prescription information, medical evaluations.
	<b>Retention and Disposition</b>	Retain until five (5) years after release of inmate, then destroy.
L6433	<b>Inmate Record/Folder (V)</b>	KAR 501 Chapter 3:020 Section 4 and 5 relate to information systems and inmate records and require that certain information be retained in inmate records and allow that they can be retained in written or within computer records. Records on juveniles are to be kept separate from adult jail records and jail records for mental inquest detainees shall also be kept separate. Release of information is only possible by inmates signing a release of information consent form. The documents record in one place biographical, medical, arrest, property, inmate account, visitor and classification data on an individual inmate to assist in determining a proper rehabilitation program. If additional time in a state or federal facility is ordered by the court, a copy of the inmates file is sent to the facility from the jail and becomes part of the inmates folder at that facility. In most cases, if information is requested once this file has been archived, the court record is used to answer most questions. Unless the inmate is convicted of a felony offense, the court record is eligible for destruction in five years.
	<b>Access Restrictions</b>	KRS 196.280, 197.025, 610.320, 610.340
	<b>Contents</b>	Contents: Photographs, incident reports, court proceedings, body receipt, property slip, leave slips, observations, letters to staff, inmate hearings, telephone calls, mental petitions.
	<b>Retention and Disposition</b>	Retain until five (5) years after release of inmate, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Community Corrections

Series	Records Title and Description	Function and Use
L6434	<b>Video/Audio Recordings</b>	This record series documents any incident that may cause conflict between an inmate and an employee of the Fayette County Detention Center (FCDC). FCDC records the booking of all inmates. Also recorded are disciplinary hearings, incident reports, cell removals and the time an inmate is in the restraint chair. This recording may be used as evidence in hearings in which an inmate has filed a complaint alleging abuse, unfair treatment, etc., by jail staff.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain: Date, time, location of recordings, related information and video index/log sheet.
	<b>Retention and Disposition</b>	Retain non-evidentiary recordings for thirty (30) days, then destroy. Evidentiary recordings used in any investigation, pending investigation, litigation or open records requests must be kept until all investigative or legal activity is completed. Then destroy the original and all copies of the recording.
L6435	<b>Video Log</b>	Each video is numbered and the number is identified in this log. The log also documents the date recordings begin and end. By checking the inmate folder and obtaining the date an incident happened, the log can be consulted to find exactly which tape is needed to locate specific entries.
	<b>Access Restrictions</b>	None
	<b>Retention and Disposition</b>	Retain until video/audio recordings are destroyed, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Enhanced 911

Series	Records Title and Description	Function and Use
L5637	<b>Change of Address File (V)</b>	This record series is used to document the changes of address. The changes must be approved by the Council through a resolution. The resolution is maintained permanently in the Council Clerks office. These changes are entered into a database (GIS). The address and phone number are linked when a 911 call is received.
	<b>Access Restrictions</b>	KRS 65.752(3)(4)
	<b>Contents</b>	This record series may contain correspondence, field notes, copies of area maps, change of address and a reference to the old address.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L5638	<b>Master Address File (V)</b>	This record series is used to document the all addresses in the urban county government area. This is maintained in the police department and is automatically changed by the phone company when people move with the old numbers and addresses backed up. This is in paper form and in a stand alone database.
	<b>Access Restrictions</b>	KRS 65.752(3)(4)
	<b>Contents</b>	This record series may contain the name, address and phone number.
	<b>Retention and Disposition</b>	Retain until occupants change and address is updated, then destroy.
L6436	<b>Dispatch Recordings</b>	This series is used to document and record all Enhanced 911 related calls whether made by phone, radio, text and/or video. These may include calls from individuals, police officers, EMS, or firemen. These are recorded automatically as the call comes in to the agency. The system will write over tape or CD at the appropriate time - 60 days. Most of this information will be recorded on an additional system. The information will be recorded on the system used by the contact agency, such as the Police, EMS, or Fire Department.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	The information may vary but usually will have the time, date, name of person calling and subjects covered
	<b>Retention and Disposition</b>	Retain for sixty (60) days, then destroy or re-use. If there is litigation, an open records request or investigation involving these records all destruction ceases.
L6437	<b>Surveillance Video/Audio Recordings</b>	This record series is used to document the activities in public areas of local government facilities. The cameras usually run 24 hours a day and record all activities in specific areas. Used in case there is destruction of property, breaking and entering, or other unlawful acts. This includes the general inmate population areas of detention facilities except for booking/interrogation. These cameras may be located in areas such as lobbies, kitchens, control rooms, libraries, hallways, entrances to government buildings, local government offices and any where the public has access. These tapes are used as a security measure in the identification of persons who cause disturbances or violate laws.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Video of a certain area of the facility or the outside of the facility.
	<b>Retention and Disposition</b>	Retain for sixty (60) days, then destroy or re-use. If there is litigation, an open records request or investigation involving these records all destruction ceases.



**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Enhanced 911

Series	Records Title and Description	Function and Use
L6438	<b>NCIC/LINK Teletype Message File</b>	This record series is used to document the information received daily through the National Crime Information Center (FBI). This is in the form of messages received by teletype about the criminal behavior of persons. This also involves any information about stolen vehicles. This information is used in the day to day business of the agency and as an investigative tool. Once the information is updated or becomes obsolete it is considered inactive. Messages are stored on a server and backed up daily/monthly. Backup tapes are maintained 2 months.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain, directory information about persons, crimes committed, offenses committed and any messages.
	<b>Retention and Disposition</b>	Retain for two (2) months, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Environmental and Emergency Management (DEEM)

Series	Records Title and Description	Function and Use
L5515	<b>Inventory for Facility File (V)</b>	This record series is used as a finding aid for the facility files. Used to locate certain documents. This record series is updated regularly to reflect the changes made in the facility files. Maintained as an electronic record but may be printed out as well.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This records series may contain the name of facility, document name, summary information along with dates and other information.
	<b>Retention and Disposition</b>	Retain permanently.
L5516	<b>Facility Files - Non Residential (V)</b>	This record series is used to document non residential facilities that may be a source of environmental concern. The facility may be keeping hazardous materials either as an inventory or that may be used in their daily business. It may be underground storage, storage above ground, kept in a building or kept in an open lot. These files may be representative of complaints received or may be maintained because a facility is in the business of using, storing or selling hazardous materials or they are underground storage facilities. This file is used to assess the situation and to provide information if there is an emergency. Some of these files may be confidential because of trade secrets or as part of the super fund cleanup.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name, address, hazardous material, amounts, inspection reports, complaints, correspondence and other reference materials.
	<b>Retention and Disposition</b>	Retain permanently.
L5517	<b>Facility File - Residential (V)</b>	This record series is used to document reports of hazardous materials being stored in a residence. This record may reflect what was found at the residence and what was done to remedy the situation.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name, address, materials, summary of action, date and time.
	<b>Retention and Disposition</b>	Retain until three (3) years after last activity, then destroy.
L5518	<b>Emergency Response Plan (V)</b>	This record series is used to document how the community responds to chemical accidents. The plan must identify facilities/transportation routes, describe emergency response procedures, designate a community coordinator and facility coordinator, outline emergency notification procedures, determine the affected area and populations, describe local emergency equipment and facilities and the persons responsible, outline evacuation plans, provide training program for responders, provide methods and schedules for exercising emergency response plans. The Local Emergency Planning Committee develops this plan. This committee is made up of representatives from police, fire, ems, public health, transportation, and environmental specialist.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the guidelines for dealing with a chemical spill. Includes names of responders, phone numbers, notification procedures, evacuation plans, training component, list of potential problems.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Environmental and Emergency Management (DEEM)

Series	Records Title and Description	Function and Use
L5519	<b>Tier II Emergency and Hazardous Chemical Inventory File (V)</b>	This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5520	<b>Transformer Incident File</b>	This record series is used to document when electricity transformers explode and emit certain hazardous chemicals. The incident is reported by the electric company (KU) for the purpose of informing those in the vicinity that there may be a hazard. PCBs are the most prominent of the hazardous materials. This incident report is followed up by what action KU has taken to clean up and make the area safe.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the location, address, how the situation was handled and if there was any damage to surrounding area.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5521	<b>Hazardous Waste Incident File (V)</b>	This record series is used to document one time spills of emissions of hazardous chemicals or materials. This may be a tanker spill or an emission from a facility. This initiates a response which includes the fire department.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, chemicals involved, response team, location, address, name of facility or company and summary of response.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5522	<b>Training and Exercise File</b>	This record series is used to document training and exercises that are given which requires implementation of the major provisions of the emergency plan. Items considered are threat, training programs completed by response personnel, assignment of personnel, equipment available to responders, funding, exercise frequency, and experience commensurate with the type and stress of the exercise. Must be conducted on a four year cycle.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain, exercise/training materials, guidelines, scenarios, time, date and list of responders.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Environmental and Emergency Management (DEEM)

Series	Records Title and Description	Function and Use
L5523	<b>Natural Disaster File</b>	This record series is used to document natural disasters such as tornado, ice storms, floods and others. These are maintained to document the procedures followed, the consequences, the details of the disaster. This is used for future reference.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the time, date, photos, summary of the disaster, response and damage done.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
L5524	<b>Administrative Orders (V)</b>	This record series is used to document the policies and procedures of the fire department. It is an internal document used in the administration and operation of the agency and includes all areas. The chief issues these as needed. The orders may be general, special or training and they apply to everyone in the agency.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the date of issue, page #, order #, subject, order numbers rescinded, signature of authority, purpose, and policy and procedure.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently in the Chiefs office.
L5525	<b>Annual Report to the Secretary of State</b>	This record series is used to report activities of the fire department that has been created pursuant to KRS Chapter 273 (Nonstock, Nonprofit Corporations). This report is required by this KRS Chapter.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the name of the department, address, name of trustees, current information for the year, and signature of person presenting report.
	<b>Retention and Disposition</b>	Retain permanently.
L5526	<b>Financial Statement to the State Fire Commission</b>	This record series is used to document the financial condition of a local fire department. The governing body of each recognized and certified volunteer fire department created pursuant to KRS Chapter 273 (Nonstock, Nonprofit Corporations) must submit a financial statement to the State Fire Commission of all funds received from all sources and expenditures of those funds for all purposes. This becomes a part of the official audit. For a fire department that is designated a special district this financial report is also submitted to the fiscal court of the county or counties where the special district is located.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the name of the fire dept., address, receipts and expenditures, date submitted, person submitting the statement and report.
	<b>Retention and Disposition</b>	Retain permanently.
L5527	<b>Annual Fire Summary Report</b>	This record series is used to document the fire runs made during the year and the type of fire. This is a reporting tool for the governing body and becomes a part of the Annual Report to the Governing Body.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the breakdown of false alarms, number of fires, number of civilian casualties, estimated property damage from fire, incendiary and suspicious fires, structure fires, vehicle fires and total for all incidents.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
<b>L5528</b>	<b>Summary Financial Statement</b>	This record series is used to document the receipts and expenditures of the fire department (special district) on an annual basis for publication in the local newspaper. This is a form provided by the Department for Local Government is for publication and informational purposes only. It is not designed to satisfy, nor does it fulfill the requirements of a comprehensive annual financial statement prepared pursuant to generally accepted accounting principals.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the period covered, revenues, receipts and cash, expenditures and address where records are available for inspection.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
<b>L5529</b>	<b>Monthly Fire Summary Report</b>	This record series is used to document the number of fire runs made monthly and the type of fire is used to predict future activity for the purpose of staffing and cost. This summary becomes a part of the Monthly Report to the Governing Body and eventually part of the Annual Report to the Governing Body.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series contains the dates, false alarms, number of fires, number of civilian fire casualties, estimated property damage from fires, incendiary and suspicious fires, structure fires, vehicle fires and total of all incidents. Also included is number of fires in private dwellings, apartments, hotels, residential, public assembly, schools, stores, health care, industry, utilities, fire in highway vehicles, fire outside structures, fire in brush, fire in rubbish, hazard material emergencies.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
<b>L5530</b>	<b>Uniform Financial Information Report (V)</b>	The series documents the financial status of a city from a revenue and expenditure perspective as well as indebtedness. Beginning in the 1990-1991 Fiscal Year, KRS 65.905 required the filing of uniform financial information reports with the Department of Local Government. The Department of Local Government in cooperation with the United States Bureau of the Census developed the report so that a single report would meet the needs of both agencies. In addition, the Department of Local Government is to consult with the Legislative Research Commission and determine an electronic format for providing all reliable data from the report to the Legislative Service Commission. Failure to submit the report shall make the local government ineligible to receive county or municipal road aid money. KRS 65.925 provides that the Department of Local Government file a copy of the report with the County Clerk.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name and address of the special district followed by a multi-part form covering such categories as: (1) Tax Rates; (2) City Revenue; (3) City Transfers and Proceeds from Long Term Debt; (4) Contact information; (5) General Fund Expenditures; (6) Personnel Expenditure; (7) Cash and Investments at the End of the Fiscal Year; (8) New Indebtedness and (9) New Capital Lease Agreements over \$50,000. The instrument is an 11-page document with 1,085 data elements to be completed by the reporting agency.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
L5531	<b>Insurance Rating Organization File ( Insurance Services Office, Inc. (ISO) )</b>	This record series documents the correspondence with the Insurance Services Office, Inc, which is a fire protection rating organization in the State. Also included in this record series are periodic reports and surveys that are used to determine the fire protection rating for a particular fire district. These fire protection ratings are used in determining the insurance rates for a district. The insurance rating classifications are subject to review and approval by the State Insurance Commissioner. These reports and surveys are done periodically and may be superseded at any time.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains correspondence (letters and memos) and the surveys and reports. The surveys and reports may include requests for items needed in doing a survey and a contact sheet containing the names of local government employees or officers. Copy of policy for responding to fire alarms outside city/town/district limits, apparatus and equipment checklist may also be in this file. Information collected includes population from the last two census, area size, total number of alarms called for structural fires, number of non-structural fires and training programs.
	<b>Retention and Disposition</b>	Retain until superseded or obsolete, then destroy.
L5532	<b>Basic Fire Incident Report</b>	This records series is used to document what happens when a fire alarm is issued and a run is made. The information is entered after each run per KRS 304.13-380. These reports are used by the insurance companies for rating purposes and by the local fire department as a reference to their activities and to document all aspects of a particular fire. This report also be used when there is a suspicious fire and to determine whether the state fire marshal should be called. These basic reports shall be compiled into a monthly statistical report for the state fire marshal. These are sent electronically to that office every 3 months.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the name of the fire department, fire district #, date of fire run, day of the week, alarm time, arrival time, in service time, type of situation found, type of action taken, fixed property use, address of fire, occupant name, telephone and address, owner name, method of alarm from public, inspection district shift, no. of alarms, number of fire personnel, number of engines responding, aerials responded, other vehicles, number of injuries, number of fatalities, complex, no complex, mobile property type, mobile property-not applicable, area of fire origin, equipment involved in ignition, form of heat of ignition, type of material ignited, form of material, method of extinguishment, level of fire origin, number of stories, construction type, extent of flame damage, extent of smoke damage, detector performance, sprinkler performance, type of material generating smoke, mobile property description, equipment involved in ignition, officer in charge, member making report and date of report.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5533	<b>Dispatch Cards</b>	This record series is used to document calls received from citizens reporting a fire. This documents the time of the call and other pertinent information. In some instances the fire and emergency medical service are on the same system. This dispatch may also on tape.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the name of the fire department, the engine responding, time recorded, time arrived, time cleared, type of incident, the address of the run, name and location of caller.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
L5534	<b>Station Log Book</b>	This record series is used to document all daily activities in the fire station. This may include fire runs, duty assignments, duties completed, committee meetings and any personnel actions. Used to document the whereabouts of staff and verify results.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the date, time, account of activity, weather information. This may be broken down into platoon.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L5535	<b>Training Records File (V)</b>	This record series is used to document the on going training necessary for certification as a firefighter. Training and education standards is the responsibility of the State Fire Commission. There are minimum requirements for the certification of fire fighters and for participation in the Professional Fire Fighters Foundation Program Fund. Incentive pay comes from this fund and is contingent upon completion of additional training each year. Part of the requirements is 400 hours of basic training during the first year and an additional 100 hours of certified training every year of employment. The Fire Commission distributes the training material which is taught by a Level II certified instructor. A copy is sent to the Fire Commission every 3 months where it is maintained. Under 815 KAR 45:035 the local fire department or district shall maintain records to document that each participant devotes sufficient hours performing fire service training to qualify for incentive pay. These records may be audited by the Fire Commission for compliance purposes.
	<b>Access Restrictions</b>	KRS 61.878 (1a)
	<b>Contents</b>	This record series may contain the name of person receiving training, social security number, date of training, kinds of training, training roster, a copy of high school diploma, certificate from fire schools, fire training tests, emergency medical testing, standardized tests, test scores, score sheets, street and hydrant test, list of training completed (individual training list).
	<b>Retention and Disposition</b>	Retain until five (5) years after termination, then destroy.
L5536	<b>Daily Morning Report</b>	This record series is used to document those employees who are to be working on a particular shift. This is done at each shift to make sure that all positions are filled. This report shows absences, replacements and assignments of personnel.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the platoon #, shift commander name, officers names, date, weather information, apparatus assignments, housekeeping assignments, absences and names of replacements.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
L5537	<b>Personnel File - Duplicate</b>	This record series is a duplicate of the official copy maintained in the governments personnel office. It is used mainly as a quick reference to inquire about such things as habitual tardiness or other day to day personnel activities of individuals stationed at the fire department. This file may contain unofficial notes and references relating to individual employees that are not considered worthy of being placed in the official personnel file.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	Contains copies of the daily attendance, time sheets, certifications, change of status, evaluations, medical records, reprimands, recommendations, education material, workers compensation claims, absence reports and other personnel reference material.
	<b>Retention and Disposition</b>	Retain until termination of employment and review by personnel office, then destroy.
L5538	<b>Inspections of Property File</b>	This record series is used to document inspections made by the fire department of all property for the purpose of ascertaining and making sure that corrections are made of any conditions likely to cause fire loss, or discovering any violation of a law or ordinance relating to fire prevention and protection. There are certain facilities that must be inspected yearly and they include day care centers and schools. New businesses and businesses that change hands are also inspected. If there is a violation the facility has 10 days to appeal.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series contains a basic inspection form which has the date inspected, case no., county, status, priority, facility name, building name, complex code, phone, address, alarm systems, sprinkler systems, occupancy load, size of facility, type of construction, violations, and name of inspector.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5539	<b>Notification of Violation (V)</b>	This record is used to document those facilities that are in violation of a law or ordinance relating to fire prevention and protection and any fire code issued. This notification is sent to the facility that has been inspected and found to have a fire hazard or is not in compliance with the building code sections that relate to fire prevention. The amount of time to come into compliance is listed on this notification. This violation notice may trigger an appeal or the fixing of the problem by the owner of the facility.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the name of the violator, address, party notified, title of party, date, list of violations, time period in which the violation is to be corrected and the name of the inspector.
	<b>Retention and Disposition</b>	Retain for seven (7) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
L5540	<b>Daily Apparatus Checklist</b>	This record series is used to document all vehicles, generators, breathing apparatus, chain saws and any other items used in the day to day work of the fire department have been checked for performance capabilities. This is done daily to ensure that the vehicles and other apparatus are in good condition and are being maintained to the highest level of readiness.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the date, shift, operators name, items checked before apparatus is started, with apparatus running outside, generator checks, and breathing apparatus checks. Each one of these has a list of items to be checked.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5541	<b>Hose Test Report</b>	This record series is used to document that the hoses have been tested according the National Fire Assoc. guidelines and that there are no problems. Tested for pressure adherence and fitting durability. The insurance rating companies use this grading fire districts when issuing insurance rates.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the date of testing, unit# or engine #, officer in charge, description of item tested, hose size, test psi, # of feet tested, # of feet passed, # of feet failed and comments.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5542	<b>Ground Ladder Test Report</b>	This record series is used to document that the ground ladders are tested and inspected, usually on an annual basis and that they are in good repair. The testing is completed according to the National Fire Protection Standards and the results are used not only for repair purposes but are used by the insurance rating company in grading the fire district for setting insurance rates.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains test date, inventory #, location, manufacturer name, length, number of sections in ladder, testing of the rails/rungs, hooks, halyards, strength test measurements and person doing the testing.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5543	<b>Aerial Ladder Test Report</b>	This record series is used to document the testing of the aerial ladders which are attached to the fire trucks. This is done for UL certification purposes and a certificate of aerial device inspection and test by the American Test Center. Tested to ensure that it is in good working condition. This test may be run more than once a year but usually completed once a year.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the Certificate of Inspection and Test and the test itself which includes the name of the fire dept. ladder model, test #, horizontal load test, maximum elevation load test, rotation bearing clearance, elevation cylinder drift, throttle control, relief valve psi, trigger cylinder drift test, extension cylinder drift test, operating test, water system test, date of test and tester.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
L5544	<b>Pumper Test Report</b>	This record series is used to document that the pumper on the truck is in good working condition and is used in the certification process by the National Fire Protection Association. Also used by the insurance grading companies for insurance rates for the district.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains date of test, apparatus tested, temperature, time, manufacture date, manufacturer, mileage, fuel used, test site, make, model, serial number, acceleration, vacuum test, pumping data, capacity, and tester.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5545	<b>State EMS Run Report (V)</b>	This record gives documentation of aid rendered, is a medical assessment, and serves as the primary billing record. A copy of this record is also frequently provided, at patients written request or upon court order, for legal and insurance purposes. Cabinet for Human Resources Administration Regulation (902 KAR 20:155) requires that this record be forwarded to the Cabinet in accordance with submission dates established by the Cabinet. A new CHR regulation (902 KAR 20:117) requires that the EMS Run Report be kept confidentially and for a minimum period of five (5) years from the last date of service, or in the case of minors, until five (5) years beyond the age of majority, which is 18 years.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Month, day, year, pick-up location, county code, ambulance service license, time calls come in and time transferred, mileage record, nature of run, patient name and address, driver/attendant, vital signs, chief complaint, case narrative, destination, doctors, patient assessment and aid administered.
	<b>Retention and Disposition</b>	Retain for five (5) years, the destroy after audit. In the case of a minor, retain until five (5) years after age eighteen, then destroy after audit.
L5546	<b>Routine Investigation Files (V)</b>	This record series is used to document follow up investigations by the fire department personnel of fires that are determined not to be of a suspicious nature and does not result in felonious criminal action. These investigations may produce findings that the fire was caused by accidental or careless acts. They may result in misdemeanor charges for some violation. These may be sent to the state Fire Marshall.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the location, time, equipment used, hydrant used damage done, firemen involved, summary report, photos and results.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
L5547	<b>Felony Investigation Files (V)</b>	This record series is used to document those investigations of fires that are determined to be arson or where there is a fatality. These may be resolved or they may be open and never resolved. These investigations may result in felony charges being brought.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the location, time, equipment used, hydrant used, damage done, firemen involved, summary report, photos and results.
	<b>Retention and Disposition</b>	Retain for eighty (80) years, then destroy.
L5548	<b>Hazardous Material Report (V)</b>	This record series is used to document those facilities that have an inventory of hazardous materials as determined by EPA. These reports also may be of one time spills or release of these hazardous materials and the response of the fire department. This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments. This record series also may contain the date, time, chemicals involved, response team, location, address, name of facility or company and summary of response.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5549	<b>Knox Box Application File</b>	This record series is used to document those facilities that have applied for a Knox Box (miniature safe) to be installed outside the building. This is placed on the building and a key to the premises is placed in the safe. If there is fire or the alarm is sounded and the fire department responds they can get a key from this box. The owner of the facility buys the box. The fire department has the only key to the box. Usually used when an alarm is sounded at the facility. This gives the fire department access to see if there really is a fire.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This records series may contain the name of owner, address of facility, amount paid, type of alarm system, where the box is located. Layout of facility.
	<b>Retention and Disposition</b>	Retain until no longer active, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
L5550	<b>Garage Maintenance Monthly Report</b>	This record is used to document the work completed on the vehicles and other equipment during a given month. This may be used as a reference of in case there is some question about the operating efficiency of the equipment.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may include date, time, equipment/vehicle serviced, and what was done.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5551	<b>Street Closure/Alarm Systems Out of Service File</b>	This record series is used to document street closings and alarm systems that are out of order. This file is used as a reference when routing to a possible fire or emergency. Notification of out of order alarms alerts the Department that the alarm must be repaired.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of street, duration of closing, address of facility, name of alarm service.
	<b>Retention and Disposition</b>	Retain until no longer useful, then destroy.
L5552	<b>Schedule II Drug Inventory List</b>	This record series is used to document those drugs which have a high potential for abuse. These are used in emergency services.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of drug, date of receipt, and amount.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5747	<b>Patient Statement (V)</b>	The function of the patient statement is to obtain payment from the patient for services rendered. This is the collection record - the bill for services which the EMS Unit mails to the individual who received ambulance service.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, Patient Name and Address, Description of services rendered, Charges, Payments and Credits, Previous balance, Total payments and credits, Current charges, Total, Provider name and address. Date of run and from-to locations.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
L5748	<b>Patient Health Insurance Claim Forms (V)</b>	This record functions to bill the Health Insurance Provider for services rendered to the patient. Health Insurance Providers include: private insurance companies, Medicare, Medicaid, Workmans Compensation, military, etc. This is a duplicate of the health insurance claim form filed by the EMS Unit on behalf of the patient.
	<b>Access Restrictions</b>	KRS 61.878:1a - Diagnosis and Personal I.D. Info.
	<b>Contents</b>	Patient and insured (subscriber) information: name, address, codes, etc; Physician or supplier information: diagnosis, itemized amounts charged for services, dates provided, physician identification, etc.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5749	<b>Monthly Payments Audit Sheet</b>	This is a record of all payments received for the month. It serves as a monthly payments audit. It is prepared in order to balance with deposits that have been made and to report to the City Commissioners, Fiscal Court, or other reporting body.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Paatient name, run number, payer, transaction date, amounts disallowed, paid, adjusted.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5750	<b>Daily Payments Audit Report</b>	This is a daily record of receipts for services rendered. It is used to balance with the daily deposit. A cumulative monthly report is also generated.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Patient name, run number, payer, transaction date, amounts disallowed, paid, or adjusted.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5751	<b>Daily Charges Audit Sheet</b>	This is a record of how many charges were made for the day. This is used to check that all charges for services rendered were actually entered into the computer for billing. Once the daily charges have been balanced, this report has served its purpose. A monthly report is generated at the end of each month.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Patient name, run number, run date, insurance provider, miles, time, charges.
	<b>Retention and Disposition</b>	Retain for one (1) month, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Fire and Emergency Services

Series	Records Title and Description	Function and Use
L5752	<b>Monthly Charges Audit Sheet</b>	This is a monthly report of charges for services rendered. It provides a record of total charges for the month and is used for reporting and auditing purposes. This is an accumulation of the daily charges audits. It verifies that all charges for the month are recorded.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Patient name, run number, run date, insurance providers, miles, and charges.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L6354	<b>Medical Surveillance File (Hazardous Materials Exposure)</b>	This record series is used to document any personal or environmental monitoring of exposure to hazardous materials, lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation or other related conditions.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains date of exposure, amount, time, type of exposure, incident report, physical exam, and actions taken.
	<b>Retention and Disposition</b>	Retain for thirty (30) years, then destroy.
L6464	<b>Child Safety Seat Inspection Records</b>	This record series is used to document inspections of child safety seats by the Fire Department staff. This is a voluntary program. The public may bring in a child safety seat and have it properly installed and to make sure they have the proper seat for the child.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the inspection checklist, parent/guardian name, date recommendations, comments and inspector name.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L6642	<b>Liability Waiver Records</b>	This record series is used to document the release of the Urban County Government from liability related to various government sponsored activities that include citizen involvement. This includes riding along in a vehicle or apparatus belonging to the Division of Fire and Emergency Services. This includes releases for installation of smoke alarms.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the name, address, phone number, date, signature of the applicant, parent or guardian signature and other related information.
	<b>Retention and Disposition</b>	Retain five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4831	<b>Department Policies and Procedures (V)</b>	This record series is used to document the structure of the department and how all units within the department are to carry out their responsibilities. This includes the personnel and what each unit is responsible for and how the process is to be completed. These policies and procedures may change due to state and federal guidelines, regulations or law and because of local regulations or laws.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the administrative layout of the department, what each unit is responsible for and the steps to be taken to carry out their responsibilities. Personnel guidelines are included.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.
L4832	<b>Annual Report</b>	This record series is used to document what the law enforcement agency accomplished in the past year. This is basically a statistical report of what each bureau/unit/section of the agency did in that year. Usually there is an organizational chart, listing of staff, narrative & statistical information for each bureau/unit/section and personnel changes. The statistical information is taken from the monthly activity reports of the following areas: agency head(chief usually), administration and services, patrol, community services, traffic, investigations, traffic and personnel. This series is used by the governing body in appraising the efforts of the agency and as a comparison from year to year. Also this report is used as a public relations instrument to communicate the yearly accomplishments of the agency; what areas are of concern to the agency and what the agency is prepared to do to improve on those areas.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain a message from the agency head(chief), organizational chart, staff listing, a section for each bureau/unit/section containing statistical information and narrative about each. Also there may be comparison charts and graphs for crime and traffic. There may be section for personnel changes and promotions.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.
L4833	<b>Orders (General, Special and Training Bulletin) (V)</b>	This record series documents the policies and procedures of the law enforcement agency. It is an internal document used in the administration and operation of the agency and includes all areas. These come from the head (chief) of the agency as needed. They are issued by the chief after consultation with the staff. The orders may be general, special or training bulletins. A general order applies to everyone in the agency. A special order applies to a specific area or subject. A training bulletin is issued for any changes in the training procedures. Orders are issued to comply with the Commission on Accreditation for Law Enforcement Agencies (CALEA) and the Kentucky Association of Chiefs of Police (KACP). There are only 5 law enforcement agencies in the state accredited by CALEA.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain: Date of issue, page # and number of pages, order #, subject, order numbers rescinded, CALEA standards, KACP standards, signature of authority (chief usually), purpose, policy and procedures.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.



**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4834	<b>Official Correspondence</b>	This record series documents the policy, historical and legal functions, activities, events and programs of the local agency. Primarily this correspondence may explain or define the operations or policy of the agency and may take the form of letters, memos, surveys and other communication between the head of the agency and others. This record series may form the basis for policy formulation, the decisions made and the effect on the public.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain letters, memos, note, electronic mail and other forms of communication.
	<b>Retention and Disposition</b>	Retain permanently.
L4835	<b>Officer's Field Interview Notes</b>	These record series is used to document the contact an officer has with a suspect on the streets. This contact is initiated by the officer either through observance or phone call. These notes may not be mandatory to keep but may be useful for the completion of the officers daily activity report. Also this record series is used by the officer as a protection against untrue allegations issued by the suspect.
	<b>Access Restrictions</b>	KRS 61.878 (a)(k), KRS 610.320, KRS 610.340
	<b>Contents</b>	This record series may contain the name of suspect, alias, address, race, sex, DOB, ssn, height, weight, hair, eyes, operators license #, state, location of encounter, date, time, clothing description, vehicle, year, make, mode., color, license no., state, whether the driver, passenger or a pedestrian, reason for encounter, remarks, any associates, name of officer, employee no./badge no., assignment, platoon, list of suspects features.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L4836	<b>Juvenile Curfew Report</b>	This record series is used to document curfew violations by juveniles. All local agencies do not have a curfew ordinance and for those which have them they may vary. Usually there is a first warning for the juvenile. He/she are written up and their parents/guardians are notified. If there is a second occurrence there is a possibility of a fine. This document is used to track those violations and to respond to subsequent violations. In some instances this may be placed in an investigative file if the subject is under investigation for other violations.
	<b>Access Restrictions</b>	KRS 610.320 (3)
	<b>Contents</b>	This record series may contain how the contact is initiated, prior violations, beat where contact made, case #, date and time of contact, name of juvenile, address, phone, alias, social security #, race, sex age, date of birth, vehicle description, license #, state, exact location(street address of contact), other charges placed, drugs/alcohol detected, weapon involved, school attending-grade, gang affiliation, parent cited, parent name, address, phone, juvenile taken to:, was the juvenile directed to return home by officer and if so at what time and whether he was in company of others, adult taking custody, address, relationship to juvenile, social security #, date of birth of custodian, list of names and ages of any person with the juvenile at time of contact, were any associates arrested, additional narrative, officer making report, employee/badge #, assignment, date and time of report, supervisor approving and reviewing report and if a letter was sent to the parents.
	<b>Retention and Disposition</b>	Retain until subject becomes eighteen (18) years of age, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4837	<b>Weekly Juvenile Curfew Record</b>	This record is used to document and compile curfew violations submitted by officers. The parents are sent a letter informing them of the first violation. This is done weekly.
	<b>Access Restrictions</b>	KRS 610.320 (3)
	<b>Contents</b>	This record series contains the date, time, beat, case #, location of offense, Address, name of violator, address, sex, race, date of birth, age, officer, checklist whether parent cited, drugs involved, other charges, prior violations and associates. Also it contains whether a vehicle was involved, circumstances, wk#, month and year.
	<b>Retention and Disposition</b>	Retain for two (2) weeks, then destroy.
L4838	<b>Monthly Traffic Analysis Report</b>	This record series is compiled from collision reports, complaint and offense reports and other records for each month. This series is used as an information tool for the agency to track all accident reports(where, when, and how) and helps to reduce accidents through the use of extra patrols and surveillance in problem areas. In some instances annual report is done and the information contained in the monthly report is used. This data can be electronic or paper.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain graphs, charts, and drawings along with statistics concerning number of traffic violations cited, collisions, fatalities, traffic related incidents, alcohol involved collisions, DUI arrest information, TOP COPS, selective enforcement unit target locations, traffic activity and roadway/vehicle/pedestrian information.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L4839	<b>Annual Traffic Analysis Report</b>	This record series is used to compile statistical information concerning traffic violations cited, collisions, fatalities, traffic related incidents, alcohol involved collisions, DUI arrests, target locations, traffic activity and roadway/vehicle/pedestrians. This information is taken from the monthly reports and is usually electronically produced. All law enforcement agencies may not produce this but many do. The information and statistics that are contained in this report may also be found with KSP but not in this form. In some of these reports graphs, charts and drawings are used.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the yearly statistical compilation of traffic violations, collisions, fatalities, traffic related incidents, alcohol involved collisions, DUI arrest information, traffic activity, any target locations and roadway/vehicle/pedestrian information.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4840	<b>Daily Recap of Reported Crime</b>	This record series is used to document what crimes have been committed in the last 24 hour period. It is used by the commanders to brief their personnel on a daily basis. This is not useful after 3 or 4 days.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the date, day, beat, type of offence, location/victim, number, address, time, information about the crime, and if there are any suspects.
	<b>Retention and Disposition</b>	Retain for two (2) months, then destroy.
L4841	<b>Reported Part I Crime Comparisons</b>	This record series is used to compare Part I crimes with other like cities. The statistics from the FBI Uniform Crime Report are used in this report.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the names of cities and Lexington, population of each, sworn officers, ratio of officers to pop., murder and non-neglect manslaughter, rape, robbery, agg. Assault, burglary, larceny, auto theft, arson, and totals.
	<b>Retention and Disposition</b>	Retain until no longer useful, then destroy.
L4842	<b>Annual Report for Accreditation</b>	This record series is used to report to the Commission of Accreditation for Law Enforcement (CALEA) and the Kentucky Association of Chiefs of Police (KACP) the information needed to comply with their standards. This is done annually and is compiled from the monthly activity reports which are provided by each Bureau.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains summary and overview sheet, year covered, activity category, % of increase or decrease over the previous year, totals for the year, totals of last year, personnel information, actual part 1 crimes, total fatalities, total citations issued. (This report is compiled from monthly activity reports and is used to satisfy requirements by CALEA).
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.
L4843	<b>Annual Summary of Arrest Activities</b>	This record series is used to compile statistics for comparison with the previous 10 years. It is used as a planning tool and delivered to the Chief once a year. This is a statistical record of all arrests made during the year.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the activity areas (total division arrests, dui arrests, drug arrests, juvenile arrests, MHVs issued) and a ten year period for these. Contains a distribution list.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4844	<b>Overtime Reports</b>	This record series is used to document the amount of money each unit paid in overtime for each pay period. This is a reference tool for the Chief to track the amount spent on overtime and make sure the amount used is not excessive.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains fiscal year, pay period, date, account#, vendor, description, amount, current balance.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L4845	<b>Purchase Order (duplicate)</b>	This record series is used to document purchases requested by the police department. This goes through the Division of Accounting where the original is part of the accounts payable file. This copy is used as a reference and to make sure the purchase is received.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the copies of the purchase order, invoices and receiving information.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.
L4846	<b>Asset Forfeitures Monthly Report File</b>	This record series is used to document cash which has been confiscated by the law enforcement agency as a result of arrest process. This is usually as a result of arrests that have been made for violations of the drug laws. In some instances the federal authorities are involved. The local agency will get half of the cash from federal cases and all from local agency arrests. This information is shared with the Kentucky Crime Commission. The Commonwealth Attorneys office shares in the cash if it is a state arrest. Most of the time this is cash but there are auctions of property seized and this money is handled in the same way.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the order of forfeiture, court order record, order of confiscation, cover letter to Kentucky Crime Commission, federal equitable share, receipt for case, and copies of checks.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after audit.
L4847	<b>Travel Requests</b>	This record series is use to request travel for professional purposes which may include professional training, work related travel or attend professional meetings. This record series is in the form of a request/voucher and is used not only to give permission but is used as a voucher to pay for the travel.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of person requesting travel, destination, purpose, leave date/time, return date/time, and cost.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L4848</b>	<b>Radio Run Tapes</b>	This record series is used to document incidents reported to the police department. Whenever an incident is being investigated, standard operating procedure is to copy the particular incident onto a cassette tape for the investigator.
	<b>Access Restrictions</b>	KRS 61.878 (1a)
	<b>Contents</b>	The information may vary but usually will have the time, date, name of person calling and subjects covered.
	<b>Retention and Disposition</b>	Retain for sixty (60) days, then erase or re-use..
<b>L4849</b>	<b>Radio Run Cards</b>	This record series is used to document dispatches that come into the agency. These cards will only be used when the computer aided dispatch system (CADS) is not operational. When the system is operational , all data recorded on the cards is entered into CADS. This is done within the next shift. There may be cards to differentiate emergencies from non-emergencies.
	<b>Access Restrictions</b>	KRS 61.878 (1a)
	<b>Contents</b>	This record series may contain the unit assigned, backup, location, incident, other, complainant, address, phone, disposition, beat, incident code, census tract, received by, dispatcher, received, dispatched, arrived, cleared, out booking, cleared booking, whether a wrecker is needed.
	<b>Retention and Disposition</b>	Retain until entered into CADS, then destroy.
<b>L4850</b>	<b>NCIC/LINK Teletype Message File</b>	This record series is used to document the information received daily through the National Crime Information Center (FBI). This is in the form of messages received by teletype about the criminal behavior of persons. This also involves any information about stolen vehicles. This information is used in the day to day business of the agency and as an investigative tool. Once the information is updated or becomes obsolete it is considered inactive. Messages are stored on a server and backed up daily/monthly. Backup tapes are maintained 2 months.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain, directory information about persons, crimes committed, offenses committed and any messages.
	<b>Retention and Disposition</b>	Retain for two (2) months, then destroy.
<b>L4851</b>	<b>Emergency Business Locator Card</b>	This record series is used to document those persons who are to be contacted after hours in case of a break-in of a business. These are updated regularly.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of business, address, date filed, phone, name of person to notify(at least 2), and remarks.
	<b>Retention and Disposition</b>	Retain until obsolete, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4852	<b>Soliciting List</b>	This record series is used to document those persons that have applied to solicit door to door. This is maintained in the Chiefs office and is updated periodically. Used as an investigative tool if there crimes or violations committed by those people.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of solicitor, address, phone, company represented, time and date of solicitation.
	<b>Retention and Disposition</b>	Retain until obsolete, then destroy.
L4853	<b>Record of Arrests (Cards, Book or File) (V)</b>	This record series is used to document the arrest process. These are generated at the Detention Center upon booking and entered into a database. The records are maintained by the date and time of arrest. There is no separation of felony and misdemeanor arrests. The information concerning the felony arrests is subsequently put with the Criminal History Jacket.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the name of the subject, address, ss#, height, weight, race, gender, booking information, charge, offense, date of arrest, arresting officer, place where arrested, time , marital status, mug photo and other information.
	<b>Retention and Disposition</b>	Retain felony file until fifty (50) years after arrest, then destroy.
L4854	<b>Uniform Crime Monthly Report</b>	This record series documents the felony crimes which have occurred in a law enforcement agencies jurisdiction within a month. The data may be submitted to a state Uniform Crime Reporting Program or directly to the National Uniform Crime Reporting Program (F.B.I.). Most of the local law enforcement agencies submit this report to the Kentucky State Police which in turn submits it to the F.B.I.. This data is used to show nationwide trends and statistics for the purpose of comparison and to learn from other agencies. The crimes documented are Part I and include rape, murder, homicide, manslaughter, assault, burglary, auto theft, arson, robbery, larceny and theft. This report is not mandated but each agency is strongly urged to participate. This report is a must if grant funds are to be received by the local agency. This report deals with the nature of crime and the monetary value of property stolen and recovered as well as those officers injured or killed in the line of duty.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may include the classification of offenses and whether they were unfounded, just attempts, false, baseless, actual offenses, total offenses cleared by arrest or exceptional means, number of clearances involving only persons under 18 years of age. Also included is a report for crimes committed and the monetary value of property stolen and recovered, a report of law enforcement officers killed or assaulted.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4855	<b>Uniform Police Traffic Accident Report (V)</b>	This record series is used to document and report accidents whether one or multi-vehicle. This is a two part form which is uniform throughout the state and is used by all law enforcement agencies. The original is sent to the Kentucky State Police where the data from the form is input into a database. The hard copy is sent on the Department of Transportation(Traffic Section). This form is in the process of being updated to a 1 page form that will be scanned and sent electronically to the KSP. The information will be the same. This is used as a reference and is used in producing accident reports.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the local code, agency id, master file no. investigating agency, killed, injured, state of investigation, date/day/time of accident, trafficway no. or name, town, county, intersection, between street, ram, mile post, speed limit, a section for unit 1 and unit 2 and includes the same information which is: operators lic. No. state, restriction, code, compliance, name of operator, address, owner name and address, motor carrier name and address, vehicle make/year/model, state of registration, insurance co., what happened, diagram of vehicle and the damage inflicted, property damage, owner/address, tests for alcohol and drugs(whether taken), witness information, enforcement action, citation or case #, KRS number, offense, photos taken(yes/no), investigator, I.D. #, beat or post no., time notified, time arrived, scene cleared, reviewed by.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L4856	<b>Uniform Citation File (V)</b>	This record series is used by all peace officers in the commonwealth for all violations of the traffic laws and for all felonies, misdemeanors and violations(KRS 431.450). This form consists of an original document and five copies which are serially numbered in such a manner that the year of issue and the individual citation number may be readily ascertained and is approved by the State Supreme Court. One copy goes to the customer, one to Drivers Licensing, one to Detention, one remains in the law enforcement agency and the original to District Court. It is issued by law enforcement officers and is used as the basis for establishing court appearance dates and to begin the judicial process. The information is used by law enforcement officers when testimony concerning the incident is required. It is also used as one input document for the Criminal History Information System.
	<b>Access Restrictions</b>	KRS 61.878 (1a)
	<b>Contents</b>	This record series contains the offender/violator section(name of agency, name of subject, alias, address, I.d. number, ss#, date of birth, sex, race, home phone, emergency phone, resident status, marital status, victims relationship to offender, ethnic origin, height, weight, hair color, eye color, alcohol/drug involvement), vehicle section(make, type, year, color, state registered, year registered, registration no. identifiers, mph, in mph zone), date/time section(violation date, time, exact location of violation/arrest, boa. results, date of arrest, time, miles, direction, city, county of violation), charges section(violation code, statute/ordinance, charges, plea, finding, final violation code, disposition code, fine, costs, fee, jail/prison, probation time), court section(court date, court time, court location, court case no. disposition date, trial, clerks initial), post-arrest section(post-arrest complaint) and case section(name of witness, address, case no., carried by contributor, fingerprints taken, photos taken, evidence held, officers signature, badge/I.d. number, assignment).
	<b>Retention and Disposition</b>	Maintain the current year and previous year and destroy all others.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4857	<b>Complaint and Offense Report (V)</b>	This record series is used to document the events surrounding the filing of a complaint, where a crime has been committed and to describe the start of an investigation. This actually begins the investigation process and is used extensively while the investigation is in progress.
	<b>Access Restrictions</b>	61.878
	<b>Contents</b>	This record series may contain the complainant name, address, file no. crime report no., a victim section(directory information), an incident section(the type of offense, location of occurrence, week/date/time of occurrence, weather at time of offense, date /time of report), injury section(type of injury whether accidental, assaulted, found dead, self inflicted, removed from, removed by, nature of injuries, status of injured party, if rape, was examination performed), narrative section, whether or not to prosecute, whether a warrant is to be issued, case status, solvability factors, reporting officer, employee no./badge no., approving supervisor, is follow-up needed, a vehicle section, property section, suspects section, uniform crime report section and a supplementary report page if more space is needed.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L4858	<b>DUI Case File (V)</b>	This record series is used to document the arrest of persons for D.U.I. and may include the intoxilyzer test results. This report is used as a reference when doing background checks and to verify any D.U.I convictions that may result from this report.
	<b>Access Restrictions</b>	17.150 (2)
	<b>Contents</b>	This record series includes a D.U.I. field report( name of subject, address, sex, race, date of birth, age, day/date/time arrested, arrest location, vehicle year, make, model, color, license, state, expired date, impounded, where left, weather, accident, injuries, description of driving characteristics that caused the officer to suspect a D.U.I violation, distance observed before stop was attempted, road/traffic conditions, field sobriety test given, field test surface, suspect physical description, odor of alcoholic beverages noted, physical appearance, photos taken, rights advised, time, questioning of suspect, witness information, arresting officer, employee #/badge #, date/time report completed and additional narrative information). Also there may be intoxilyzer test results which is usually taken at time of booking.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L4859	<b>Criminal History Jackets(I.D. Jackets) (V)</b>	This record series is used to document an individuals felony criminal record. At the time of booking a person all directory information is attained and is kept with this jacket. This history gives each crime committed and subsequent actions taken including any corrections activity. This file is very important in the investigation process and is maintained up to date through the cooperation with the F.B.I. And the Kentucky State Police.
	<b>Access Restrictions</b>	KRS 17.150 (4)
	<b>Contents</b>	This record series may contain the offender index, adult case summary(history of arrests), fingerprints, photos(mug shots), F.B.I. Information(rap sheet), final disposition sheet, other agency abstracts, corrections information, notice of transfer or parole and alias file.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L4860</b>	<b>Criminal History Index File (V)</b>	This record series is used as a finding aid for the Criminal History Jacket. These records are used extensively for investigations. This may be a card file or an alphabetical listing.
	<b>Access Restrictions</b>	KRS 17.150 (4)
	<b>Contents</b>	This record series may contain the name, mug shot, age sex race, date of birth, last known address, arrests, date of arrests, offense, disposition of case, and social security #.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
<b>L4861</b>	<b>Report of Payroll Hours (V)</b>	This record series is used to document the hours worked by the employees and is sent to the Dept for Human Resources where the payroll check is issued. This report is of all employees.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains, the date, payroll period, name, straight hours, ot hrs, vacation balance, sick hrs, holiday balance, holiday hrs., awl hrs, pay adjustments, comp time, and explanations.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.
<b>L4862</b>	<b>Daily Attendance Report (V)</b>	This record series is used to document the daily attendance of each employee and is used as an input document and has basically the same information as the time card.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the daily attendance by name, employ #, the duty, type of absence and notes.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.
<b>L4863</b>	<b>Time Recording Book</b>	This record series is used to document the time worked for each person by bureau or section. Used as a reference by each unit to fill requests by employees or to double check the time card. Completed monthly.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the month ending, year, bureau/section, name of employee, rank, days worked, hours and absences.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4864	<b>Time Cards (V)</b>	This record series is used to document the time worked by employees worked during the pay period and to start the payroll process. These are sent in by each unit and bureau to the payroll office. The time is kept in each bureau. The information is entered into the database and sent to the Dept. of Human Resources.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the employee #, phone, name, address, pay period, hours for each day worked, biweekly pay period summary, signature of employee, miles driven, standard time, overtime and comp time.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy after audit.
L4866	<b>Personnel File (V)</b>	This record series is used to document an individuals employment with the law enforcement agency. It is the master file and the source of their employment history with the city. This file should document all the employment history which is deemed significant in determining job performance.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the application, date of employment, resignation, exit interview, evaluations, attendance records, resume, disciplinary actions, workers comp. information, pension reports, copies of social security card, badge number, education information, commendations, copies of immigration forms, education verification, training records, promotions, classification, correspondence and vacation and sick leave reports.
	<b>Retention and Disposition</b>	Retain until seventy (70) years from date first employed, then destroy.
L4867	<b>Training Record File</b>	This record series is used to document the training received by law enforcement officers that is required by statute. There is a 32 week period of basic training followed by 12 weeks of field training. After that period the officer becomes a part of the patrol section and is assigned to a field position and is on probation for one year. After probation the officer is released by the training section and must follow up with 40 hours of in-service training and must accumulate 400 hours. A record of training is maintained by the Criminal Justice Training Center at Eastern Kentucky University. Also a record of completed training is maintained in the officers personnel folder. This file is used to document the field training officers evaluations and will have any disciplinary actions taken along with all final grades.
	<b>Access Restrictions</b>	KRS 61.878 (a)
	<b>Contents</b>	This record series contains the name of officer, date/time of training, type of training, hours completed, grade achieved, completion date, evaluations, disciplinary actions and correspondence.
	<b>Retention and Disposition</b>	Retain until five (5) years after termination of employment, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L4868</b>	<b>Testing/Training (In-Service)</b>	This record series is used to document the training process, the training needed, description of training along with where and when the training will take place. All persons completing the one year probation period and becoming a full time employee must complete 40 hours of inservice training. Testing is a part of that training. This file documents that training and has the tests and test results (which is sent to ECU Criminal Justice Training).
	<b>Access Restrictions</b>	KRS 61.878 (a)
	<b>Contents</b>	This record series may contain descriptions of training, place and time of training and requirements for training.
	<b>Retention and Disposition</b>	Retain until no longer needed, then destroy.
<b>L4869</b>	<b>Grant Files - Federal and State (V)</b>	This record series is used to document all grants received, applied for, and to collect data for future applications. The information is used to make application for federal and state funds. Also it is used to make requests for reimbursement for overtime pay for extra enforcement. These grants may be through the Justice Department (Federal) and other agencies. This file documents the application process and any reporting that has taken place during the grant period. Also supporting financial documentation is included.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the application, supporting documents, grant contract, program monthly activity reports, program monthly financial reports, program year-end summary report.
	<b>Retention and Disposition</b>	Retain until five (5) years after submission of final report, then destroy.
<b>L4870</b>	<b>Motor Vehicle Impoundment Record</b>	This record series is used to document any towing of a vehicle done at the request of a law enforcement officer. Usually after a period of time (30-60 days) notice will be sent to the owner and if not picked-up it will be salvaged. These autos may be impounded because they have been involved in an accident, been stolen, burned, result of a traffic/parking violation or stolen.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains a vehicle inventory, description, condition, officer impounding vehicle, badge #, wrecker driver, date/time impounded, a release(includes name address, released by, date/time, report no., received by, date/time, vehicle description, license #, make model, color, vin., towed from, towed to, vehicle owner, address, driver or person last in possession, address, phone, condition(running, wrecked, burned, stripped, not running), if stolen, reason for impounding, reasons for holding, reasons for releasing.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4871	<b>Vehicle Maintenance File</b>	This record has primarily administrative and legal value. In agencies where they buy the vehicles, this record is kept to document the expenses of purchasing, servicing, and maintaining its vehicles. This information is logged monthly from information kept by the officer. This record is used in planning his budget. This record series may be kept for the life of the vehicle and is also used to verify the condition of the vehicle in case of claims brought against the agency or employee. This file establishes the history of the vehicle and includes any accidents causing damage and the repair costs for those.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Information in this file includes: unit number and/or vehicle identification number, month and year reported, miles driven that month, gas cost for the month, number of gallons of gas purchased that month, miles per gallon, parts and repairs for the month and totals of these months for the year. The payment of any bills will be maintained in the Accounts Payable file.
	<b>Retention and Disposition</b>	Retain until five (5) years after the vehicle is no longer in service, then destroy..
L4872	<b>Drug and Alcohol Related Education (D.A.R.E.) Program Participation Files</b>	This record series is used to document participation in the DARE program by the law enforcement agency and students/schools. This is implemented in the schools by the local law enforcement agency throughout the state. This is conducted for the purpose of making young people aware of the dangers of drugs(tobacco, alcohol, marijuana, inhalants and all others). This program is voluntary and each student must sign up for this. The programs are presented by local law enforcement agency personnel at different times during the school year. A census form must be completed by the DARE officer and sent the Kentucky State Police DARE Unit. This is statistical information with no student I.D. information although there is a listing of the principal and classroom teachers. Each local law enforcement DARE officer must fill one of these out after each session.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the parent letter(to be signed by the parent/guardian giving permission to participate in the program, census form)detailing each DARE session, including the names of principals and classroom teachers, when and where the session took place, directory information and the signatures of the school principal and D.A.R.E. officer) and participants evaluations of the session. This file may also include a yearly report of all sessions held.
	<b>Retention and Disposition</b>	Retain the parent permission letter until student (class) graduates, then destroy. Retain all other documents for two (2) years, then destroy.
L4873	<b>Crime Prevention Program File</b>	This record series is used to document programs conducted by law enforcement agencies for the purpose of making the public aware of the agencies role in the community and to bring about better cooperation and communication. These are programs are designed and conducted by the local law enforcement agency. All of them are geared toward more public involvement in crime prevention and a better understanding of the role of law enforcement agencies in the community. These may be programs focused on neighborhoods, special groups or the whole community. There may be a program where the public sector is invited to participate in the actual law enforcement process and trained to conduct, along with law enforcement personnel, workshops, seminars and meetings for the purpose of crime prevention.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the program and meeting report, quarterly report of neighborhood meetings or safety watch meetings, citizen surveys, business security surveys, and Cetch program files, program guidelines, goals, participation information, dates and time of presentations, listing of those in attendance, where the program was held, program personnel and evaluations. A yearly statistical report of results may also be maintained.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L4874</b>	<b>Citizen Police Academy Program File</b>	This record series is used to document this education program whereby citizens are allowed to have hands on experience in the workings of the police department. This is an eight week course whereby the citizen is able to go on patrol and make calls. Training is also provided and a certificate is given at the end of the 8 weeks.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the application by citizens, waiver to ride with officer on patrol, criminal history check authorization and related information about the program.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L4875</b>	<b>Police Activities League (PAL) Monthly Report Summary</b>	This record series documents the activities of the PAL program for the month. The program provides activities for economically deprived youth and includes athletics, tutoring and other activities. There are three locations in the housing projects. This report summarizes the activities at each location.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the monthly summary, officer name, day of month, programs and participants.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L4876</b>	<b>Crime Free Multi - Housing Program File</b>	This record series is used to document the education program for crime free multi-housing. This is a program whereby police officers present seminars at locations throughout the city for the purpose of informing the public on crime prevention and is designed to help residents, owners and the managers of rental property keep drugs and other illegal activity off their property. The program consists of prevention and applicant screening, drug nuisance abatement, and provides resource material.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the application for volunteer participation, release form, waiver of right to carry firearm, authority to release information form and informational material.
	<b>Retention and Disposition</b>	Retain until two (2) years after programs termination, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
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Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4877	<b>Security Surveys (Business &amp; Home)</b>	This record series is used to document inspections of homes/businesses and consultations with homeowners and business owners concerning the security of those facilities. These are conducted usually by request of the owners and may result in better security. The law enforcement agency may give recommendations which the owners may act on.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of the homeowner/business owner, address, time/date of survey, inspection documentation and recommendations.
	<b>Retention and Disposition</b>	Retain until obsolete or superseded, then destroy.
L4878	<b>Deposit of Funds Collected</b>	This record series is used to document the deposit of Cetch funds with the Division of Revenue. This is in memo form.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record contains the name of person sending, name of person receiving, date, amount of each check and cash and the total deposit.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L4879	<b>Extra Patrol Request</b>	This record is used to document citizens complaints for more patrols in an area for one reason or another. These are forwarded to the Bureau of Patrol.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the date, complainant, address, phone, person completing the form, comments, location, complaint, times, suspects, assignment, follow-up contact, date officer assigned, times checked, comments and observations.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L4880	<b>Trigger Lock Program File</b>	This record series is used to document those persons participating in the Trigger Lock Program. A citizen may fill out a form to receive a free trigger lock. A release must be signed by the recipient saying that he/she alone is responsible for the firearm and the locking of it.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the general release and firearms safety guidelines.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4881	<b>Traffic Serious Injury Case(Collision) File (V)</b>	This record series is used to document those accidents involving autos where there is serious injury. Usually this becomes a criminal investigation. The result of these collisions may be criminal charges or may result in a civil case being pursued by one of the parties. This file is used in conducting traffic safety surveys also.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain a copy of the accident report/collision report, witness statements, field investigative notes, audio/video material, photos and drawings.
	<b>Retention and Disposition</b>	Retain until five (5) years after close of the case file, then destroy.
L4882	<b>Traffic Fatality Case File (V)</b>	This record series is used to document those traffic accidents resulting in a death. This file is maintained because of possible criminal charges being brought against those involved and also the possibility of a civil law suit. This file in particular is used in traffic research and resulting trends.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record may contain the Uniform Police Accident Report, witness statements, field investigative notes, audio/video material, photographs and drawings.
	<b>Retention and Disposition</b>	Retain until ten (10) years after close of case file, then destroy.
L4883	<b>Traffic Property Damage Hit and Run File (V)</b>	This record series is used to document those traffic accidents that are hit and run where there is property damage. This is used for criminal investigation and provides support for legal proceedings(civil and criminal). It is also used in the year end statistics which in turn justifies activities.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the Uniform Police Accident Report, witness information, copy of citation, photos, supplement to accident report and resolution of the case.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L4884	<b>Citizen Complaint File - Traffic</b>	This record series is used to document complaints to police by citizens to request action be taken about a traffic hazard. Essentially this is a request for extra assistance and may result in extra patrols.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain a copy of the complaint, response to citizens , officers activity relating to it, citizen comments, and extra patrol form. Pertinent information concerning the location, reason/problem, complainant name, formal, informal, officer assigned, due date, enforcement results, date/time and officers comments.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L4885</b>	<b>Felony Investigation Case File (Non-Homicide) (V)</b>	This record series is used to document all investigative procedures followed when a felony has been committed. These include robbery, rape, assaults, wanton endangerment, burglary, larceny, arson, auto theft, and all other felonies. This is a compilation of all material gathered in a felony investigation. All cases are considered open while actively being investigated. At some point in time they will become suspended which are those cases which have been cleared by arrest or the suspect is known but for some reason prosecution is denied or case is unfounded. They become a closed file when there has been resolution by the court (found guilty or dismissed) or the suspect is known but for some reason prosecution is denied or the case is unfounded. Where law enforcement agencies are accredited by Communications Assistance for Law Enforcement Act (CALEA), these files must be transferred to the Records Division/Records Center.
	<b>Access Restrictions</b>	KRS 17.150 (2) Confidential information. Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	This record series may contain the assignment log, complaint report, arrest report/citation, case synopsis report, coroners report, autopsy report, cassette tape log and recording transcripts, victim information, victim statement and transcript, witness list/information/statements, suspect information, suspect statement and transcript, investigative notes, field notes, evidence log/reports, lab requests/results, photos, diagrams, search warrants, vehicle information, photo line-ups, neighborhood investigation, correspondence, police bulletins, news releases, lead sheet reports, criminal history data, subpoenas, and citations.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
<b>L4886</b>	<b>Investigations other than Felonies File</b>	This record series is used to document all information collected and procedures followed after an incident/offense report has been filed relating to a case other than a felony. These may be misdemeanors, citations given or violations. An arrest is not always made when a violation has occurred. This file is used in the resolution of the case. These are active, inactive, closed, open and suspended investigative files.
	<b>Access Restrictions</b>	KRS 17.150 (2) Confidential information. Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	This record series may contain a copy of the uniform offense report, uniform citation report, the investigative report, evidence, photos of crime scenes, photos of suspects, interview transcripts, transcripts of statements from victims/witnesses/suspects, transcripts of audio and video tapes, arrest warrants, fingerprints, lab information, criminal history information, correspondence, subpoenas, citations, pleas, sentences, and prosecution data.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L4887</b>	<b>Fingerprint File</b>	This record series is used to document the fingerprints of those persons arrested. These fingerprints have been taken by the law enforcement agency in the past but now are included with all other data by the jail at the time of booking. These are used to identify suspects, missing persons and other persons who need this type of identification for their job or security clearance. These files are also in the custody of the F.B.I and the Ky. State Police although there may be discrepancies. These are used extensively in the investigative process and for identification.
	<b>Access Restrictions</b>	17.150 (2)(4)
	<b>Contents</b>	This record series may contain the name, social security #, age, date of birth, sex, race, height, weight, eyes, hair, alias, marital status, employer, occupation, booking officer, arresting officer, transporting officer, agency, authority for arrest, arrest time, booking date, booking time, location of arrest, cell location, property #, security classification, I.d. number, complaining witness, fingerprints(all fingers), date of arrest, copies sent, date of offense, place of birth, scars, marks, tattoos, country of citizenship, residence, charge/citation, disposition, additional information and mug shot.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L4888</b>	<b>Fingerprint Card File</b>	This record series documents the fingerprints of persons arrested and is compiled by the arresting officer. Copies are sent to the F.B.I. and the K.S.P. for classification and assignment of criminal history numbers. This file has been maintained for cases that were either dismissed or taken over by another law enforcement agency.
	<b>Access Restrictions</b>	KRS 17.150 (2)(4)
	<b>Contents</b>	This record series may contain the name of subject, address, booking information, arrest information, SS#, all fingerprints and mug shot. This file will also have all the information included on the Fingerprint File.
	<b>Retention and Disposition</b>	Retain until five (5) years after last entry, then destroy.
<b>L4889</b>	<b>Crime Scene Photograph File</b>	This record series is used to document the crime scene through the use of photographs. These are taken at the sight where a felony or misdemeanor has been committed. This is usually done at the very beginning of the investigation. These photos may be included in the investigation file as well.
	<b>Access Restrictions</b>	KRS 17.150 (2) and KRS 61.878 (h)
	<b>Contents</b>	This file includes the negative, photo investigation #, number of the negative, case #, date, name of photographer.
	<b>Retention and Disposition</b>	Retain for ten (10) years, then destroy.
<b>L4890</b>	<b>Latent Prints File (V)</b>	This record series is used to document the fingerprints found at a crime scene, the fingerprints in missing persons cases and is also used to identify persons(living or dead). Latent prints in a criminal investigation may be placed in the investigation file or maintained separately.
	<b>Access Restrictions</b>	KRS 17.150 (2)
	<b>Contents</b>	This record series contains the fingerprint investigation #, photo investigation #, date, collection person, locations/date/time and the prints.
	<b>Retention and Disposition</b>	Retain until five (5) years after close of case, then destroy.
<b>L4891</b>	<b>Identification Card File</b>	This record series is used to document fingerprinting data and to find criminal histories. This is a finding aid and is used as a quick reference. The information for this record is taken from the arrest record.
	<b>Access Restrictions</b>	KRS 17.150 (2) and KRS 61.878 (h)
	<b>Contents</b>	This record series may contain the name of suspect, current age, date of birth, department #, alias, fingerprint documentation, classification.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4892	<b>Property/Evidence Record File (V)</b>	This record series is a complete inventory of property and evidence seized during the investigation of case, whether a misdemeanor or felony. This is a system of keeping track of the property and evidence and the disposition of that property and evidence. The disposition of the property and evidence may be by destruction, auction, forfeiture or returned to the owner. Also it may become an exhibit in a court case where upon it will remain with the case file. The manual keeping of this record series is being done less and less by law enforcement agencies and is being replaced by electronic record keeping. Matter of fact bar coding is being used in the larger agencies to keep track of the property.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the property record #, suspect name, address, source of property, date of entry, date of release, released by, property description and arresting officer. Also it may contain the case #, offense, case officer, badge #, booking officer, badge #, owner/victim name and address, location found, found by, and bar coding for each item.
	<b>Retention and Disposition</b>	Retain until three (3) years after final disposition of the property/evidence, then destroy.
L4893	<b>Mug Photographs(Shots) File</b>	This record series is used to document the image of those persons arrested for offenses. This is now done at the time of booking at the jail. This is done digitally and stored on electronic media. This information is maintained by the Division of Detention. This record series is maintained with the criminal history jacket in the police department. The older files may be maintained differently and may stand alone without all the fingerprint information.
	<b>Access Restrictions</b>	KRS 17.150 (2)(4)
	<b>Contents</b>	This record series may contain the name, address, alias, social security #, age, date of birth, sex, race, height, weight, gender, hair, eyes, marital status, employer, place of birth, booking information, arrest date, arrest time, location of arrest, offenses, case numbers, disposition and other information.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
L4894	<b>Alcoholic Beverage Control (ABC) Investigation File</b>	This record series is used to document investigations of businesses which sell alcoholic beverages. These investigations are usually started as a result of information received from outside sources. Also there are spot checks of businesses to make sure there is compliance.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, location of premises, owner/manager, type of offense, dispatched or routine check, disposition of investigation(arrest, citation, warning, or other), persons arrested(name, age, sex, address), witnesses(name address, phone no.), number of any complaint filed in reference to this case, condition of premises and remarks, officers signature and badge #.
	<b>Retention and Disposition</b>	Retain until five (5) years after going out of business, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L4895</b>	<b>Juvenile Investigation Case Files (V)</b>	This record series is used to document all the information collected during an investigation of a juvenile arrest. These investigations may either be for felony or misdemeanor violations. The information collected in a juvenile case is basically the same as any other investigative file and like other files may be used in court cases.
	<b>Access Restrictions</b>	KRS 610.320 (3)
	<b>Contents</b>	This record series may contain the case number, victim name and address, location of offense, assigned investigators, date occurred, assignment log, complaint report, arrest report/citation/violation, witness information, suspect information, suspect statements, investigative notes, officers field notes, evidence reports, lab results, photos, diagrams, search warrants, vehicle information, correspondence, fingerprints, booking information and other related documents.
	<b>Retention and Disposition</b>	Retain until subject becomes twenty-three years of age, then destroy.
<b>L4896</b>	<b>Juvenile Arrest File/Juvenile Arrest Form (V)</b>	This record series is used to initiate an investigation of a juvenile. It documents the juvenile involved and information concerning the crime. This is a summary of the initial investigation and is put into the case file. This information may be compiled as a paper document only but the information contained in the paper document may be input electronically and maintained in that medium.
	<b>Access Restrictions</b>	KRS 610.320
	<b>Contents</b>	This record series contains the juveniles name, alias, place of birth, sex, national origin, social security #, date of birth, residence address, fathers name, fathers address, fathers phone, mothers name, mothers address, mothers phone, school and/or occupation, school grade, employer, address, date of custody, time of custody, location of custody, beat, KRS, is it a misdemeanor or felony, specific charges, drugs involved, type of drugs, weight/dose units of drugs, came of complainant, address, time of offense, investigating officer, employee/badge #, assignment, assisting officer, employee/badge #, assignment, a narrative section, officer making report, parents notification, time.
	<b>Retention and Disposition</b>	Retain until subject becomes twenty-three years of age, then destroy.
<b>L4897</b>	<b>Juvenile Order to take into Custody File</b>	Since January 1, 1988, the deputy sheriff receives these records from the court designated worker for juvenile cases. They are sent here to have the order served on the juvenile defendant. The deputy calls the court designated worker for juvenile cases only and returns the served order to her. Many of these defendants are habitual run-always. After one year any of these records which have not been served will be returned to the court designated worker.
	<b>Access Restrictions</b>	KRS 610.320 (3)
	<b>Contents</b>	Juvenile Emergency Custody Order (AOC-JV-22). Order to take a juvenile into Custody (AOC-JV-32). Juvenile Complaint or Petition (AOC-JV-1).
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
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Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L4898</b>	<b>Child Abuse, Adult Abuse and Domestic Abuse Case File (V)</b>	This record series is used to document all domestic violence/abuse and cases of adult/child abuse, neglect, or exploitation. These include physical abuse and neglect, sexual abuse/exploitation (child), self neglect, neglect by caretaker, exploitation (adult) and sexual offenses (spouse). This investigation is initiated by completing a standard report form which is issued by the Department for Social Services. This form is to be completed in all cases of known or suspected domestic violence and abuse, adult/child abuse, neglect, or exploitation. The law enforcement agency shall immediately forward (within 48 hours) a copy of this report to the local office of the Department for Social Services. Other documentation may be in this file for the purposes of identification and investigation.
	<b>Access Restrictions</b>	Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	This record series contains the Child Abuse, Adult Abuse, and Domestic Abuse Standard Report (Department for Social Services); form DSS-115 (Confidential Suspected Abuse/Neglect, Dependency or Exploitation Reporting Form completed for Department for Social Services), Crimes Against Children Risk Report (in-house investigative tool), National Incident Based Reporting System (NIBRS) Report, fingerprints, photos, witness information, lab information, evidence information; and officers notes and field reports.
	<b>Retention and Disposition</b>	Retain for fifty (50) years, then destroy.
<b>L4899</b>	<b>Domestic Violence Log (V)</b>	To summarize the service (delivery) of a domestic violence summons, domestic violence order or a domestic violence emergency protective order by the law enforcement agency with jurisdiction in the locale of the petitioner. Provides reference at a glance to police department that the above named documents have been delivered, when they are effective and when they expire. Basically an administrative control document for the law enforcement agency and its communication center. Used in carrying out the requirements of KRS Chapter 403 relating to domestic violence.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of respondent, type of document serviced (summons or order), when order issued, effective date, expiration date.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
<b>L4900</b>	<b>Domestic Violence Protective Orders File (V)</b>	To document the service (delivery) of a domestic violence protective order, domestic violence emergency protective order or domestic violence summons by the law enforcement agency with jurisdiction in the locale of the residence of the petitioner. KRS Chapter 403 provides the mode of relief in the cases of domestic violence. A domestic violence petition is filed with the court, a summons is then issued for appearance in court, the court makes a determination on the petition either for or against the respondent. If against the respondent a domestic violence order is issued outlining the mode of relief or in the case of an immediate or present danger an emergency protective order is issued.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	May include Domestic Violence Petition (AOC 275.1); Domestic Violence Summons (AOC 275); Domestic Violence Emergency Protective Order (AOC 275.2) and a Domestic Violence Order (AOC 275.3) all of which contain a case number, court, county, names and addresses of petitioners and respondents, description of the domestic violence, date and location of court appearance, proof service, signature line, content of order, judges signature, date.
	<b>Retention and Disposition</b>	Retain until thirty (30) days after expiration of order, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4901	<b>Missing Person Report (V)</b>	This record series is used to document those persons believed to be missing. These persons are both juvenile and adult. The juvenile information is transmitted to the Kentucky Missing Child Information Center when it has been determined the juvenile is actually missing. This Center was set up by KRS 17.450 to serve as a clearinghouse for information about Kentucky children believed to be missing and children from the states believed to be missing in Kentucky. The information concerning and adult who is missing is collected through the same process and on the same report. This record series is a collection and reporting document. This report form is used mostly to identify juveniles who have either runaway from home.
	<b>Access Restrictions</b>	KRS 610.320 (3)/KRS 61.878 (1)(h)
	<b>Contents</b>	This record series contains whether the report is for a missing adult or a missing juvenile. Also included on the report are the following: name of agency, case #, date missing(or body found)( month, day, and year), time missing, date reported, name of missing person, alias, photo attached, address(or location body found), race, sex, hair color, hair length, facial hair, build, eye color, height, weight, date of birth, age, complexion, teeth, scars or birthmarks, tattoos or deformities, artificial parts(eyeglasses, dentures, prosthesis etc.), clothing last seen wearing, additional, jewelry, social security no., operators license no., fingerprint classification, date and time last seen, location last seen, probable destination, in company with, present mental state, dental records available, doctor/hospital records available, medication required, blood type, military service, vehicle involved, vehicle registration plate, next of kin, hobbies, type places/hangouts, other comments. There is a juvenile only section with Authorization for Release of Information by parent/legal guardian signed by the parent/legal guardian.
	<b>Retention and Disposition</b>	Retain until close of case, then destroy, or transfer to felony investigation file.
L4902	<b>Taxi License Application File</b>	This record series is used to document the application for a permit to drive a taxi. This is used for a background check and must be done for all applicants. Obviously, some law enforcement agencies may not maintain this.
	<b>Access Restrictions</b>	KRS 61.878 (1a)
	<b>Contents</b>	This record series may contain the application, photos of the subject, copy of the permit, criminal history, driving record, authority to release information, receipt of permit, occupational license receipt, medical examination certificate, and copy of operators license.
	<b>Retention and Disposition</b>	Retain until three (3) years after termination of employment, then destroy.
L4903	<b>Pawn Shop Ticket(Slip) File</b>	This record series is used to document those items that have been pawned at a licensed dealer. It is used as an investigative tool to track stolen property and to do investigative work concerning those persons pawning possible stolen property.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of the business, name of person pawning the item, address, article pawned and amount of money involved along with the date and time.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L4904</b>	<b>Report of Information (Narcotics/Vice) (V)</b>	This record series is used to start an investigation into possible narcotic or vice violations. The information received may be from informants, tips and other citizens reporting incidents of narcotic traffic or use and vice operations. This form is completed and the information is input into a database.
	<b>Access Restrictions</b>	KRS 17.150 (2)
	<b>Contents</b>	This record series may contain the name of the officer, date , type, source, method received, information use, type of drug, vice type, drug specialty, location, vehicle used, associate type, name, address, sex , race, age, dob, ssn, phone/beeper and details.
	<b>Retention and Disposition</b>	Retain until investigation is stopped, then destroy, or place with appropriate case file if further investigation is warranted.
<b>L4905</b>	<b>Formal Complaints/Internal Investigation (IA) File (V)</b>	This record series documents all Internal Affairs (professional standards) investigations where a formal complaint has been sworn, signed and issued. This series includes both substantiated and unsubstantiated findings. Pursuant to KRS 95.450, No member of a police department shall be removed or reduced in grade for any reason except for inefficiency, misconduct, insubordination or violation of the law, or violation of the rules adopted for the law enforcement agency. All charges must be in writing and must clearly set out the charges made and shall be confined to the matters related to the issue.
	<b>Access Restrictions</b>	17.150 (2)
	<b>Contents</b>	This record series may contain: Chief's Initiation Letter/Complaint Affidavit; Complaint Inquiry Form; Formal Complaint Entry/Case Number; Case Summary Letter; Case Findings/Conclusion Letter; Complaint/Disciplinary History Form; Complainant's Identification Copy; Complainant's Interview; Complainant's Witnesses  Identification Copy; Complainant's Witnesses' Interviews; Accused Officer(s) 48-hour Notice Form; Accused Officer(s) PSU Warning, interviews; Witness Officer(s) Interviews; Investigative Record; Copies of arrest forms, dispatch records, officer letters or other documents; photographs; photo pack; Medical release/records; Any reviews by additional investigator(s).
	<b>Retention and Disposition</b>	Retain until five (5) years after termination of employment, then destroy.
<b>L4906</b>	<b>Informal Complaints Investigation File (V)</b>	This record series documents substantiated and unsubstantiated informal complaints and subsequent administrative actions. Informal complaints allege misconduct by an officer and do not require a signed affidavit. Informal complaints are handled at the bureau level and these investigations may result in administrative action. Corrective actions for substantiated/sustained informal complaints range from officer counseling and/or officer remedial training. Internal Affairs maintains the completed investigation files.
	<b>Access Restrictions</b>	KRS 17.150 (2)
	<b>Contents</b>	This record series may contain: Correspondence dealing with the complaint, the informal complaint which contains the name of the complainant, accused officer(s), allegation, alleged circumstances, divisional facts, action requested and completed investigation form.
	<b>Retention and Disposition</b>	Retain until two (2) years after close of investigation, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L4907</b>	<b>Use of Force Form/File</b>	This record series is used to document those incidents where use of force by an officer has occurred. This is completed by the officer and signed by the supervisor and sent to the chief and to the training section. This file is maintained for the purpose of documenting those incidents in case there are complaints filed by the persons involved.
	<b>Access Restrictions</b>	KRS 61.878 (h) Confidential information. Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	This record series may contain the name of the officer, day/date/time force used, assignment/beat, location of incident, case number, type of incident, assisting/witness officer, suspect information - name, address, date of birth, social security number, sex, race, charges placed against suspect, suspects condition when first observed, whether treatment was necessary, hospital/physician, nature of injuries; an officers transcript of the type of resistance, control techniques and description of events; a supervisors transcript indicating investigative steps, possible evidence collected, and recommendations; any photos/videos, as well as any transcripts of statements by the suspect, witnesses and supervisor.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L4908</b>	<b>Vehicle Pursuit Form/File</b>	This record series is used to document incidents where there has been pursuit of another vehicle by a law enforcement officer. This is required in case there is personal injury or property damage done as a result of this pursuit. This is completed by the pursuit officer and reviewed by their supervisor.
	<b>Access Restrictions</b>	KRS 61.878 (h) Confidential information. Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	This record series may contain the name of the officer, assignment/beat, day/date, start/end times, location of incident/pursuit, case number, reason for pursuit, assisting/witness officer, employee number, statements from involved officers, descriptions and information on any collisions, any injuries or damage to any property, description of involved vehicles, suspect name and information, charges, arrest time, suspects impairment level or emotional state, description of any evidence collected, any photos taken, any videos taken, witness information, and transcripts of statements, supervisor comments, and recommendations.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
<b>L4910</b>	<b>Officer's Daily Activity Report</b>	This record series is used to document the activities of an individual officer and is reported to that officers supervisor. This information is collected and some of it becomes a part of the monthly and annual reports. Used as a reference when trying to determine what exactly happened on a certain date by an officer. This could be for internal affairs, liability issues or personnel/payroll purposes.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the date, day, officer, shift, weather, hrs worked, to hours, vacation hrs, other, car #, mileage, time, location, activity, deposition, citation #, case #, offense.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L4911	<b>Monthly Activity Reports</b>	This record series is used to document activity within each bureau, unit or section of the law enforcement agency. This is compiled from the daily activity reports and is a statistical report and is subsequently used in the preparation of the annual report. The information is used to formulate new strategies for the agency such as how to use their personnel in a more efficient way. The reports are also used to monitor progress toward goals and objectives and to monitor and instruct individual officers activities.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series contains the number of felony and misdemeanor arrests, active investigations, traffic citations issued, standing violations issued, warrants served, juvenile arrests, drug arrests, dui arrests, arrests where firearm encountered, firearms booked as evidence, total dispatches, 911 calls, off-duty responses, part I crimes assigned, part I crimes cleared, overall clearance rate, assets awarded by court, use of force reports, formal and informal complaints, community service programs, number of employees(by classification) by month, actual part I crimes, total fatalities, total of all citations issued.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L4912	<b>Fiscal Request</b>	This record series is used by all Bureaus to request a purchase order, price contract voucher, budget amendment, overtime reimbursement, overtime adjustment, travel advance, deposit, petty cash or other reimbursement and physical exam reimbursement. Sent to the fiscal office.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the date of issue, effective date, number, to, from, subject, division #, sub-account #, unit #, amount, type of fiscal request, vendor and address, item description, quantity, unit price, total and approved by.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.
L4913	<b>Orders</b>	These are the duplicates of the orders issued by the Chief. These are found throughout the department and are no longer needed when superseded.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the same as the orders in the Chiefs office.
	<b>Retention and Disposition</b>	Retain until superseded or rescinded, then destroy.
L5253	<b>Warning Notice</b>	This record series documents the actions of agency personnel during a motorist stop for any reason. It also provides information concerning the demographics of the population of "motorist stopped" to be collected. The data from this form is computerized and available to officers on patrol (computer access) so that prior warnings for same offense can be considered.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the name of motorist, address, Idnumber, date of birth, sex, race, vehicle make, model, year, reg. state, color, registration no., date, time, sector/beat, exact location of stop, statute/ordinance, offense description, courtesy stop, vehicle investigation, details, case no. signature of officer, employee no..
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Police Department

Series	Records Title and Description	Function and Use
L5753	<b>Video/Audio Recordings (Patrol Cars)</b>	CLOSED SERIES. No longer created. These records are used to document the pursuit, the traffic stop, field sobriety tests administered at the scene or such tests at a police station, jail, or suitable facility. The recordings are done for all traffic stops. The traffic stops and pursuits may be for criminal activity, traffic violations, DUI violations and any other reasons for the stopping of a vehicle. A tape may last a week or more for each officer.
	<b>Access Restrictions</b>	KRS 189A.100(2)(e) Confidential information. Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	These records contain the name of the officer, date, time and the action taken at the scene.
	<b>Retention and Disposition</b>	Retain all recorded DUI related incidents 14 months if there is no appeal or if it does not document the actual happening of an accident involving a motor vehicle or after a decision has been made not to prosecute. Destroy upon order from District Court. If the actual happening of an accident is recorded, retain 26 months if there is no appeal. Destroy upon order from District Court. Retain all other recordings for 30 days, then destroy or reuse.
L5754	<b>Video/Audio Recording Log</b>	CLOSED SERIES. Form no longer created. This log is used to document the video/audio recordings of every traffic stop that is completed by patrol officers. It is used to track the video and as a quick reference. Also used in the disposal of the tapes when the retention period has been completed.
	<b>Access Restrictions</b>	Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	This record series contains the tape number, date from, date to, actual date, time, incident number, violators name, citation number, charges.
	<b>Retention and Disposition</b>	Retain until recordings are destroyed, then destroy.
L5832	<b>Crime Stoppers Informant File</b>	This record is used to document that an informant has given information concerning a possible crime being committed. This is done through the Crime Stoppers organization and the person is compensated if an arrest is made. This tool is used by the police to investigate crime.
	<b>Access Restrictions</b>	KRS 17.150 (2)
	<b>Contents</b>	This record series may contain code no., offense, location of offense, suspect, address, ht/wt, sex/race, date, time, date occurred, vehicle, informant information and is the person willing to talk directly to police, property/narcotics recovered, officer assigned, result of investigations.
	<b>Retention and Disposition</b>	Retain for four (4) years, then destroy.
L5845	<b>Felony Investigation Case File (Homicide) (V)</b>	This record series is used to document all investigative procedures followed when a homicide is involved. This is a compilation of all material gathered in a homicide investigation. All cases are considered open while actively being investigated. Under some circumstances these may remain open forever while others may not be actively pursued. At some point in time they will become suspended which are those cases which have been cleared by arrest; the suspect is known but for some reason prosecution is denied or case is unfounded. They become a closed file when there has been resolution by the court(found guilty, dismissed) ; the suspect is known but for some reason prosecution is denied or the case is unfounded. Where law enforcement agencies are accredited by Commission on Accreditation for Law Enforcement Agencies (CALEA) these files must be transferred to the Records Division/Records Center.
	<b>Access Restrictions</b>	KRS 17.150 (2) & KRS 61.878 (h)
	<b>Contents</b>	This record series may contain the assignment log, complaint report, arrest report/citation, case synopsis report, coroners report, autopsy report, cassette tape log, victim information, victim statement, witness list/information/statements, suspect information, suspect statements, investigative notes, field notes, evidence log/reports, lab requests/results, photos, diagrams, search warrants, vehicle information, photo line-ups, neighbor hood investigation, correspondence, police bulletins, news releases, lead sheet reports, criminal history data, subpoenas and citations.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Safety - Police Department

Series	Records Title and Description	Function and Use
<b>L5867</b>	<b>Training Records - Early Withdrawals</b>	This record series is used to document training received by recruits who have been accepted by the Police Training Academy but do not complete the 32 week training program. By withdrawing they forfeit all training completed although it may be used by them if they enter another police training program. If they re-enter the Lexington/Fayette Police Training Academy they will have to start over from the beginning.
	<b>Access Restrictions</b>	KRS 61.878 (a)
	<b>Contents</b>	This record series may contain the name of the recruit, test scores, tests, disciplinary action, grades, field training officer evaluations, emergency information sheet and work completed.
	<b>Retention and Disposition</b>	Retain until five (5) years after leaving the Training Academy, then destroy.
<b>L5868</b>	<b>Informational and Test Records File</b>	This record series is used to maintain the tests given to the recruits during their basic academy training. The recruits also go through a review of each test and this is kept as well. All final grades at the end of their basic academy training are sent to the Department of Criminal Justice Training in Richmond, KY. to verify training. There is an 18 month probation from the start of their basic training academy. Once this is completed these tests are no longer used. A graduate certificate is kept in the official personnel file. The individual grade for each test is posted in the file. Upon graduation from the academy each officer is required to attend a 40 hour In-Service training which is required through the Kentucky Law Enforcement Council. Upon completion of the 40 hour course each officer is required to take a written examination. Each test is graded and reviewed during the class and the grades are submitted to the Department of Criminal Justice Training and also are kept in their personnel folder.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This file may contain the test scores of each recruit officer during their basic training academy. These tests are for spelling, code tests, weekly examinations, final examinations, memos, notes, remedial tests, and written request made by the recruit.
	<b>Retention and Disposition</b>	Record the grade for each test in the file. Retain individual tests until the grades are recorded, then destroy. Retain the remainder until completing probation or one (1) year after leaving the Academy (without graduating), then destroy.
<b>L6259</b>	<b>Polygraph Examination File (Pre-Employment)</b>	This record series is used to document the administration of a polygraph test to applicants for positions in the Lexington/Fayette Urban County Police Department, both officers and civilians. In addition, tests are administered to individuals seeking employment with the Fire Department and Family Services.
	<b>Access Restrictions</b>	KRS 15.400(3) Confidentiality applies only to peace officers.
	<b>Contents</b>	This record series may contain the application, personal directory information, evaluation questions, medical statements, consents, polygraph questions and screening report.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L6260	<b>Polygraph Criminal Examination File</b>	This record series is used to document the procedures used in conducting a polygraph test of a person during a criminal investigation. This file is used to document information concerning the subject of the examination and reasons for the test. The information gathered and documented in this file is used to assist the Polygraph Examiner understand the case and formulate questions for the subject. This file may be used in the future for repeat offenders or in cold case investigations.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain personal directory information about the testee, the criminal/miranda consent form, medical assessment information, police reports, interviews, narratives and notes. A completed polygraph test report will be in this file as well.
	<b>Retention and Disposition</b>	Retain murder investigations permanently. Retain other felony investigations for fifty (50) years, then destroy. Retain misdemeanor investigations for five (5) years, then destroy.
L6295	<b>Peace Officers Professional Standards (POPS) Background Check</b>	This record series is used to documents and verifies that a person applying for employment by the police department has gone through a series of background checks. The Peace Officer Professional Standards (POPS) dictate what the minimum standard is for becoming a peace officer in Kentucky. Those applying must meet 16 pre-employment requirements before they can be considered for employment. These standards are issued the Kentucky Department of Criminal Justice Training, Kentucky Law Enforcement Council.
	<b>Access Restrictions</b>	KRS 15.400 (3) KRS 61.878 (1) a
	<b>Contents</b>	This record series contains drivers license check, criminal record check, polygraph results, references, applications, transcripts, military history, credit reports, birth certificates and neighborhood checks.
	<b>Retention and Disposition</b>	If hired, retain until sixty (60) years from first date of hire. If not hired, for those who have taken a polygraph, retain until twenty (20) years after denial and close of any litigation, then destroy. If not hired, for those who have not taken a polygraph, retain until five (5) years after denial and close of any litigation, then destroy.
L6391	<b>NCIC Criminal History Requests</b>	This record series is used to document requests received for criminal histories that are a part of the NCIC information network. This information is used to match the information from the NCIC with the corresponding investigative history case file.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the name, date of birth, sex, race, ss#, purpose of inquiry, requesting officer, employee #, clerk receiving request and date submitted.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L6392	<b>NCIC Entry/Cancelled Packet</b>	This record series is used to document entries into and subsequent removal or cancellation of the entry from the NCIC information network.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the investigating officers complaint and offense report, initial entry message and cancellation message.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L6654	<b>Undercover Expense Record File</b>	This record series is used to document and monitor the use of Division of Police funds expended during undercover criminal investigations that may include purchase of evidence, purchase of information and purchase of services. This record series is a report form used to document information gathered, concerning narcotics or vice violations and is used to start an investigation if warranted. The information is collected through tips, informants, citizens and law enforcement officers.
	<b>Access Restrictions</b>	KRS 17.150 (2) and 61.878 1 (h)
	<b>Contents</b>	This record series may contain the Undercover Expense and Account Form which includes, but not limited to the date, amount requested, purpose of expenditure, requesting officer signature, issuing supervisor signature, case number, itemized expenditures, receipts, amount returned and other related information.
	<b>Retention and Disposition</b>	Retain until five (5) years after closure of account, then destroy after audit.
L6953	<b>Mobile Device Records - Evidence (Law Enforcement)</b>	This series documents records created from mobile devices used by law enforcement in an official capacity that are known to have captured evidence, incidents, or unusual actions that may be used in investigations. These records may be created manually or automatically by the device and contain information that may be used as evidence in civil or criminal investigations, reviewed administratively for compliance with departmental policies, used as a tool in trainings, utilized as a reference in incident documentation, to improve evidence collection, to strengthen performance and accountability, to enhance agency transparency, to document encounters between agency and the public, and/or to investigate and resolve complaints. This series includes records created by any mobile recording device, regardless of where the device is mounted, such as (but not limited to) body-worn cameras, dash-cams, cell phones, drones, audio devices, and helmet-cams.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters
	<b>Contents</b>	Series may contain: Digital image or video, time, date, statement by official and/or others (witness, etc.), record of scene or location, other incidental information, and associated metadata (both automatically and manually generated).
	<b>Retention and Disposition</b>	Records used in any investigation, current or pending legal activity, exhaustion of appeals process, or internal action must be kept until all investigative or legal activity is completed. These records may also become part of other investigative series with the following exceptions: L6950 Mobile Device Records - DUI Related Records.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L6954	<b>Mobile Device Records - Non-evidentiary (Law Enforcement)</b>	This series documents records created from mobile devices used by law enforcement in an official capacity that are not known to have captured evidence, incidents, or unusual actions from which investigations, litigation, or criminal prosecution is expected or likely to result. These records may be created manually or automatically by the device and contain information that may be reviewed administratively for compliance with departmental policies, used as a tool in training, to strengthen performance and accountability, to enhance agency transparency, and to document encounters between agency and the public. This series includes records created by any mobile recording device, regardless of where the device is mounted, such as (but not limited to) body-worn cameras, dash-cams, cell phones, drones, audio devices, and helmet-cams.
	<b>Access Restrictions</b>	Agency should consult with legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Digital image or video, time, date, statement by official and/or others (witness, etc.), record of scene or location, other incidental information, and associated metadata (both automatically and manually generated).
	<b>Retention and Disposition</b>	Retain for sixty (60) days, then destroy.
L6955	<b>Mobile Device Records - DUI Related Recordings (Law Enforcement)</b>	This series consists of records created by local government agencies using mobile devices that document pursuits, traffic stops, and field sobriety tests under KRS. 189A.010 for alcohol or controlled substances. These records may be created manually or automatically by the device. This series includes records from any mobile device, regardless of where the device is mounted, such as (but not limited to) body-worn cameras, dash-cams, cell phones, drones, audio devices, and helmet-cams.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Digital image or video, time, date, statement by official and/or others (witness, etc.), record of scene or location, other incidental information, and associated metadata (both automatically and manually generated).
	<b>Retention and Disposition</b>	Retain controlled substance related incident records per KRS 189A.100 (2) 6: "The videotape or film [mobile record] taken in accordance with this section shall, upon order of the sentencing court, be destroyed after the later of the following: 1. Fourteen (14) months, if there is no appeal of any criminal or traffic case filed as a result of the videotape or film, or if the videotape or film does not record the actual happening of an accident involving a motor vehicle; 2. Fourteen (14) months after a decision has been made not to prosecute any case upon which an arrest has been made or a citation issued as a result of the videotape or film, if the videotape does not record the actual happening of an accident involving a motor vehicle; 3. Twenty-six (26) months, if there is no appeal of any criminal or traffic case filed as a result of the videotape or film, if the videotape or film records the actual happening of an accident involving a motor vehicle; 4. After all appeals have been exhausted arising from any criminal or traffic case filed as a result of the videotape; 5. At the conclusion of any civil case arising from events depicted on the videotape or film; or 6. At the conclusion of the exhaustion of all appeals arising from any law enforcement agency administrative proceedings arising from events depicted on the videotape or film."

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Safety - Police Department

Series	Records Title and Description	Function and Use
L6969	<b>Automated License Plate Reader (ALPR) Records</b>	<p>This series consists of records created or captured by Automated License Plate Readers (ALPR). ALPR are high-speed, computer-controlled camera systems that capture computer-readable images of license plates which are uploaded to a central server. ALPR can be mounted in various places, including but not limited to, street poles, streetlights, overpasses, mobile trailers, or attached to vehicles. The technology typically captures all license plates that come into view of the camera. Images are converted to data to provide information including license plate number, make, model, color, and style of vehicle; the data is compared to database that include stolen vehicles, vehicles associated with wanted persons, missing persons, or AMBER/Golden alerts. ALPR data can be searched by license plate, make, model, color, and vehicle type to develop information which may be used in investigations or legal proceedings.</p>
	<b>Access Restrictions</b>	<p>Agencies should consult legal counsel regarding open records matters.</p>
	<b>Contents</b>	<p>Series may contain: Identification of agency operating ALPR technology, camera and technology identification, OCR interpretation of license plate, date and time of image capture, GPS coordinates (longitude and latitude) of license plate at capture, digital images of license plate, photo of vehicle and/or passengers, and associated metadata (both automatically and manually generated).</p>
	<b>Retention and Disposition</b>	<p>Investigative or Evidence: records used in any investigation, current or pending legal activity, or internal action must be kept until all investigative, legal activity, or exhaustion of appeals process is completed. These records may also become part of other investigative series. Non-Evidence: Images with no known evidentiary or investigative information should be destroyed as soon as possible within 30 days.</p>

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Works

Series	Records Title and Description	Function and Use
L5427	<b>Geological Reports on Subsurface Ground Conditions</b>	This record series is used to document information about the geological situation of a certain parcel of land. This is done upon request by the city to the Kentucky Geological Survey. This is done to report on how land drains and possibly if there are sinkholes or other features of the land that are extraordinary and will cause drainage problems or possible cave-ins.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record contains soil test information, core sample information, topographical information, correspondence, the initial visit and the final report.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently.
L5428	<b>Index to Maps and Plats</b>	The record series is created as a finding aid to reference engineering drawings including plats, maps, drawings and plans. These are used by the public works department staff, private surveyors and engineers, subdivision developers, and some historical researchers.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series contains the plat number, title of plat, and the location of each.
	<b>Retention and Disposition</b>	Retain permanently.
L5429	<b>Engineering Maps, Plats, Plans and Drawings File (V)</b>	These records have been created by the public works department and consulting engineers. They document the location and configuration of water and sewer lines, water plant, wastewater plant, and appurtenances. They also show pressure valves/relief valves, as-built plans, check valves, fire hydrant pump stations, manholes, water services, sewer wye connections etc. The city is divided into 19 water-sewer districts. These records are used by the public works to give directions to the operation and maintenance crews and for people involved in construction within the city.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may include sewer line maps, water line maps, index to maps, plats, plans and drawings, record of mains, valves and hydrants and record of sewer wye connections.
	<b>Retention and Disposition</b>	Retain permanently.
L5430	<b>Capital Construction Engineering Project File (V)</b>	This series documents the project files of the public works department of the city. It shows the evolution and development of the water and sewage systems. These files document not only construction funded solely by the city but also grants that are funded by the federal government, state government, local developers. In the case of local developers, the agency approves the construction and acquires operation and maintenance responsibilities by contract. The city engineer, the maintenance and operations departments of the agency and the local developers use these files.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Plans, shop drawings, materials used, locations, dimensions, as-built plans, specifications, bids & estimates, guarantees, applications, contracts/agreements, bonds, reports; includes periodic inspection reports and final reports, state approval letters and correspondence. This file may include the financial records for this respective project.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Works

Series	Records Title and Description	Function and Use
L5431	<b>Service Work Orders</b>	This record series is used to document public works or utilities service that has been rendered. These are issued as a result of customer requests, construction needs or identification of problems. This order is issued and the repairs are made or consultations with customers completed. These are routine jobs such as the filling of street problems, tv cable outage, water problems, sewer problems, electricity problems etc.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This records series may contain the date of service, name of customer, name of person providing service, address, phone #, materials used, hours of labor, equipment used, date completed and signature of person completing the task.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L6301	<b>Urban Service Area Changes</b>	This record series is used to documents that property owners have been notified of changes in the Urban Service Area. This is required by KRS 67A.860. This statute states that each property owner shall be notified by certified mail, of the urban-county government intention to extend urban services which may result in a tax increase to the property owner.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record may contain mailing lists, certified mail receipts, unclaimed notices, petitions of service, voting cards, voting results and address lists for service changes.
	<b>Retention and Disposition</b>	Retain for seven (7) years, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Works - Engineering

Series	Records Title and Description	Function and Use
L5393	<b>Cooperative Floodproofing Program File (V)</b>	This record series is used to document the program to provide technical and financial assistance to homeowners who want to stop surface waters from entering their home. Over 340 homes have been improved through this program. The Division of Engineering will do a free inspection to see if there is a flooding problem and if the remedies qualify for assistance.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the property location, owner information, inspections, list of problems, final payment, agreement with landowner and correspondence.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy after audit.
L5394	<b>Pavement Management Annual Report</b>	This record series is used to document the condition of existing paved streets and roads. This is completed for all streets over a 3 year period(one third of the streets are surveyed each year) to assist Public Works in repairing streets. All the streets are surveyed in the 4th year. This is used as a priority list in addressing repavement problems.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain survey, list of streets by year, and repairs needed.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5395	<b>Street Cut Permits</b>	This record series documents application and deposit by a plumber to cut the street to repair and/or tie on to city sewer and/or water. The plumber is required to repair the street where damaged. A public works employee is required to inspect the work prior to the deposit being returned. This permit is required for any work in the public rights of way. A plan or sketch must be submitted.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date, plumber or company name, property owner name, location of property, explanation of project, deposit notation and sketch or drawing.
	<b>Retention and Disposition</b>	Retain until no longer useful, then destroy.
L5396	<b>Sump Pump Disconnection Permit File</b>	This record series is used to document where storm water is placed into the sanitary sewer system by way of sump pumps and downspouts. The additional water overloads the sanitary sewer lines and causes overflows as well as backups into homes. This program is designed to locate and relocate these problem generators of inflow. The program is voluntary. If the relocation is authorized, they work with local plumbers to redirect the flow and inspect the work to assure proper construction.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name, address, construction PO, completed inspection and correspondence.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Works - Engineering

Series	Records Title and Description	Function and Use
L5397	<b>Sanitary Sewer Tap On Permit File (V)</b>	This record series is used to document that the initial connection to the sanitary sewer has been applied for and a permit given. The initial property owner pays this fee for the permit and the connection is inspected by the Division of Engineering. This file provides documentation that all rules were followed in the connection process. This stays with the property.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the application for permit, inspection, amount paid, name of property owner, address and correspondence.
	<b>Retention and Disposition</b>	Retain permanently.
L5398	<b>Construction Project Files (V)</b>	This record series is used to document the evolution and development of new construction of roads, streets, parking garages and other government buildings and facilities except sanitary sewers. These files document not only construction funded solely by the merged government but also grants that are funded by the federal government, state government, local developers. In the case of local developers, the agency approves the construction and acquires operation and maintenance responsibilities by contract. The engineering division, the maintenance and operations departments of the agency and the local developers use these files.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Plans, shop drawings, materials used, locations, dimensions, as-built plans, specifications, bids & estimates, guarantees, applications, contracts/agreements, bonds, reports; includes periodic inspection reports and final reports, state approval letters and correspondence. This file may include the financial records for this respective project.
	<b>Retention and Disposition</b>	Retain permanently.
L5399	<b>Improvement Construction Plans (V)</b>	This record series is used to document roadway construction, community development, storm sewers, and other construction that is done to improve the function of certain facilities. These are the plans for the improvement.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of project, specifications, cost, time to completion and correspondence.
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Works - Engineering

Series	Records Title and Description	Function and Use
L5400	<b>Flood Plain Permit File</b>	This record series documents the requirements of KRS 151 which allow the Division of Water to approve any construction or other activity in or along a stream that could in any way obstruct flood flows. Conditions are checked and must be met before a Certificate of Elevation is issued ; then a building permit and later a Certificate of Occupancy are issued. FEMA audits every 2 years.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Owner name, address, telephone #, agent name, address, telephone #, engineer name, number, description of construction, location of construction, estimated begin construction date, estimated end construction date, public notice notations, city and/or county official contact names, list of attachments, certification, remarks, signature, date
	<b>Retention and Disposition</b>	Retain permanently.
L5401	<b>Storm Water Permit File (V)</b>	This record series documents the requirements of federal law 40 CFR Part 122 which prohibits point source discharges of stormwater associated with industrial activity to a water body(ies) of the Commonwealth of Kentucky without a permit. This program was established by the Environmental Protection Agency in 1992, to create less erosion and cleaner streams in Kentucky. An applicant that expects construction activity to remove 5 or more acres of ground cover is required to obtain a permit to do so. The applicant is required to submit the Notice of Intent form prior to construction, then prepare an Erosion Control Plan, and finally, when construction is complete and vegetative ground cover is established, a Notice of Termination. The situation is monitored throughout the construction process.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Notice of Intent, Erosion Control Plan, Notice of Termination, and supporting documents
	<b>Retention and Disposition</b>	Retain permanently.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Works - Sanitary Sewers

Series	Records Title and Description	Function and Use
L5402	<b>Pretreatment Files</b>	This record series is used to document provisions of the Clean Water Act which mandates pretreatment of certain discharges into a publicly owned treatment works. Certain pollutants must be pretreated before entering the system. Examples of this is mercury. The pretreatment is done to prevent these pollutants from passing through the system into the receiving waters.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the lab results, general correspondence, self monitoring results, permit applications, permits, notice of violations, compliance schedules, compliance schedule updates and other information.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5403	<b>Grease Trap Program File</b>	This record series is used to document those facilities that qualify to have grease traps installed under the Grease and Oil Ordinance section 16-43, 16-44, 16-50. Sanitary Sewers Division maintains these records to ensure that there is compliance and no damage is done to the sewer system. The Division of Engineering has the responsibility of issuing a permit. This program has been in place since 2000. Grease traps have to be pumped out at least twice a year. Inspections are made periodically by the Division of Sanitary Sewers.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain applications, permits, general correspondence, installation information, inspection information and maintenance information.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5405	<b>Sewer User Exemptions File</b>	This record series is used to document requests for exemption from discharging procedures. This is usually requested by users who are going to discharge water from large cooling systems. This triggers a billing from the Division of Revenue.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record may contain an application, name, address, description of building, exact info about the discharge, and discharge permit information.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5406	<b>Discharge Permit - Unusual Requests</b>	This record series is used to document the application for special permit to discharge unusually large amounts into the sewer system. These are one time occurrences by users and this must be done in order to monitor the discharge. It is up to the user to apply for this permit when there is to be a discharge that is larger than normal. If the user does anything outside of permitted normal discharge this application must be submitted. It is sent to the Division of Revenue for the start of the billing process.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of the user, address, application, discharge information, amounts of discharge, date and permit info.
	<b>Retention and Disposition</b>	Retain for ten (10) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Works - Sanitary Sewers

Series	Records Title and Description	Function and Use
L5407	<b>Construction Project Files</b>	This record series is used to document any construction or upgrades to facilities. These records are maintained for a period of time to make sure that all specifications are met and for use if there are problems during and after the construction is completed. All plans, specifications and documentation is maintained permanently in General Services and all the official bidding info is in the Division of Purchasing. These records are kept for reference only.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain contract documents, bids, specifications, general correspondence, permits, testing, pay estimates, purchase orders, change orders, shop drawings, and close out documents.
	<b>Retention and Disposition</b>	Retain for seven (7) years, then destroy.
L5408	<b>Rain Gauge Data File</b>	This record series is used to document the amount of rainfall as reported through the use of rain gauges that are placed in certain places in the government area. These gauges are placed upon request. This data is used in the prediction of overflows. This is collected daily
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the date, time, area placed, and amount of rainfall.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5409	<b>Daily Reports</b>	This record series is used to document the all daily reports issued by the treatment stations. These include operation of each pump station throughout the government area. By doing this daily report the pump stations are monitored to ensure they are operating normally without incident. This, in part is a preventive measure to make sure that overflows are avoided and that there are no unauthorized spills. These reports include operators check out report, daily operational report for plants (pumps, gauges etc), daily maintenance reports, daily lab reports, daily flow readings, daily mechanical check out sheets for pump stations, pump station overflow/bypass reports which documents over flows at any of the pump stations(70 at the moment) throughout the government area. All the pump stations are automated in the pumping of sewage. A telemetry system is in place at all pump stations which sends flow/performance data and alarm situations to the central office. All major stations are checked and maintained on a daily or twice per day frequency. These reports are sent to the Division of Water and Division of Wildlife in case of overflows. Many of these reports are made a part of the Wastewater Treatment Plant Discharge Monitoring Report(DMR) that is sent to the Division of Water and the EPA.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain start time and date , name of pump station, name of treatment station, name of person submitting the report, statistical information, and readings.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Public Works - Sanitary Sewers

Series	Records Title and Description	Function and Use
L5410	<b>Flow Charts - Pump Stations</b>	This record series is used to document the amount of flow at each of the pump stations. This gives a picture over time about the amount of discharge and at what time. There is a chart recorder at each pump station. This shows if there is an overflow or by pass.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record may contain the date, time, flow information.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5412	<b>Tier II Hazardous Chemical Annual Report</b>	This record series is used to document chemicals used or stored during the previous year. The amounts that trigger Tier II reporting are based on the maximum amount of the substance present at the site at any time. This is a requirement by the Emergency Planning and Community Right to Know Act. These chemicals may have an immediate health hazard, delayed health hazard, fire hazard or reactive hazard. This report is sent to the Environmental Protection Agency, state authorities and the local fire department.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the chemical name, location, amount present, waste treatment/disposal methods, and hazards.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5413	<b>Monthly Reports</b>	This record series is used to document each major monthly report submitted by the treatment plants including discharge monitoring report (DMR) which documents the quality of the discharge and flow, biochemical oxygen demand, suspended solids, ph, sludge production, bacteriological quality, expenses for treatment, loading rates, facility sizes, and per cent reduction of contaminant of wastewater. DMRs reports are sent to Division of Water in Frankfort, Ky.who inturn sends it to EPA. Others are lab reports, solids process monthly recap, solids balance report, sludge hauling report and sewer line maintenance overflow reports. These are used to monitor the treatment plants and to use for reporting purposes to the Kentucky Division of Water and the EPA.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain all monthly reports generated by the treatment plants. This would include statistical data, narrative, names of contractors, date of report, person submitting the report, analysis results, and other data.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5414	<b>Flow Reports of Incoming Sewage - Special Users</b>	This record series is used to document the flow for special users. This a report of the operations of five pump stations where information is sent to the Div. of Revenue so that private companies can be billed. This flow from these special users is more than normally released. The five private enterprises are: Blackburn Correctional, Keeneland, Horse Park, Spindletop and FMC.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of the user, pump station, date, time and amounts.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Works - Sanitary Sewers

Series	Records Title and Description	Function and Use
L5415	<b>Calibration/Inspection Report</b>	This record series is used to document that periodic calibrations/inspections are completed for meters , fire extinguishers, leak detection equipment, and crane and hoist systems. This is done as part of the preventive maintenance program and to ensure the accuracy and safety of the equipment.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the item# inspected or calibrated, date, time, certification by inspector and any adjustments made.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy.
L5434	<b>Operation and Maintenance Manuals for Wastewater Plant(s) (V)</b>	This record series is used by the operation and maintenance personnel for the wastewater treatment plants. It gives suggestions and recommendations for most efficient operation, management and maintenance of the facility. The appendix to this manual contains plans/drawings showing the location and configuration of lines, fittings and processes. Pages are added or deleted periodically to revise and update this manual.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Discharge Permits, plans/drawings showing the locations, configurations of the lines, fittings and processes; bench sheets, records of laboratory analysis; operators daily log, construction records, tables of operation, forms, purchase order forms and agency report forms.
	<b>Retention and Disposition</b>	Retain permanently.
L5810	<b>Permit File (Kentucky Pollutant Discharge Elimination System (KPDES)(NPDES)</b>	This record series is used to document the application for National Pollutant Discharge Elimination System permits to discharges into the sewer system. Under the Clean Water Act, the NPDES program regulates discharges to waters of the United States from point sources such as municipal sewage treatment plants and industrial facilities. States may seek authorization to operate the NPDES program, and, today, 45 states and the U.S. Virgin Islands have this authorization. EPA is the permitting authority in unauthorized states, territories and Indian country. This series sets discharge limits on pollutants discharged from wastewater treatments plants. The local agency's engineer or affiliated utilities company completes application for the permit, drawing on wastewater treatment plant discharge monitoring reports . The application is sent to Natural Resources who reviews the application and sets appropriate discharge limits for a given time period. The permit is issued for those limits and that time period. Permit cannot exceed five years.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of the user, address, application, discharge information, amounts of discharge, date and permit info. Permit itself contains: name and address of local agency; name and address of wastewater treatment facility; name of receiving waters; dates of validity of permit; date of permit; appropriate signatures. Permit file will also include supporting documentation noting discharge limitations, monitoring requirements, a schedule of compliance, and any special requirements.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Public Works - Solid Waste

Series	Records Title and Description	Function and Use
L5416	<b>Solid Waste Trip Summary</b>	This record series is used to document the daily collections completed by a particular vehicle. Data is compiled in onboard computer for the purpose of verifying pickups and for managing the routes of the vehicle.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the name of driver, fleet address, driver ID, trip number, trip begin date, trip end date, time totals, trip statistics, events, engine on time, time in motion, container stats, stop stas, containers per hour, arrival, departure, weight, return time, any time the route is left, total amount collected, miles gone and other stats.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy.
L5417	<b>Weight Sheets (Tonnage)</b>	This record series is used to document the weight of the collection when taken to the landfill. This amount is recorded and used to know how much is collected. The collection is taken to a landfill that is operated by a private vendor. The weight is used in the billing process.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the truck #, date, time, driver, weight.
	<b>Retention and Disposition</b>	Retain for two (2) years, then destroy.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Social Services - Adult Services

Series	Records Title and Description	Function and Use
L5375	<b>Social Worker Client File (V)</b>	This record series is used to document those adults and their families who have the potential of becoming victims of abuse, neglect or exploitation. Services may include information and referral, home visits, transportation, advocacy, assistance in making application for a variety of social programs.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain, clients name, address, telephone, social security #, application, social workers notes, visitation information, some medical information, social assessments/case plans, financial/legal section, income information and documentation of referrals.
	<b>Retention and Disposition</b>	Retain for five (5) years, then destroy.
L5376	<b>Emergency Financial Assistance File (V)</b>	This record series is used to document short term financial assistance for the payment of rent and/or utilities to prevent eviction or utility cut-off. The person may apply for an interest-free loan and must sign an agreement for repayment in small monthly payments. Other services provided are assessment of needs, short-term counseling and referrals to other agencies. The person applying must have lived in Fayette County 30 days, have a temporary complete disruption of income, have utilized all personal resources and there must be a verifiable pending income. Persons can apply every two years.
	<b>Access Restrictions</b>	KRS 61.878(1) (a)
	<b>Contents</b>	This record series may contain a contract, agreement, discharge summary, medical statement from doctor, employment statement, medical record, lease agreements, utility bill, directory information, case notes and demographic information.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5377	<b>Relocation Financial Assistance Grant File (V)</b>	This record series is used to document persons or families who apply for financial assistance to relocate because of code enforcement has issued a condemnation order. This is a one time grant for those who are at or below 125% of the current poverty level.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a)
	<b>Contents</b>	This record series may contain the pay check stub, field inspection form, certificate of service (notice that they must move), proof of income statement, financial statement and directory & demographic information.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Social Services - Adult Services

Series	Records Title and Description	Function and Use
L5378	<b>Burial and Cremation Financial Assistance File</b>	This record series is used to document those persons applying for financial assistance for burials or cremations whose family is unable to provide for the burial. A financial assessment is made to see if the persons can pay or not. This is a grant.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain invoices, applications, directory information, income statements and Lexington cemetery information.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5379	<b>Sidewalk Replacement Financial Assistance Grant File</b>	This record series is used to document payment for defective sidewalk panels identified by Lexington/Fayette County Government for qualified homeowners. To qualify for financial assistance persons or families must have incomes at or below 125% of the current poverty level. This is a one time grant.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the directory information on the individual/family, check stub, invoice, application, date, and notes.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5380	<b>Sewer Assistance Program File (V)</b>	this record series is used to document assistance given to homeowners to connect to the sewer. Revenue bonds are issued for this purpose of connection of the sewer. Also the homeowner may also receive a loan for the annual sewer assessment fee if they qualify. The bond is paid off when the residence is sold. This material is found no where else.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain copies of the mortgage, loan agreement, financial assistance given, copies of tax returns, job verification, land contract and directory information on resident.
	<b>Retention and Disposition</b>	Retain permanently.
L6943	<b>Parent Education File (x)</b>	This record series is used to document those youths who participate in the Parent Education Program of the Family Care Center. The program partners with the local school system to provide high school education and social services intervention to young parents ages 13-20.
	<b>Access Restrictions</b>	KRS 61.878(1)(a). Personal Information. Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	This record series may contain enrollment forms, referral forms, service goals/plans, consents, transportation waivers, incident reports, case notes, assessments, discipline, and referrals.
	<b>Retention and Disposition</b>	Upon completion of the program, retain for six (6) years then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Social Services - Family Services

Series	Records Title and Description	Function and Use
L5381	<b>Client Medical Files(Minors) (V)</b>	This record series is used to document those under the age of eighteen who are applying for assistance through Medicaid and the Kentucky Children Health Insurance Program (KCHIP). This is driven by income of the families. This covers children in families whose incomes are above 150% Federal Poverty Level and up to and including 200%FPL.
	<b>Access Restrictions</b>	KRS 61.878(1)(a); 45 CFR Parts 160 & 164
	<b>Contents</b>	This record series may contain the name of client, directory information, application, health history, HIPAA instructions, authorization to release information, immunizations, encounter form, triage call record, medical information, date of HIPAA permission, x-rays, lab info and correspondence.
	<b>Retention and Disposition</b>	Retain until six (6) years after client reaches eighteen years of age.
L5382	<b>Home Network File (HANDS Program)</b>	This record series is used to document a voluntary intensive home visitation program designed to assist parents at critical development points during a child's first years of life. A trained home visitor will introduce parenting skills that enhance parent/child relationships. This is the Health Access Nurturing Developing Services (HANDS) provided/licensed by the KY Department for Public Health. HANDS target first time parents, from the prenatal period to approximately three months after delivery. The family may be a part of the program until the child reaches two years of age.
	<b>Access Restrictions</b>	KRS 61.878(1)(a); 45 CFR Parts 160 & 164
	<b>Contents</b>	This record series may contain photos, monthly service log, family goal sheets, well baby visit log, case narrative, home screening questionnaire, everyday stress index, child proofing checklist, ages & stages questionnaire(8 mons., 10 mons, 14 mons), CAP(Child Abuse Potential) assessment, release of claim and HANDS visit log.
	<b>Retention and Disposition</b>	Retain for twenty-four (24) years, then destroy.
L5383	<b>Lunch Menu and Production Record(Sheet)</b>	This record is used for planning meals each day and to document statistics on meals served, both for food groups and numbers served. This report is audited by the Department of Education's Division of School Food Service for compliance with regulations for school meals.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date meal served, offer vs. serve (yes/no). For each menu component (milk, meat/meat alternate, vegetables/fruit, bread/bread alternate, other): foods used, USDA foods, planned 3 portions/size portions GR III and GR IV, amount prepared, extra sales, amount left over and comments. Reimbursable Meals Served: Non-reimbursable Meals served and extra sales: extra milk, extra sales menu items, extra sales non-menu items, adult/misc. meals, total ala carte.
	<b>Retention and Disposition</b>	Retain for one (1) year, then destroy after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Social Services - Family Services

Series	Records Title and Description	Function and Use
L5384	<b>Monthly Product Inventory</b>	This record series is used to document the amount of food product on hand at the end of every month. The lunch program is funded by the School Lunch Program. This series is used in the ordering process and to compare with other months over time.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain the dollar value of previous months ending inventory, name/authority or agency, storeroom location, item description, total units, cost per unit, total cost, beginning inventory, purchased food and milk received. Value of food available, ending inventory, adjustments to inventory, and dollar value of food used.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L6294	<b>Patient Encounter Form</b>	This record series is used to document and verify that those using the medical and dental services provided by Family Services have been billed. This is a fiscal record and is an accounts payable.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This record series may contain patient name, address, age, diagnosis, doctors name, services provided, insurer and appointment time.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy after audit.
L5385	<b>Child Care Record File (V)</b>	This record series is used to document the early care and education of infants up to five (5) years of age in the child care program based at the Family Care Center.
	<b>Access Restrictions</b>	KRS 61.878(1)(a). Personal Information. Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	This record series may contain enrollment forms, parent information, assessments, physician information, medical history, immunization certificates, pick-up permissions, attendance records, consent forms and payment information.
	<b>Retention and Disposition</b>	Upon completion of the program, retain for five (5) years then destroy.
L5386	<b>Service Coordination Client File (V)</b>	This record series is used to document case management assistance provided to families with young children working towards self-sufficiency. The program is voluntary and serves families with young children who demonstrate a need and desire for coordinated services. Parents may be minors or adults and receive several contacts per week from their assigned Social Worker. The duration of the program is generally 6-9 months.
	<b>Access Restrictions</b>	KRS 61.878(1)(a). Personal Information. Agency should consult legal counsel regarding open records matters.
	<b>Contents</b>	This record series may contain enrollment forms, service plans/ goals, assessments, consents, agreements, case notes, referral information.
	<b>Retention and Disposition</b>	Upon completion of the program, retain for six (6) years then destroy.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government  
Social Services - Mayor's Training Center

Series	Records Title and Description	Function and Use
L5634	<b>Client Training/Assessment/Counseling File</b>	This record series is used to document the recruitment, testing, screening and referral of prospective employees or trainees for businesses and industry. This includes on the job training, customized training and occupational skills assessment. Documents training for individuals including workshops given at the local community college or vocational schools and information and referral services for displaced workers. This training, assessment and counseling is provided through and made possible by grants through the Workforce Investment Act, including Welfare to Work and School to Work programs.
	<b>Access Restrictions</b>	61.878(1)(a)
	<b>Contents</b>	This file may contain the names of individuals and businesses that participate in programs. Includes addresses, social security number, type of service rendered, amount of grant, and description of training.
	<b>Retention and Disposition</b>	Retain for four (4) years, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Social Services - Youth Services

Series	Records Title and Description	Function and Use
<b>L5387</b>	<b>Social Worker Client File (Minors) (V)</b>	This record series is used to document services provided for children (under 18 years of age) by the CASA Project(Court Appointed Special Advocates). The advocates are volunteers appointed by the court to speak for children who through court action are deemed abused and/or neglected. These volunteers work in cooperation with other agencies and report to the court recommendations that are in the best interest of the child.
	<b>Access Restrictions</b>	KRS 61.878(a)(k), KRS 610.320(3)
	<b>Contents</b>	This record series may contain progress notes, monthly service plan review, six month justification statement, correspondence, court referral, demographic form, released information authorization, authorization for involvement in activities, orientation packet receipt, aftercare/termination report, service plan reviews, service plan, intake assessment, client contact form, psychological data, special education data, court reports, legal documents, medical records, school data grades, behavior information.
	<b>Retention and Disposition</b>	Retain until five (5) years after client reaches eighteen years of age, then destroy.
<b>L5388</b>	<b>Juvenile Probation Client File (V)</b>	This record series is used to document those youths who become a part of the Juvenile Probation and Court Serviced Program. This program conducts investigations and prepares pre-dispositional reports as ordered by the District Court. When the court places a youth on probation an order may be issued to place the person in the program where monitoring and supervision are provided. This includes development and implementation of an individualized treatment plan, drug screening, curfew monitoring, and referral to community resources. This program also provides a home detention program and develops other special programs. Only those under 18 years of age become a part of this program.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain the imaging screen, probation fact sheet, reason for violation/contempt, drug testing tracking sheet, probation services program steps I thru III. Terms and conditions, quarterly supervision report, statement of grievance procedure, school attendance report, correspondence, teen primary outpatient program, discharge summary.
	<b>Retention and Disposition</b>	Retain until five (5) years after client reaches eighteen years of age, then destroy.
<b>L5389</b>	<b>Juvenile Day Treatment Client File (V)</b>	This record series is used to document those youths who participate in the Lexington Day Treatment Center. The Center is a specialized community based program for youth between the ages of 13-17. The program has three components - education, counseling and social work services. Referrals to the program may be made by the Division of Youth Services, Department of Juvenile Justice, Cabinet for Health and Families, Fayette Co. Public Schools and other local social service agencies. The families are to attend the initial interview, participate in a twenty one day comprehensive individual treatment plan, attend treatment team meetings and participate in the 60 day review. This program works closely with the Fayette Co. school system. Usually the youth has demonstrated discipline problems(which brings about action by judicial authorities) at school. These youths are put in this program and instruction provided. All academic grades and other information will be given to the school district to become part of the youths student record.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain the individual treatment plan(ITP), individual plan of instruction(IPI), initial intake info, court commitments, contract of agreement, consents to photo, video tape, etc., authorization for involvement in activities, bus/van agreement, birth report or verification and social security #, assessment data/social history, orientation treatment plan, incident reports, time out worksheets, immunization record, health clinic and screens, medication info., medication sheet, medical insurance card, weekly progress notes, 60 day review, monthly review sheets,psychological tests/evaluation, psychiatric data, release of information, correspondence, drug screens, policies/guidelines, orientation test, computer lab permission, handbook cover page, safety & emergency procedures, medical and health procedures, rules and guidelines, service complaints.
	<b>Retention and Disposition</b>	Retain until three (3) years after youth leaves the center, then destroy.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington/fayette Urban County Government Social Services - Youth Services

Series	Records Title and Description	Function and Use
<b>L5390</b>	<b>Coleman House Juvenile Client Case File (V)</b>	This record series is used to document those youths who are referred to the Coleman House by police, juvenile court or Social services. These youths are in need of shelter outside of their own homes due to endangering situations such as abandonment, neglect and abuse. They also may be status offenders (wayward, truant, or incorrigible). Youth who are adjudicated as delinquent or public offenders. The program provides crisis intervention, 24 hour supervision, meals and snacks, transportation, educational and recreations activities, tutoring and emergency clothing.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain notification to parents, release procedure information, custody orders, consent/agreement of parent to temporary custody, client referral info sheet, court involvement info, approved visitors, termination of stay info, family background info, service and after care planning, case recording, personal property inventory, signing/sign out log, individual medication report form, medical consent and correspondence.
	<b>Retention and Disposition</b>	Retain until five (5) years after client reaches eighteen years of age, then destroy.
<b>L5391</b>	<b>Adoption Records</b>	This record series is used to document adoptions that came through a previous agency (Childrens Services) within Fayette County. The Kentucky Department of Welfare was the state agency that was involved in adoptions at this time. These records were inherited by Youth Services. They may be found in other places like old Dept. of Welfare files or court records but because of the possibility that this is the only copy they must be maintained permanently. These files document the adoption procedure from beginning to end.
	<b>Access Restrictions</b>	KRS 199.570
	<b>Contents</b>	This record series may contain the name of adoptee, information about the adoptee family, facts about the adopting family, correspondence, court records, foster parent information, application for adoption, medical records.
	<b>Retention and Disposition</b>	Retain permanently.
<b>L5392</b>	<b>Client Medical Record File (V)</b>	This record series is used to document the medical history of those youths taking part in the program. When youths become a part of the youth services program their medical history is taken and documented. Any chronic illness are noted and all prescriptions are logged. This is used to make sure that all appropriate medications are given and that illnesses are monitored.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	This record series may contain the name of youth, age, address, telephone #, immunizations, prescriptions, medical history documentation, parents names.
	<b>Retention and Disposition</b>	Retain until six (6) years after client reaches eighteen years of age, then destroy.

**Archives and Records Management Division  
Kentucky Department for Libraries and Archives**

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington/fayette Urban County Government

Series	Records Title and Description	Function and Use
<b>L6297</b>	<b>Sworn Personnel Promotional Process File</b>	This series consists of records used to document the promotional process for sworn personnel.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Applications, eligibility tests, position interest form, examinations, oral interview scores, interviewer notes and scores, video of tests, confidentiality agreement, training record, record check, and other relevant information.
	<b>Retention and Disposition</b>	Retain for three (3) years, then destroy. If an applicant is promoted, transfer application to Personnel File.



**Archives and Records Management Division  
Kentucky Department for Libraries and Archives**

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
<b>L2485</b>	<b>Application for Reserv. of Low Income Pub. Housing Funds or PreliminaryLoans (V)</b>	This form is used to request funds or loans from HUD for the local housing authority to build new housing units.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Estimated cost of obtaining preliminary bids on construction. Consulting Fees. Estimated cost of planning and orchestrating the cost of new housing units.
	<b>Retention and Disposition</b>	Destroy 10 years after completion of funded project and after audit. Destroy non-funded applications after 1 year.
<b>L2486</b>	<b>Various Construction Contracts</b>	Construction contracts are designed to be legally binding agreements between the selected construction company and the housing authority. It delineates each partys responsibility.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of the Construction Company or Contractor. The price quote. Specifications of the construction as determined by the bids.
	<b>Retention and Disposition</b>	Destroy 5 years after expiration and after audit.
<b>L2487</b>	<b>Contract for Financial Assistance</b>	These are contracts between a financial institution and the Housing Authority for money that is needed to meet operational cost of the Public Housing.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of the financial institution. Name of the Housing Authority. Terms of the financing.
	<b>Retention and Disposition</b>	Destroy 5 years after expiration and after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington-fayette Urban County Housing Authority Administrative Services

Series	Records Title and Description	Function and Use
<b>L2488</b>	<b>Cooperation Agreements</b>	These agreements are established between the Housing Authority and various local agencies for various services, such as the use of an incinerator for the burning of records.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of local agency. Name of the Housing Authority. Description of services to be performed. Condition of cooperation.
	<b>Retention and Disposition</b>	Destroy 5 years after expiration and after audit.
<b>L2489</b>	<b>HUD Transmittals and Correspondence involving Policy and Procedure Matters</b>	These transmittals are used to communicate policies and procedures to local housing authorities. These communications usually involve extensive interpretation of such policies.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Number and Name of policy/procedure. HUD Interpretation of policy/procedure.
	<b>Retention and Disposition</b>	Destroy when superseded.
<b>L2491</b>	<b>Balance Sheet - HUD #52595 (V)</b>	The balance sheet itemizes all monies contributed to, earned by or disbursed by the housing authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Operating Cash; Accounts Receivable; Investments; Debt Amortization; Deferred Charges; Land, Structures and Equipment; Payments for off-site utilities; Total Assets; Accounts Payable Ledger; Payable Notes; Liabilities; Deferred Credits; Fixed Liabilities; Total Liabilities; and Total Surplus.
	<b>Retention and Disposition</b>	Destroy after audit
<b>L2492</b>	<b>Statement of Income and Expenses HUD #52596 (V)</b>	The balance sheet summarizes the surplus and deficit of the housing authority finances.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Income Dollars; Expenses; Surplus credits and charges; Net Income; Operating Reserve; Unreserved Surplus; Accumulated Reserve and/or Deficit.
	<b>Retention and Disposition</b>	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2493	<b>Analysis of Non-Routine Expenditures HUD #52598 (V)</b>	This is an annual report to HUD that itemizes expenditures for non-routine items and the rationale for such expenditures.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Summary of expenditures for labor, materials, non-expendable equipment, contract costs and the credits from casualty claims. Analysis of Expenditures for extraordinary maintenance, replacement of equipment and property betterments and additions.
	<b>Retention and Disposition</b>	Destroy after audit
L2494	<b>Statement and Voucher for Accruing Annual Contributions HUD #52266 (V)</b>	This record indicates the estimated amount of funding that will be needed during the next fiscal year.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Fixed Annual Contributions; Interest Earned on Investments; Residual Receipts from the initial operating period; Residual Receipts from operations; Interest on Debt Service Fund Investments.
	<b>Retention and Disposition</b>	Destroy after audit
L2495	<b>Statement of Initial Operating Income and Expenses HUD #52603 (V)</b>	This record is used to request money during new housing project development stages.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Itemized Initial Operating Expenses and Itemized Initial Operating Income.
	<b>Retention and Disposition</b>	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2496	<b>Computation of Payment in Lieu of Taxes HUD #52267 (V)</b>	This record is used to calculate the amount of payment to the local taxing body in lieu of property taxes.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Sheltered rent charges; Sheltered rent collected; Calculation of approximate amount of real property tax; Calculation of payment in lieu of taxes; Annual contribution contract number, date, location and the name of the person completing the form.
	<b>Retention and Disposition</b>	Destroy after audit
L2497	<b>Section 8 Housing Assistance Payments Program (V)</b>	This form is used to report the operating expenditures and receipts of the Section 8 Housing Assistance Program.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Itemized operating expenses and collections. Itemized administrative cost.
	<b>Retention and Disposition</b>	Destroy after audit
L2498	<b>Operating Statement Housing Assistance Payments Program HUD #52682 (V)</b>	This record is an annual report to HUD that itemizes expenditures and receipts for the Section 8 Program.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name and address of the housing authority; Name and title of person preparing the report; Number of Dwelling Units; Operating Receipts (Itemized); Operating Expenditures (Itemized); Net Income; Operating Reserve; Deficit at end of year.
	<b>Retention and Disposition</b>	Destroy after audit
L2500	<b>Fiscal Agents Agreement (V)</b>	This fiscal agents agreement sets forth the responsibility and limit of authority of the agent in terms of cash management. The Fiscal Agent is an outside source contracted as the cash manager for the housing authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of the fiscal agent. Agents authority level and responsibility. HUD Approved Investments. Level of Accountability.
	<b>Retention and Disposition</b>	Destroy 5 years after expiration of agreement.

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>L2501</b>	<b>General Depository Agreement (V)</b>	The General Depository Agreement is a contract between the local housing and authority and the bank that is selected to handle the housing authoritys accounts and funds.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of the bank. Type of accounts. Requirements of the bank, such as member of FDIC.
	<b>Retention and Disposition</b>	Destroy 5 years after expiration of agreement.
<b>L2502</b>	<b>General Ledger (V)</b>	The General Ledger is an accounting tool that reflects the disbursement of cash and cash received by account for all aspects of the housing authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date; Account Number; Amount debited or credited to each account; Account balance.
	<b>Retention and Disposition</b>	Retain
<b>L2503</b>	<b>Initial Operating Ledger (V)</b>	This record reflects the initial start-up cost of a new housing area by account and itemizes all expenditures for the HUD requirement.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date of entry; Account number; Amount to be credited or debited for each account; Account balance.
	<b>Retention and Disposition</b>	Destroy 5 years after completion of construction and after audit.
<b>L2504</b>	<b>Audit Reports</b>	Audit reports were created to help public housing authorities maintain appropriate financial controls of operation and administration.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Each audit report will vary according to the individual findings of the audit.
	<b>Retention and Disposition</b>	Retain

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
<b>L2505</b>	<b>Minutes of Public Housing Authority Meetings</b>	The minutes of PHA meetings document various issues of discussion, decisions, policies and resolutions made by the housing authority and its Board of Directors.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Names of those present; Name of meeting; Agenda Items; Discussion of each item; Any motions or resolutions made by the Board.
	<b>Retention and Disposition</b>	Retain
<b>L2506</b>	<b>Real Property Disposition Records</b>	These records document the disposal of fixed assets.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Item Description; Item serial number; Approximate value.
	<b>Retention and Disposition</b>	Retain
<b>L2507</b>	<b>Schedule of Auditors' Adjustments</b>	This record is used to track any adjustments that are made by the auditing company should they find any accounting errors.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Description of Error; Amount of Adjustment; Name of Person Making the Correction.
	<b>Retention and Disposition</b>	Retain
<b>L2508</b>	<b>Bank Statements with Cancelled Checks (V)</b>	Bank Statements are maintained to reconcile Lex. - Fay. Urban County Housing Authority bank accounts.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Cancelled Checks; Deposit Slips; Interest.
	<b>Retention and Disposition</b>	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2509	<b>Budget (Yearly) (V)</b>	The budget is an itemized account of the projected expenditures and income for the respective fiscal year.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Itemized operational accounts. Itemized administrative accounts. Projected modernization and/or property betterments. Projected unusual costs (miscellaneous).
	<b>Retention and Disposition</b>	Destroy after audit
L2510	<b>Cash Disbursements/Cash Receipts Reg./Accts. Payable/Accts. Rec. Journal (V)</b>	These records document daily, weekly and monthly monetary transactions in the Housing Authority. These records are itemized by account number in accordance with the yearly budget accounts.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date of Transaction. Amount of Transaction. The Account Number Credited and/or Debited.
	<b>Retention and Disposition</b>	Destroy after audit
L2511	<b>Certificate of Cremation of Bonds and Interest Coupons</b>	Certificates of cremation are documents that indicate that the bond/coupon has reached maturity and has been cashed in for the full value.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Discount cost. Face value. Maturity date. Name of issuer and buyer.
	<b>Retention and Disposition</b>	Destroy
L2512	<b>Cash Receipts (Rent and Security Deposit) (V)</b>	Cash Receipts verify tenant payments to the Housing Authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Tenant name, address and account number; Total rent due; Total security deposit due; Total maintenance charges due; Individual deposit tickets for each tenant account.
	<b>Retention and Disposition</b>	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2513	<b>Bid Form, Notice To Proceed and Other Related Records (V)</b>	Bid forms, notice to proceed and progress reports were created to document the contractors activity during the course of the project.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Project specifications; Authorization to proceed; Monetary limits of the project; Timetable for completion.
	<b>Retention and Disposition</b>	Destroy 10 years after final contract date and after audit.
L2514	<b>Unsuccessful Bid Documents</b>	Unsuccessful bids document the fact that bids were solicited and verify the reason that these bids were classified as unsuccessful.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Bidders name and price quote. Document indicates the specifics that were unacceptable.
	<b>Retention and Disposition</b>	Destroy after audit
L2515	<b>Contractors' Payroll Records</b>	Contractor payroll records are required by HUD to ensure that the contractor is in compliance with EEO laws.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Pertinent information on employees. Employee wages and deductions.
	<b>Retention and Disposition</b>	Destroy 3 years after date on certificate of completion and after audit.
L2516	<b>Architect and Engineer Contracts</b>	These contracts are evidence of a legally binding agreement with the Housing Authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Specifications of the project. Project price quote. Timetable for completion.
	<b>Retention and Disposition</b>	Destroy 10 years after final contract settlement and after audit.



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2517	<b>Contract Register (Development)</b>	The contract register lists all contractors that have performed services for the Housing Authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Contractors name. Contractors speciality.
	<b>Retention and Disposition</b>	Destroy 3 years after issuance of development cost certificate and after audit.
L2518	<b>Contract Register (Management)</b>	The Contract Register for management lists all management companies that have performed services for the Housing Authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Contracts name. Contractors speciality.
	<b>Retention and Disposition</b>	Destroy 3 years after issuance of development cost certificate and after audit.
L2519	<b>Balance Sheet Preliminary Loan Period HUD #52601</b>	The balance sheet for the preliminary loan period accounts for the disbursements of the preliminary loan.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Preliminary loan contract number. Assets. Liabilities and Surplus. Total Liabilities and Surplus. Name and title of the person preparing the record.
	<b>Retention and Disposition</b>	Destroy after audit
L2520	<b>Statement of Preliminary Planning Cost HUD #52602</b>	This record documents the cost that justifies the loan.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Administrative cost. Site acquisition costs. Planning costs. Cost of construction and equipment. Relocation Cost.
	<b>Retention and Disposition</b>	Destroy after audit (provided it has been 3 years since repayment of loan).

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2521	<b>Preliminary Loan Notes</b>	Preliminary loan notes are methods of permanent financing.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Purchase discount price. Face value. Maturity date. Name of issuer and buyer.
	<b>Retention and Disposition</b>	Destroy 4 years after repayment of loan and after audit.
L2522	<b>Advanced Notes and Related Documents</b>	Advanced notes are methods of permanent financing.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Purchase price. Maturity date. Name of issuer.
	<b>Retention and Disposition</b>	Destroy 4 years after repayment of loan and after audit.
L2523	<b>Temporary Notes and Related Documents</b>	Temporary notes are methods of financing modernization and property betterments for the Housing Authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Purchase Price. Maturity date and value. Name of Issuer.
	<b>Retention and Disposition</b>	Destroy 7 years after repayment of loan and after audit.
L2524	<b>Insurance and Fidelity Bonds</b>	Insurance and/or Fidelity bonds are a method of protecting the Housing Authority from theft by the employees.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Face amount of policy. Policy number. Obligations of the insurance company and the Housing Authority.
	<b>Retention and Disposition</b>	Destroy 10 years after expiration and after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2525	<b>Insurance Register</b>	This record indicates the Insurance Companies and the types of coverage that the Housing Authority has purchased.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Insurance Company Name. Type of Insurance Coverage.
	<b>Retention and Disposition</b>	Destroy after audit
L2526	<b>Inventory Records of Expendable and Non-Expendable Equipment and Supplies</b>	This record was created to monitor inventory usage and supply levels. It also serves as a cost control for supplies and fixed assets.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Description of item. Lex. Housing Authority tag number. Quantity present. Approximate value. Quantity ordered and received. Net usage.
	<b>Retention and Disposition</b>	Destroy afer audit.
L2527	<b>Property Ledger</b>	This record was created as a log of all property, both real and non-expendable, at the Housing Authority. Each year assets are counted and entered into this record as evidence of assets.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Item Description. Account Number. Lex. Housing Authority Tag Number. Approximate Value. Date of Disposition If Applicable.
	<b>Retention and Disposition</b>	Destroy after audit
L2528	<b>Preliminary Cost Ledger</b>	The preliminary cost ledger is a document that reflects preliminary expenditures and itemizes those expenditures by account number that corresponds to the General Ledger.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date. Vendor Name. Dollar Amount of Invoice. Account Number To Be Debited.
	<b>Retention and Disposition</b>	Transfer information to General Ledger, then Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington-fayette Urban County Housing Authority Administrative Services

Series	Records Title and Description	Function and Use
L2529	<b>Petty Cash Vouchers</b>	Petty Cash Vouchers are used to track money spent out of the petty cash fund.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The name of the person receiving the money. The item that the money will be purchasing for the Housing Authority. The date of the petty cash advancement. The signature of the person issuing the money and the signature of the person receiving the money.
	<b>Retention and Disposition</b>	Destroy after audit
L2530	<b>General Fund Check Vouchers (V)</b>	The general fund check vouchers document the item for which the check is written and the amount, vendor number, invoice number and the account number that the money will be debited from. It also indicates the approval of the General Accounting Department.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Check Number. Vendor Number. Check Amount. Invoice Number. Due Date. Any Discount That Applies. Vendor Invoices.
	<b>Retention and Disposition</b>	Destroy after audit
L2531	<b>General Fund Cancelled Checks</b>	A cancelled check indicates that the check issued at the Housing Authority has been cashed by the vendor.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Check Number. Name of Issuer. Name of Receiver. Date of Issue. A Description of What the Check Is For.
	<b>Retention and Disposition</b>	Destroy after audit
L2532	<b>General Fund Check Register (V)</b>	The General Fund Check Register lists all checks that have been issued for a given period of time (usually monthly). Its purpose is to double check all check numbers and amounts against the General Fund Vouchers.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Vendor Name. Vendor Number. Check Number and Amount. Description of Item. Account Number that Funds will be Debited From.
	<b>Retention and Disposition</b>	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2533	<b>General Fund Accounting Daily Report</b>	This report is designed to track monetary activity by account and in detail.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Account number from the general ledger. The number of invoices debited from this account. The vendor of each invoice. The item and/or service of each vendor. The amount paid out of each account by vendor number.
	<b>Retention and Disposition</b>	Destroy after audit
L2534	<b>General Fund Accounts Payable Voucher Report By Batch Number</b>	The General Fund Voucher Report is an internal accounting tool that cross checks the General Fund Check Register.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Batch Number. Vendor number and name. Description of the item or service. The general fund account number that will be debited.
	<b>Retention and Disposition</b>	Destroy after audit
L2535	<b>Analytical Tenant Ledger Control (V)</b>	These control records are designed to check and cross check all tenant accounting calculations, billings, refunds and credits. The purpose is to ensure that all Tenant Accounting functions are accurate.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Tenant account number, name, address and unit number. The dollar amount to be billed to the tenant. An itemized account of all charges billed to the tenant. Total due from the tenant.
	<b>Retention and Disposition</b>	Destroy after audit
L2536	<b>Tenant Accounting Rent Rolls (V)</b>	This record was created to track changes in the monthly rents of tenants. Changes occur when tenant income or family size changes.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The data elements in this report are: Tenant Name; Tenant Account number; Tenant Address; Current Monthly Rent; Previous Monthly Rent.
	<b>Retention and Disposition</b>	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
<b>L2537</b>	<b>Request for Refund of Security Deposit and Unearned Rent</b>	This record documents the tenants request for the refund of their security deposit and their unearned rent.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Tenant name, address and account number. The security deposit paid by the tenant at move-in date. An accessment of the tenants apartment conditions. Total amount of refund due or total amount the tenant owes the Housing Authority.
	<b>Retention and Disposition</b>	Destroy after audit
<b>L2538</b>	<b>Tenant Accounts Receivable and Security Deposit Ledger Sheets</b>	This record documents the cash flow from the Housing Areas to the Housing Authority. In other words, this record accounts for the cash flow from the tenants to the Housing Authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Housing Area. Total dollars collected from the Housing Area. The total dollars received itemized by rent and/or security deposit.
	<b>Retention and Disposition</b>	Destroy after audit Accts. with a balance of \$25.01 or greater must also be settled before the records are destroyed.
<b>L2539</b>	<b>Tenant File Maintenance</b>	This record was created to track tenant move-ins, move-outs and transfers in the housing authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The data elements in this report are: Housing area number; Tenant account number; Tenant status; Monthly rent; Security deposit paid; Security Deposit required; Rent balance; Other balance and future rent.
	<b>Retention and Disposition</b>	Destroy
<b>L2540</b>	<b>Tenant Accounting Auto Bills</b>	This record is a summary of all the tenant accounts that are automatically billed for one service or another, such as security deposits, extra paint, excess maintenance charges and back rent.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Tenant account number, name, address. The reason for the auto bill. The amount of the auto bill. The balance due after this payment. Date of service and date of billing.
	<b>Retention and Disposition</b>	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2541	<b>Tenant Accounting Monetary Batches</b>	Monetary batches refers to a group of monetary transactions derived from various billing statements. These batches are used to double check the banks deposits for any given day for the Housing Authority accounts.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The contents of the batch will be various billing statements that the tenants have paid at the bank.
	<b>Retention and Disposition</b>	Destroy after audit
L2542	<b>Tenant Accounting Monetary Edits (V)</b>	This record was created strictly for internal accounting control purposes. This record is produced by batch numbers and reflects all monetary transactions of tenant accounts.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Data elements contained in this report to: Housing area number; Tenant account number; Date of the report; Batch Number; Cash received from tenant; Sequence number; Valid transactions listed; Total debits; Total credits; Net amount.
	<b>Retention and Disposition</b>	Destroy after audit
L2543	<b>Tenant Accounting Ledgers (V)</b>	This monthly ledger was created to provide information on Tenant Accounts by address. It indicates all monetary transactions of each account.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Elements in this record are: Tenant Account Number; Tenant Name and Address; Security Deposit Required/Paid; Move-In Date; Date of the Report; Description of Transaction; Reference Number; Amount Paid by Tenant; Auto Bills; Rent Roll; Amount to Be Billed Next Month.
	<b>Retention and Disposition</b>	Destroy after audit
L2544	<b>Analysis of Adjustments and Cash Receipts</b>	This record was created for internal auditing purposes and analysis any monetary transactions by account.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Data elements in this report: Date of report; Housing area number; Tenant account number; Tenant name; Tenant address; Monthly rent; Maintenance charges; Adjustments of cash receipts; Security deposit paid.
	<b>Retention and Disposition</b>	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2545	<b>Tenant Accounting Delinquency Report (V)</b>	This report was created to track delinquent tenant accounts. This information is derived from the monetary batches/edits.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Data elements in this report are: Tenant account number; Tenant name and address; Late charges in dollars; Unpaid balance on the security deposit; Cash received from tenant; Total cash due from tenant; Delinquency indicated in days.
	<b>Retention and Disposition</b>	Destroy after audit
L2546	<b>Schedule of Maximum Income Limits and Related Material (V)</b>	This record is a guideline form from the HUD Office that indicates the income limits that apply to public housing applicants in terms of their qualification for such public housing.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Number of family members. The income limit allowed for such a family in order to qualify for public housing.
	<b>Retention and Disposition</b>	Destroy when superseded.
L2547	<b>Schedule of Tenant Accounts Receivable</b>	This record provides the projected amount of income from tenant rents for each month.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Unit number and location; Regular Rent Amount; Any additional charges that the tenant may owe the Housing Authority.
	<b>Retention and Disposition</b>	Destroy after audit
L2548	<b>Section 8 Check Vouchers (V)</b>	This record documents monies that are paid out to landlords and tenants participating in the Section 8 Housing Assistance Payment Program.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Information on the check voucher: Landlord name; Landlord address and address of rental property; Amount of money received for each unit (financial assistance); Tenant name of each unit.
	<b>Retention and Disposition</b>	Destroy after audit



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2549	<b>Section 8 Housing Assistance Payment Check Register (V)</b>	This record lists each check issued from the Section 8 Housing Assistance Payment Program and indicates to whom the check was issued and the dollar amount of each check.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Information items in this record are: Check Number; Check Amount; Name of person the check was issued to; The account number of the addressee.
	<b>Retention and Disposition</b>	Destroy after audit
L2550	<b>Section 8 Housing Assistance Payment Prelist (V)</b>	This record reflects any changes in the participants accounts on a monthly basis. These changes include changes in income, income source or family size.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Information on this form: Participant name and address and account number; Changes in the rent or utilities or family size; New monetary status of each account.
	<b>Retention and Disposition</b>	Destroy after audit
L2558	<b>Section 8 Accounts Payable Distribution Journal (V)</b>	This record reflects the distribution of monies paid out of the Section 8 Housing Assistance Program.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of property owner; property address; vendor account number; amount paid to owner.
	<b>Retention and Disposition</b>	Destroy after audit
L2559	<b>Section 8 Accounts Payable Voucher Register</b>	This record list all vouchers issued in a given month for the Section 8 program.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Vendor name; voucher number; voucher date; amount of voucher; voucher period.
	<b>Retention and Disposition</b>	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services

Series	Records Title and Description	Function and Use
L2562	<b>Pending and Eligible Applications</b>	This form records pertinent information regarding persons applying for public housing.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of applicant, social security number, date of birth; family size, age of children; yearly income.
	<b>Retention and Disposition</b>	Destroy 2 years from time applications are classified withdrawn or ineligible.
L2563	<b>Selected Applications</b>	Selected applications are people who have been offered a dwelling unit. While the offer is open the application is termed selected.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of applicant, social security number, and date of birth; date of offer and date of needed responses.
	<b>Retention and Disposition</b>	Destroy 2 years from time applications are classified withdrawn or ineligible. Otherwise destroy 5 years after tenant vacates public housing.
L2564	<b>Housing Surveys and Census Tabulations</b>	This record is the result of HUD surveys and it indicates various demographic information about the national population as a whole.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Geographic area; population break down by age, sex, rac, average income; public housing area.
	<b>Retention and Disposition</b>	Destroy when superseded.
L2566	<b>Individual Management Reports</b>	Individual management reports were created to keep the Director of Management informed about activities in the Housing Areas. These reports are generated weekly, and monitor tenant/management activity.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Housing Area Manager name; Date of the report.
	<b>Retention and Disposition</b>	Destroy when obsolete. Retain latest two reports.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

## LOCAL GOVERNMENTS County/Local: Lexington-fayette Urban County Housing Authority Administrative Services

Series	Records Title and Description	Function and Use
<b>L2568</b>	<b>Motor Vehicle Titles</b>	The motor vehicle titles show proof of ownership of the Housing Authority vehicles.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Owners name, address; vehicle serial number; make and model of vehicle.
	<b>Retention and Disposition</b>	Destroy upon disposal of vehicle.
<b>L2569</b>	<b>Bids and Other Contract Forms (Related to the disposal of personal property)</b>	In terms of property disposition, bids and related contracts are documents of intent to purchase the property and/or equipment from the Housing Authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Bidders name, address and company or agency; the purchase price proposed for the property and/or equipment; the terms of the purchase.
	<b>Retention and Disposition</b>	Destroy 5 years after receipt of final payment. For transaction amounts over \$25,000 destroy 10 years after receipt of final payment.
<b>L2570</b>	<b>Bills of Sale and Related Documents</b>	The Bills of Sale records serve as documentation that the Housing Authority no longer owns that property or equipment, and verifies the accuracy of the subsidiary property ledger.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The name, address and company of the purchaser; the serial number of the equipment or the deed of the property; authorized Housing Authority signatures and the signatures of the buyer.
	<b>Retention and Disposition</b>	Destroy 5 years after receipt of final payment. For transaction amounts over \$25,000 destroy 10 years after receipt of final payment.
<b>L2573</b>	<b>Time Sheets (V)</b>	Timesheets were created to track employee hours worked and are also used to monitor attendance performance of employees.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Information on this form: Employee name and date; Employee number; Hours worked during the pay period; Pay period dates; Vacation, holiday and sick time used during pay period; Employee and supervisor signatures.
	<b>Retention and Disposition</b>	Destroy after audit

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services/Personnel

Series	Records Title and Description	Function and Use
L2571	<b>Master Personnel Folders/Employee Records (Including Earning Records)</b>	Employee Records are a method of keeping all employee information together as it relates to individual employees.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Job Application; Tax Forms (W4 & K4); Job Description; Salary and/or hourly wage; Evaluations of job performance; Miscellaneous memos regarding policy and procedure changes; If applicable, insurance forms and benefit forms; If applicable, record of disciplinary action.
	<b>Retention and Disposition</b>	Destroy 10 years after separation
L2572	<b>Employee Leave Slips</b>	Employee leave slips are used by employees to request time off from work.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Employee name; Dates requested to be off; Type of time to be utilized (comp. time, annual leave, leave without pay, etc.); Supervisors signature; Employee signature.
	<b>Retention and Disposition</b>	Destroy after audit
L2574	<b>Position Description</b>	The position description was created to provide job applicants a description of the duties that they would be responsible for, should they be chosen for the position.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Job Title; List of duties.
	<b>Retention and Disposition</b>	Destroy 3 years after the position is abolished or the description is changed.
L2575	<b>Payroll Reports (V)</b>	Payroll reports were created for tax purposes and for reference during budget preparation.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The data elements contained in this report: Employee name and number; Date of pay period; Paycheck number and date; Gross and net earnings; Payroll deductions.
	<b>Retention and Disposition</b>	Destroy after audit

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Administrative Services/Personnel

Series	Records Title and Description	Function and Use
L2753	<b>Unsuccessful Job Applications (V)</b>	Job applications are a tool used in the selection of employees for open job positions.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The information on this form includes the following: Name and address of applicant; Date, signature and social security number; Education level and work history; The title of the position of application.
	<b>Retention and Disposition</b>	Destroy

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Executive Director

Series	Records Title and Description	Function and Use
L2484	<b>Annual Contributions Contract (V)</b>	This contract delineates the items and services that will be funded by HUD and those items and services that must be funded by the local housing authority. Additionally, this contract sets forth the specific responsibilities of each party of the contract.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Itemized operating budget; Summary of staffing, salaries and job descriptions; Cash management guidelines; Collection Losses; Non-routine maintenance and property betterments; Dwelling units & rentals; Summary of tenant services; Financial Performance Standards; Utility Review; Responsibility of the Board of Commissioners; Requirements of Audits.
	<b>Retention and Disposition</b>	Destroy 5 years after expiration and after audit.

# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Management

Series	Records Title and Description	Function and Use
L2551	<b>Section 8 Housing Assistance Payment Register (V)</b>	This record lists all participants in the Section 8 Housing Assistance Payment Program and documents monies received by the participants from the Housing Program.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Information on this form: Participants name and address; Participants account number; Monies received by the participants.
	<b>Retention and Disposition</b>	Destroy after audit
L2552	<b>Section 8 Housing Assistance Payments Check Copies (V)</b>	Check copies are retained as the Lex.-Fay. Urban County Housing Authoritys record each check issued to the Section 8 HAP Participants.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Participants name; Dollar amount of assistance; Participants account number; Executive Directors signature.
	<b>Retention and Disposition</b>	Destroy after audit
L2553	<b>Section 8 Housing Assistance Payment Cancelled Checks (V)</b>	Cancelled checks are maintained to reconcile Lexington-Fayette Urban County Housing Authority bank accounts.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Cancelled checks
	<b>Retention and Disposition</b>	Destroy after audit
L2554	<b>Section 8 Requirements by Vendor (V)</b>	This record was created to provide a listing of Section 8 vendors (participants) and the fair and equitable rent required for each property unit participating in the Section 8 Housing Assistance Program.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Data elements in this report: Vendor/participant name; property address; unit bedroom size; required fair market rent.
	<b>Retention and Disposition</b>	Destroy

**LOCAL AGENCY RECORDS  
RETENTION SCHEDULE**

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Management

Series	Records Title and Description	Function and Use
L2555	<b>Section 8 Accounts Payable Outstanding Payables (V)</b>	This record list Section 8 Housing Assistance Payment participants (vendors) by name and account number. It reflects the dollar amount of rental assistance due the vendor from the Section 8 Program, but not yet paid.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The data elements in this file are: vendor name; vendor account number; property address; invoice date; invoice amount, due date.
	<b>Retention and Disposition</b>	Destroy after audit
L2556	<b>Section 8 Housing Assistance Payments System</b>	This record was created to summarize vital tenant/participant information on a single form. The information from this record is then entered into a computer program designed for the Section 8 Program.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Property location, unit number and bedroom size; property owners name and address; property owners account number; tenant name and address, social security number and date of birth; date of application or recertification; rent payment from tenant; rental assistance from the Section 8 Program.
	<b>Retention and Disposition</b>	Destroy after audit
L2557	<b>Housing Payments Posted to Section 8 Accounts Payable</b>	This record itemizes Section 8 Housing Assistance Payments to Landlords and Tenants and indicates the dates of each posting in the ledger.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Landlord name; tentant name; property address; gross and net payment to landlord; gross and net payment to tenant.
	<b>Retention and Disposition</b>	Destroy after audit
L2560	<b>Section 8 Continued Occupancy Form (50059) (V)</b>	This form was created to show the actual calculations of rental assistance for landlords and tenants. This form includes basic information about the tenant and the landlords, such as property unit, size, family size, etc.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This form records information on the participants: name of tenant, date of birth, social security number, marital status; landlord name, address of property unit being rented, fair market rent amount; full calculation of the rental assistance and utility allowance, if applicable.
	<b>Retention and Disposition</b>	Destroy after audit



# LOCAL AGENCY RECORDS RETENTION SCHEDULE

LOCAL GOVERNMENTS  
County/Local: Lexington-fayette Urban County Housing Authority  
Management

Series	Records Title and Description	Function and Use
L2561	<b>Tenant Files (V)</b>	Tenant files are a collection of documents that apply to the tenant and their relationship to the Housing Authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Initial contact sheet with offer for the unit; lease; verification of income; housing inspections; recertification forms; interim reports; work orders; application.
	<b>Retention and Disposition</b>	Destroy 5 years after tenant vacates public housing and after audit.
L2565	<b>Coordinated Management Reports</b>	Coordinated Management Reports were created to provide the Board of Commissioners with a summary of the Housing Authority's activities.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Most of the information in this report is derived from the Individual Management reports. However, on occasion the Board will request information on a specific subject and that information will be added to the Coordinated Report.
	<b>Retention and Disposition</b>	Destroy when obsolete. Retain latest two reports.
L2567	<b>Correspondence Pertaining to Routine Management and Maintenance Matters</b>	This correspondence from HUD clarifies routine management and maintenance matters for the Housing Authority.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	The contents in this file will vary according to the matter that needs to be addressed.
	<b>Retention and Disposition</b>	Destroy after audit