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August 31, 2012

**Via Electronic Mail and U.S. Mail**

Administrative Regulations Working Group  
Kentucky Public Service Commission  
211 Sower Boulevard  
P.O. Box 615  
Frankfort, Kentucky 40601

**RE: *Post-Hearing Comments of Louisville Gas and Electric Company and Kentucky Utilities Company on Proposed Changes to Commission Regulations***

Dear Ladies and Gentlemen:

Louisville Gas and Electric Company and Kentucky Utilities Company (collectively, the “Companies”) hereby respectfully submit these post-hearing comments to the Kentucky Public Service Commission (the “Commission”) concerning its proposed regulations. These comments cover three topics the Companies raised at the August 27, 2012 hearing: (1) confidentiality, (2) electronic filing and (3) amicus briefs.

**CONFIDENTIALITY – 807 KAR 5:001, SECTION 13(10)(A)**

**Comment**

The Commission’s current proposal would afford confidential treatment for no more than two years unless the Commission orders otherwise. At the end of the two-year period, the party originally requesting confidential treatment must again request and explain why confidential treatment should continue. The Companies believe this proposal conflicts with the Kentucky Open Records Act, KRS 61.870 *et seq.* KRS 61.878 makes exceptions to the general open records laws. Some exceptions, such as for real estate proposals and test questions, contain sunset provisions after which confidential treatment ceases.<sup>1</sup> Other exceptions frequently cited by utility companies, including KRS 61.878(1)(a), (c), (k), and (l), contain no time bars—once exempted, always exempted. Kentucky courts have recognized that statutes must be interpreted as written, “without adding any language to the statute.”<sup>2</sup> Additionally, the Kentucky

<sup>1</sup> See KRS 61.878(1)(f), (g).

<sup>2</sup> *Commonwealth v. Chestnut*, 250 S.W.3d 655, 661 (Ky. 2008).

Administrative Procedures Act states that “[a]n administrative body shall not promulgate administrative regulations: (i) which modify or vitiate a statute or its intent.”<sup>3</sup> Certain information, such as social security numbers, credit card information, account numbers, and other personal information, should never be placed in the public record. Additionally, federal law prohibits the disclosure of tax information, like annual returns.<sup>4</sup> Imposing a two-year period for confidential protection when the very statute providing the criteria for confidential protection does not contain such a restriction conflicts with these principles.

### **Proposal**

The Companies do not believe that any time limits on confidential protection should be adopted. If the Commission determines that amendments are required to the confidential protection timeframe, the Companies recommend that the regulation require the petitioner to demonstrate in its petition for confidential protection a reasonable period of time for confidential treatment. This “reasonable period” may be indefinite. A case-by-case determination would consider the various types of confidential information and tailor the result to that information. The most appropriate time to determine the length of the period in which to protect the confidential information from public disclosure is when the petition for confidential protection is submitted to the Commission.

### **ELECTRONIC FILING – 807 KAR 5:001, SECTION 8(3)**

### **Comment**

The Commission’s proposed regulations would require parties to “file one (1) original with the commission” of every pleading, document, or exhibit filed in a case. The purpose of electronic filings is to avoid filing pleadings, documents, or exhibits in paper medium; and in an electronically filed case the “original” is the electronic filing. The Companies are not requesting that the Commission mandate electronic filing for all utilities or parties. Instead, the Companies are attempting to achieve the efficiencies of the electronic case-filing process for those parties that utilize it.

At the August 27, 2012 hearing, the Companies were requested to provide an analysis on the issue of whether, under Kentucky law, paper copies are required for purposes of the Kentucky Archives. This analysis is set forth fully in the Appendix, the draft of which was reviewed by the Kentucky Department for Libraries and Archives (“KDLA”), and who concurred with the conclusion therein: Kentucky law does not require the filing of paper documents for purposes of the KDLA. In an electronic case, the file uploaded to the Commission’s website is “born digital” and is the original. Furthermore, there is no requirement that the Commission have an either/or approach. Kentucky law does not require the Commission to maintain its files in either an all-paper format or an all-electronic format. The two mediums may be mixed, even within the same case. The only time the Commission must retain paper

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<sup>3</sup> KRS 13A.120(2)(i).

<sup>4</sup> See, e.g., 26 U.S.C. § 6103.

copies of files are for those files that the Commission's *Records Retention Schedule* has designated as permanent and that were originally received or created in a hard-copy format.<sup>5</sup>

### **Proposal**

The Commission should delete the proposed requirement of a paper "original" in electronically filed cases. Rather, the Commission should rely on its discretionary authority under KRS 278.230 to order parties to file a paper copy of filings on a case-by-case basis when desired. The Companies have no objection to providing the Commission copies of pleadings, documents, or exhibits in paper medium as the Commission may request. This would allow the Commission to continue to request paper copies on a case-by-case basis as desirable, and avoid undertaking further proceedings under the Kentucky Administrative Procedures Act in the future to remove the paper copy requirement from the regulation.

### **AMICUS BRIEFS – 807 KAR 5:001, SECTION 10(3)**

### **Comment**

The Commission has proposed a new provision allowing amicus curiae to file briefs with the Commission. The Companies do not believe the proposed regulation is necessary. Commission procedures currently allow for public comment. More importantly, Commission procedures allow interested persons to file a motion to intervene. Allowing amicus briefs defeats the Commission's standing requirements for intervention, namely that a movant must "state his or her interest in the proceeding and how intervention is likely to present issues or develop facts that will assist the commission in fully considering the matter without unduly complicating or disrupting the proceedings."<sup>6</sup> Additionally, the proposed regulation does not provide the opportunity for parties to respond to amicus briefs and, even if it did, would merely serve to complicate, disrupt, and prolong proceedings.

### **Proposal**

The Commission should delete the proposed regulation allowing for amicus briefs. Persons desiring to provide information to the Commission may do so through public comment or by seeking intervention, if appropriate. If the Commission desires to make broad policy decisions, an administrative case will provide the most developed record and afford all interested parties full due process.

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<sup>5</sup> The Commission may seek a waiver from the paper medium requirement even where the document was originally created or received in paper medium. See Kentucky Department for Libraries and Archives, *Policy Memorandum on the Storage of Public Records as Scanned Images*, PM 2010-01.

<sup>6</sup> Proposed 807 KAR 5:001, Section 11(a), (b).

Administrative Regulations Working Group  
Kentucky Public Service Commission  
August 31, 2012  
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In closing, the Companies appreciate the Commission's hard work and dedication through the amendment process. The Companies believe that with the revisions discussed herein, the proposed regulations will provide a solid base for practice before the Commission for years to come. As always, please feel free to contact me with any questions you may have.

Best regards,

A handwritten signature in black ink, appearing to read "Kendrick R. Riggs". The signature is fluid and cursive, with a long horizontal stroke at the end.

Kendrick R. Riggs

**Appendix to August 31, 2012 Letter to  
Administrative Regulations Working Group  
Kentucky Public Service Commission**

Louisville Gas and Electric Company and Kentucky Utilities Company (collectively, the “Companies”) appreciate the opportunity to have participated in the Commission’s August 27, 2012 hearing concerning revisions to certain Commission regulations. The Companies also appreciate the Hearing Officer’s invitation to submit post-hearing comments on the Companies’ electronic-filing proposal.<sup>1</sup> The Hearing Officer specifically requested that the Companies address whether Kentucky law, and specifically laws related to archives, records, and the Kentucky Department for Libraries and Archives (“KDLA”),<sup>2</sup> allow some cases, but not all, to be filed entirely in electronic medium with no paper documents. Specifically, the Hearing Officer expressed the issue as follows:

I believe that in the discussions that have arisen within the Agency, one concern was that absent going completely to an electronic record, that the State Archive laws would prevent the Commission from . . . going to an all-electronic record and not requiring at least the filing of an original. And I believe that is the basis for which the current proposal . . . has been put forward.<sup>3</sup>

As described below, the answer is that yes, Kentucky law (1) allows all-electronic case filing with no paper original, (2) recognizes that an “original” can indeed be an electronic document, and (3) does not require the Commission to adopt a uniform policy across all cases (i.e., there is no requirement that all cases be one or the other, paper or electronic). This conclusion was reached through research of the applicable laws and has been confirmed through conversations held with KDLA personnel. Before discussing the Hearing Officer’s specific request, though, the Companies note that they submitted initial comments on the proposed regulations by letter dated November 15, 2011.<sup>4</sup> The November 15 letter broadly described how electronic filing complies with Kentucky law and provided suggestions for implementing electronic filing. Rather than repeat those comments, this letter focuses on the narrow question presented: is a paper original required in the absence of an Agency going to a completely electronic record?

Kentucky law broadly defines “public record” as any documentary material “regardless of physical form or characteristics.” *See* KRS 61.870(2) (Open Records Act); KRS 171.410(1) (Public Records Laws). Documents submitted through the Commission’s website are public

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<sup>1</sup> The Companies have also submitted various other written and oral comments, including those offered at the August 27 hearing. This letter’s focus on electronic filing is not a waiver of the Companies’ other comments.

<sup>2</sup> The General Assembly has also created the State Archives and Records Commission, a seventeen-member body charged with advising Archives “on matters relating to archives and records management,” “to review and approve schedules for retention and destruction of records,” and to be the final arbiter on questions related to the destruction of public records. *See* KRS 170.420. For purposes of these comments, and indeed for purposes of analyzing the legality of an all-electronic filing system, no distinction has been drawn between the roles of Archives and its advisory body, the State Archives and Records Commission. Collectively, the entities will be referred to as Archives.

<sup>3</sup> August 27, 2012 Hearing at 9:55:12.

<sup>4</sup> The November 15 letter is attached as Exhibit 1 to this letter.

records to the same degree as hard copies of documents mailed or hand delivered to the Commission. *See, e.g.,* KDLA, *General Schedule for Electronic and Related Records* (“Electronic records fall under the definition of public records despite the fact they are hardware and software dependent.”).<sup>5</sup> There is no distinction to be drawn.

KRS 171.450(c) requires, among other things, KDLA to “establish standards and procedures for recording, managing, and preserving public records.” KDLA satisfies this requirement by publishing a number of policies, procedures, Records Retention Schedules, and other documents pertinent to public records. *See, e.g.,* 725 KAR 1:061 (listing the Records Retention Schedules approved by the State Archives and Records Commission). Of particular relevance to these comments are the Commission’s own *Records Retention Schedule*,<sup>6</sup> prepared in conjunction with KDLA, and KDLA’s *Policy Memorandum on the Storage of Public Records as Scanned Images*, PM 2010-01 (hereinafter, “PM 2010-01”).<sup>7</sup>

The retention policy for public records is not a uniform, one-size-fits-all policy. *See* Public Service Commission, *Records Retention Schedule* (listing thirteen different “series” of records with retention periods from one month to permanent). For example, Case Records and Tariffs have a permanent retention period, while Utility Inspection Reports are retained at the Commission for eight years from the date of inspection or date of compliance (if deficiencies are noted).

A further, key distinction for electronic-filing purposes is between documents that are “born digital” and documents that are not. Documents that are “born digital” are initially created or received by the Commission through an electronic medium. The original of these “born digital” documents is the electronic file. There is no requirement that “born digital” files be printed and kept in hard-copy form.

The interplay between the retention period and the medium through which the Commission receives and creates documents is the key to how the Commission retains documents. Although permanent files, such as Case Records, must have “manual, eye-readable counterparts, such as paper or microfilm,” *see* PM 2010-01, this requirement does not apply to documents that are “born digital.” *Id.* According to our conversations with KDLA’s personnel, the exception for “born digital” documents is what allows the Commission to move to an all-electronic filing system with no paper originals. An example illustrates the distinction. In an electronically-filed case, the Commission receives most filings through its Electronic Case Filing Center. These electronically filed documents are the prime illustration of documents that are “born digital.” The documents were created using Microsoft Word, Microsoft Excel, or some other software program. The documents are then converted to .pdf and uploaded to the Commission’s website. The Commission does not, and is not required to, receive a paper version of the documents during this process; rather, the documents exist only as electronic, “born digital” files. Conversely, the Commission periodically receives hard-copy

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<sup>5</sup> A copy of the *General Schedule for Electronic and Related Records* is attached as Exhibit 2.

<sup>6</sup> The Commission’s *Records Retention Schedule* is attached as Exhibit 3.

<sup>7</sup> A copy of PM 2010-01 is attached as Exhibit 4.

correspondence or creates sign-in sheets that exist in paper medium. These documents are not “born digital” as the Commission created or received the document in a paper medium. Therefore, the Commission must retain these hard-copy documents unless it is granted a waiver by KDLA.<sup>8</sup> *Id.* Of note, personnel at KDLA stated that **there is no requirement that the Commission maintain either all-electronic or all-paper files, even within the same case.** In other words, the very same case file may contain both paper and electronic records.

Finally, reference is made to another document that, while not controlling here, is relevant for showing that KDLA recognizes and permits electronic-only documents. KDLA has published a document titled *Transfer of Public Records: A Procedural Guide*, which has been incorporated by reference into 725 KAR 1:025.<sup>9</sup> This document describes the process for transferring documents from a state agency’s possession to KDLA, and specifically recognizes that some permanent documents may be electronic. *Id.* at 5 (“Permanent electronic records shall be maintained in the e-Archives.”).

In sum, Kentucky law does not mandate that the Commission require a paper original of each document filed with the Commission. When documents are “born digital,” electronic copies are entirely acceptable for purposes of the KDLA.

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<sup>8</sup> KDLA has established a detailed procedure for public agencies to request a waiver from the requirement of retaining paper or microfilm images of permanent records that are not “born digital.” *See* PM 2010-01. Such a waiver would permit the Commission, for example, to scan paper correspondence received in an electronic case and include the scanned rather than the paper copy as part of the “permanent” record.

<sup>9</sup> A copy of *Transfer of Public Records: A Procedural Guide* is attached as Exhibit 5.

# **EXHIBIT 1**



**PPL companies**

Administrative Regulations Working Group  
Kentucky Public Service Commission  
211 Sower Boulevard  
P.O. Box 615  
Frankfort, Kentucky 40601

November 15, 2011

**RECEIVED**

**NOV 15 2011**

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COMMISSION**

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***RE: Comments of Louisville Gas and Electric Company and Kentucky Utilities Company on Proposal to Amend 807 KAR 5:001 and 807 KAR 5:011***

Dear Ladies and Gentlemen:

Louisville Gas and Electric Company and Kentucky Utilities Company appreciate the opportunity to submit comments on, and to participate in, the process of revising Commission regulations 807 KAR 5:001 and 807 KAR 5:011. The Companies nominate Rick Lovekamp to serve on the Commission's advisory committee, and offer the following initial suggested revisions for the Commission's consideration:

First, we recommend that the Commission revise its regulations expressly to permit electronic filing, a procedure that is currently permitted only on a case by case basis. We believe that the Commission will be acting in accordance with its statutory and regulatory duties to preserve public records even if it allows electronic filing without requiring a paper analog. Kentucky law broadly defines "public record" as any documentary material "regardless of physical form or characteristics." *See* KRS 61.870(2) (Open Records Act); KRS 171.410(1) (State Archives). Documents submitted through the Commission's website are public records to the same degree as hard copies of documents mailed or hand delivered to the Commission. *See* Kentucky Department for Libraries and Archives, *General Schedule for Electronic and Related Records* ("Electronic records fall under the definition of public records despite the fact they are hardware and software dependent.").

Kentucky law appears fully to support an all-electronic filing system. KRS 171.680(1) requires the head of each state agency to "establish and maintain an active, continuing program for the economical and efficient

management of the records of the agency.” Electronic filing meets these criteria as it is both more economical and more efficient. The case file in many cases, especially rate cases, can reach tens of thousands of pages, including application, supporting testimony and exhibits, data requests and responses, and other communications. Printing the original and preparing ten copies of certain documents is time consuming and expensive. In contrast, once appropriate protocols are established, electronic filing is inexpensive and efficient and, with a few clicks, all documents are automatically available to all parties in the case as well as to Commission Staff. There is no need to have someone tend to the copy machine, while someone else works the binder and yet a third person checks the copies to ensure that there are no missing pages. Furthermore, all parties have automatic access to the documents rather than having to wait for service of process. Economy is improved through the tremendous amount of saved paper and ink, not to mention human time assembling the filings. State government also shares in the savings by not being required to process and store boxes of information. Additionally, the ubiquity of computers and the Internet mean that parties and Commission Staff alike may access case documents virtually anywhere, without needing to transport cumbersome hard copies.

Electronic filing appears to be in compliance with Kentucky law, pursuant to which the issue is a matter of Commission discretion. Each state agency confers with the Kentucky Department of Libraries and Archives (State Archives) to develop records retention and destruction policies. *See, e.g.*, KRS 171.520. State Archives promulgates general rules and regulations governing retention and destruction, *id.*, while individual agency heads ensure that their individual agencies are developing, preserving, and protecting public records. KRS 171.640. State Archives recognizes that some public records may be electronic in nature and has issued its *General Schedule for Electronic and Related Records* for such electronic public records. No paper copy is required for these electronic-only records, which are also called “born digital” records because they never existed in paper form. *See* Kentucky Department of Libraries and Archives, *Policy Memorandum on the Storage of Public Records as Scanned Images*.

The Commission currently recognizes the value of electronic filing, permitting it on a case-by-case basis. The Commission’s Electronic Case Filing System may be used when a utility requests and receives a deviation from the filing requirements of 807 KAR 5:001, Section 8(2). Furthermore, the Commission’s own *Records Retention Schedule*, prepared by State Archives, recognizes certain electronic records, such as the Annual Reports System, the

Case Management System, the Tariff System, and the Utility Management System. Some of these documents are retained permanently by the Commission, while others are retained by the Commission for five years and then transferred to State Archives.

If the Commission wishes to implement an electronic-only case filing system, the federal court system offers a template. The federal courts in Kentucky have used an electronic-only filing system since 2006. *See Joint General Order 06-01* (E.D. Ky. & W.D. Ky. Feb. 8, 2006) (excepting sealed cases); Joint Local Rule 5.4. Parties electronically upload pleadings and other case correspondence into the relevant federal court's Electronic Case Filing system. Other parties to the case are then automatically notified of the filing through electronic mail. This electronic mail constitutes service, and personal service is not required. *See* Joint Local Rule 5.5. Even confidential (or sealed) information may be filed electronically. *See Joint General Order 11-02* (E.D. Ky. & W.D. Ky. July 12, 2011). The confidential documents are filed separately from any motion for confidential protection, which is public. The confidential documents themselves, however, are electronically available only to the court. In this instance, the party seeking confidential treatment must physically serve any other party with the confidential documents.

Should the Commission conclude that some cases may continue to be filed non-electronically, it would be appropriate for the Commission to consider prescribing the number of copies to be filed in different classes of cases, or on a case by case basis. Reduction in the number of paper copies in cases in which they will not be needed would increase efficiency and reduce costs. 807 KAR 5:063, for example, requires only five copies of an application to construct a cellular telecommunications tower. There may be additional types of Commission cases which require fewer than ten copies.

Finally, we note that if a section specifying electronic filing procedures is added to 807 KAR 5:001, language throughout the regulations (such as the requirement of "typewriting" and certain numbers of copies) would have to be amended to conform.

The following is a list of specific suggestions for amending the subject regulations.

**807 KAR 5:001**

Section 1(3): The Commission may wish to substitute “Commission” for “Secretary,” as the current practice is for the Commission itself to set hearings by order.

Section 2: The Commission may wish to substitute “Executive Director” for “Secretary,” as the former is the “chief administrative officer” for the Commission pursuant to KRS 278.100.

Section 3 (3): If electronic filing becomes an option, the requirement of “typewriting” should be deleted.

Section 3(4): The provisions requiring an attorney’s signature if an attorney represents the filing party might be an appropriate place to include the requirement that *only* an attorney (rather than an officer or employee) may represent an organization.

Section 3(8): The Commission should define, by a specified period, how soon a motion to intervene must be filed to be considered “timely.” Thirty (30) days from the filing date of an application, or if notice of the application is published, thirty (30) days from the date of the last publication, or if notice is mailed, thirty (30) days from the date of mailing would be reasonable. Defining “timeliness” would assist both utilities and intervenors by removing vagueness that currently gives rise to unnecessary disputes.

Section 3(8)(a): The provision for “limited” intervention should be deleted. Commission dockets are publicly available on its website for those who wish merely to follow a case, and public comments by non-parties are permitted at hearings. Consequently, there is now little purpose in permitting limited intervention. Moreover, permitting a limited intervenor who has not been served with documents submitted by parties to participate at hearing with the “full rights of a party” is somewhat confusing. Full participation should be premised upon familiarity with the papers filed in the case.

Section 3(8)(b): “Executive Director” should be substituted for “Secretary,” as pleadings are filed with the Executive Director.

Section 4(4): “Executive Director” should be substituted for “Secretary,” as the Executive Director’s office is the point of contact for arranging informal conferences.

Section 4(9): KRS 278.360 now specifies that Commission hearings are to be recorded on videotape unless a party requests otherwise. As the statute prescribes the standards for recording hearings, the current regulatory provision (which requires a stenographic record and now conflicts with the statute) is unnecessary and should probably be deleted rather than amended. *See* KRS 13A.120(2) (prohibiting promulgation of a regulation when, among other things, a statute “prescribes the same or similar procedure” or “sets forth a comprehensive scheme of regulation of the particular matter”).

Section 7(2), (3), (4): The procedure for determining confidentiality of information should be amended to conform to Commission practice. The initial petition is now submitted to the Executive Director, the officer who maintains the Commission’s records pursuant to KRS 278.100, rather than to the Commission, and the Commission itself may be petitioned to review the Executive Director’s decision. There should be two post-decision periods during which the material identified by the petitioner as confidential is not disclosed: after a denial of confidential treatment by the Executive Director, to provide time for petition to the Commission; and after a denial by the Commission, to provide time for petition to the Franklin Circuit Court. The nondisclosure period following a Commission denial of confidential treatment should be extended from twenty (20) to thirty (30) days, as KRS 278.410 provides that a party has a thirty (30) day period after issuance of a Commission order to seek judicial review.

Section 7(8)(c): The requirement that the court reporter produce a sealed transcript of the confidential portion of a hearing should be amended. It conflicts with KRS 278.360, which specifies that Commission hearings are to be recorded on videotape unless a party requests otherwise. The Commission should amend the regulation to recognize that a sealed video recording of that portion of the record directly related to the confidential material should be made.

Section 7(9)(c): As discussed above, there should be a thirty (30) day, rather than a twenty (20) day, period of nondisclosure following an order determining that material will no longer be accorded confidential treatment, as KRS 278.410 provides for a thirty (30) day period to seek judicial review.

Section 9(1)(a): This articles of incorporation reference should be deleted as superfluous. Section 8(3) contains a general requirement that all applications contain a utility’s articles of incorporation unless previously produced, in which case the prior filing may be referenced. The regulation itself recognizes this redundancy by referencing Section 8(3).

Section 10(1)(b)(3): This articles of incorporation reference should be deleted as superfluous. Section 8(3) contains a general requirement that all applications contain a utility's articles of incorporation unless previously produced, in which case the prior filing may be referenced.

Section 10(3)(4)(5): The notice provisions in this, the procedural regulation, should govern, and the notice provisions in 807 KAR 5:011 should be deleted in favor of a cross-reference to this regulation. There are inconsistencies in the requirements of the two regulations. The date for intervention provided by the notice pursuant to Section 10(3)(f) should, however, should be amended to comply with the "timeliness" definition provided in Section 3(8), if the Commission amends that subsection. We recommend that the deadline for a motion to intervene be thirty (30) days from the filing date of an application, or, if notice of the application is published, thirty (30) days from the last date of publication of the notice, or, if notice is mailed, thirty (30) days after the date of mailing.

The Commission may wish to consider whether a single newspaper publication of a rate application, rather than three publications of the same notice, would be more reasonable and cost-effective.

Section 13(1): The requirement that an informal complaint must be made in writing should be deleted, as some informal complaints and inquiries can be handled orally, by telephone, by consumer services personnel at the Commission.

Section 15(2), (3), (4), (5): The dates on these sample forms should be updated from "19\_\_" to "20\_\_."

#### **807 KAR 5:011**

Section 2: The Commission should include explicit procedures for electronic filing of tariffs in this section, and "Executive Director" should be substituted for "Secretary," as tariffs are filed with the Executive Director.

Section 3: This section should be modified to include standards for electronically-filed tariffs.

Section 3(7): "Executive Director" should be substituted for "Secretary."

Administrative Regulations Working Group  
November 15, 2011

Thank you for your consideration of these comments. We look forward to assisting the Commission Staff throughout the amendment process.

Sincerely,

A handwritten signature in cursive script that reads "Lonnie E. Bellar". The signature is written in black ink and is positioned above the printed name.

Lonnie E. Bellar

# **EXHIBIT 2**



# General Schedule for Electronic and Related Records

Records Retention Schedule

Prepared by the State Records Branch  
Public Records Division

Approved by the State Archives and Records Commission



Kentucky Department for  
Libraries and Archives

**RECORDS RETENTION SCHEDULE**

*Signature Page*

General Schedule for Electronic & Related Records  
Agency

June 13, 2002  
Schedule Date

\_\_\_\_\_  
Unit

December 14, 2006  
Change Date

December 14, 2006  
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

*Richard Zeldin*  
\_\_\_\_\_  
State Archivist and Records Administrator  
Director, Public Records Division

December 14, 2006  
Date of Approval

*Wayne Oullet*  
\_\_\_\_\_  
Chairman, State Archives and Records Commission

Dec 14, 2006  
Date of Approval

\*\*\*\*\*

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

*[Signature]*  
\_\_\_\_\_  
Records Analyst/Regional Administrator

12-14-2006  
Date of Approval

*[Signature]*  
\_\_\_\_\_  
Appraisal Archivist

12/14/06  
Date of Approval

*Glen M. Amund*  
\_\_\_\_\_  
State/Local Records Branch Manager

12/14/2006  
Date of Approval

\*\*\*\*\*

The determination as set forth meets with my approval.

*Michael B. [Signature]*  
\_\_\_\_\_  
Auditor of Public Accounts

12-14-06  
Date of Approval

# General Schedule for Electronic and Related Records

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## **General Schedule for Electronic and Related Records**

### **I. Introduction**

A General Schedule is a class of records retention schedules which governs the retention and disposition of specified records common to several or all public agencies. The *General Schedule for Electronic and Related Records* covers the records common to agencies with electronic data processing systems. The schedule, like all records retention schedules, is approved by the State Archives and Records Commission for use by all state and local governmental agencies, in conjunction with their approved agency-specific retention schedules. The explanations and definitions provided below are designed to assist in the implementation of the *General Schedule for Electronic and Related Records*.

The increased use of electronic records raises the question of how government agencies should apply records management standards to electronic records and electronic record-keeping systems. Kentucky law defines public records as "*all books, papers, maps, photographs, cards, tapes, disks, diskettes, recordings, and other documentary materials, regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by a public agency*" (KRS 171.410, Section 1). Electronic records fall under the definition of public records despite the fact they are hardware and software dependent. Records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium in which the records are created and/or stored.

All public employees who develop, use and maintain electronic records and systems should be aware that records scheduling or adherence to existing schedules must be implemented for the electronic records systems used in their agencies. Ideally, records scheduling should be integrated into the development, implementation and management of electronic systems. Records management practices also encourage cost effective use of computer systems with effective scheduling and legal destruction of records. Office personnel should be trained to use this schedule for determining the *minimum* time that records must be kept to satisfy the administrative, fiscal and legal needs of the agency.

**Remember, all state and local government employees are responsible for maintaining the integrity of records whether stored electronically or in hard copy. Information in record-keeping systems must be maintained and accessible, to the appropriate parties, until the all of the legal, fiscal, and administrative retention periods have been met regardless of the medium.**

## II. How to use the General Schedule for Electronic and Related Records

### Schedule format

Each record series listed in the general schedule is presented in the following format:

#### Series number

This number serves as the identification of the individual record series. All entries in the Electronic and Related Records section of the general schedule begin with "E" (i.e. E0001).

#### Records Title

This is the title most commonly used for the record followed by a brief description of the contents and use of the record.

#### Description

A very detailed description of the record series that describes the contents of the record, its use to the agency and any other relevant information about the records series.

#### Contents

The kind of information contained in a single record, or the types of records contained in a group of records that are filed together to make up a single series.

#### Disposition Instructions

The **minimum** length of time the records should be retained by the agency before their disposition can take place and detailed instructions of how to dispose of the record.

### Organization of the General Schedule

The records series are divided into six broader categories based on the function of the records to the agency or possibly even a subdivision within the agency. All of the records in a particular category share a common use and purpose.

1. **GENERAL ADMINISTRATION** -- General Administration includes Electronic Data Processing (EDP) policy development, fiscal and personnel administration, planning, and the coordination of activities within EDP units and between an EDP unit and other parts of an agency. Includes records series **E0012 - E0014**
2. **SYSTEMS AND APPLICATION DEVELOPMENT** -- Systems and application development covers the EDP unit functions related to the development, redesign, modification, procurement, and testing of systems and applications, as well as to maintaining the documentation generated by these processes. Includes records series **E0007, E0015 - E0021**
3. **COMPUTER OPERATIONS AND TECHNICAL SUPPORT** -- Computer operation and technical support covers the EDP unit functions related to operating systems, maintaining hardware and software, system security, data input services, system backup, tape library operations, job and production

control, monitoring system usage, and liaison with hardware and software vendors. Includes records series **E0022 - E0044**

4. **USER/OFFICE AUTOMATION SUPPORT** -- User/Office Automation Support refers to EDP unit functions that provide support to users of a mainframe or office automation, including assisting users to solve software and hardware problems, installing hardware or software, providing training, and the review and recommendation of software for agency use. Includes records series **E0045 - E0048**
5. **NETWORK/DATA COMMUNICATION SERVICES** -- Network and Data Communication Services covers EDP unit functions related to installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and liaison with network providers. Includes records series **E0049 - E0054**
6. **INTERNET SERVICES** -- Internet Services covers records related to providing and monitoring services delivered and received via the Internet. Includes records series **E0055 - E0058**

### **III. Master Files and Website Content Records**

Most of the records in this general schedule are temporary records, common to the day-to-day operation of electronic systems. These records generally relate to the operation and maintenance of the electronic system, not to the programmatic function of the agency. The exception to this are series **E0003 - Master Files** and **E0058 - Website Content Records**. A master file is a record, or group of records, that contain information that an electronic system was designed to create, store, and/or produce. Website content records are the public records that are found on agency websites. These series make up the core records of any electronic system and are unique files that are scheduled as part of the agency's records. Almost all of the other records in this schedule support master files and website content records in some way. These records are usually directly related to the program function of an agency and are scheduled in an agency's records retention schedule separate from this general schedule.

**Always refer to the agency's retention schedule, not this general schedule, before disposing of Master File records.**

### **IV. Further Information**

For more detailed information on file formats see the KDLA Public Records Division's Guidelines on File Formats located at:

<http://www.kdla.ky.gov/recmanagement/tutorial/fileformats.htm>

For further information or explanation of the General Schedule for Electronic and Related Records, or for assistance or advice in handling electronic records please contact the

Kentucky Department for Libraries and Archives,  
Public Records Division  
300 Coffee Tree Road, P.O. Box 537  
Frankfort KY, 40602-0537  
(502)564-8300

Visit our web site at:  
<http://www.ky.gov>

For assistance with general records management and records scheduling contact:

State Records Branch  
Jim Cundy, branch manager  
[jim.cundy@ky.gov](mailto:jim.cundy@ky.gov)  
(502)564-8300 ext. 237

Local Records Branch  
Jerry Carlton, branch manager  
[jerry.carlton@ky.gov](mailto:jerry.carlton@ky.gov)  
(502)564-8300 ext. 255

For assistance with electronic records issues contact:

Technology Analysis and Support Branch  
Glen Mcaninch, branch manager  
[glen.mcaninch@ky.gov](mailto:glen.mcaninch@ky.gov)  
(502)564-8300 ext. 242

or

Audrey Terry, electronic records specialist  
[audrey.terry@ky.gov](mailto:audrey.terry@ky.gov)  
(502)564-8300 ext. 247

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

Schedule date: 06/01/2002

**General Schedule for State Agencies - Electronic and Related Records**

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Series	Records Title	Description	Contents	Disposition Instructions
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**Master Files**

<b>E0003</b>	Master Files (including Master Files that are components of Database Management Systems)	This series consists of organized and consistent sets of information found within a computer file. This information could be the text of a word processing document, the individual data elements found within a database, the data contained in a spreadsheet, or the graphical images on a website. These records could replace, in whole or in part, hard copy administrative records scheduled for disposal under a State Archives and Records Commission-approved schedule. (e.g., if an agency began creating or receiving electronic reports that had previously been created in paper.) Master files could also consist of the same information that is contained in all or portions of the disposable record(s) it replaces or duplicates. (i.e., if an agency is imaging paper records) The same retention period and disposal instructions apply to the electronic master file that applied to the previous paper record. Check the Commission-approved schedule to determine the retention period for the master file. Which media version of the records (paper or electronic) an agency should retain depends on a variety of factors such as cost, any potential legal requirements/restrictions, frequency of reference, and the total retention period of the records in question.	These records could consist of the text of a word processing document, the data elements found within a database, or the graphical images on a website.	Delete after the expiration of the retention period authorized in a State Archives and Records Commission-approved schedule for the disposable hard copy file or when no longer needed, whichever is later. Which media version of the records (paper or electronic) an agency should retain depends on a variety of factors such as cost, any potential legal requirements/restrictions, frequency of reference, and the total retention period of the records in question.
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# General Schedule for State Agencies - Electronic and Related Records

Series	Records Title	Description	Contents	Disposition Instructions
<b>E0059</b>	Electronic Messages	This series encompasses any communication using an electronic messaging system for the conduct of agency business. Electronic messaging systems manage and facilitate the sending and receiving of electronic messages with associated attachments and may also allow for calendaring and scheduling of appointments. These systems have become an increasingly important and common communication tool for public agencies. Unified messaging systems allow for a common user in-box for email, voicemail, and text messages allowing users to manage all three from a single point. Use of mobile technologies such as RIM's BlackBerry, Personal Digital Assistants (PDA), and web-enabled cell phones enable users to access messages outside of the office setting. Electronic messaging systems such as listserv allow for broad distribution of messages sent to a single address to multiple recipients. With the ability to attach files to electronic messages, electronic messaging systems have transitioned from simple messaging systems to repositories of public records. Most electronic messages have very limited value and can be deleted immediately upon receipt, but some document agency functions and provide evidence of agency business. The dynamic and often informal nature of electronic messages, coupled with the ease with which electronic messages can be sent and received, can lead to personal and other non-business related messages being mixed with business related messages. Electronic messages should be managed and retained in a manner that protects the integrity of the records and allows for the efficient management of the records over the prescribed retention period.	Electronic messages are any message sent or received by an electronic messaging system. Electronic messages may be in the form of electronic mail (email); text messages (such as on a BlackBerry or other portable device); voicemail messages (in a voicemail box on a phone, or as an audio file in a unified messaging environment); or faxed messages (faxes are electronically transmitted with a paper output, or may be maintained electronically as an electronic fax.) In addition to the body of the message, text-based messaging systems (email, text messages, faxes and voicemail through a unified system) contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. Email messages may also include attached files.	Electronic messaging systems are a form of communication. The messages found in these systems can be any type of record. Identify what type of record the message is and delete after the expiration of the retention period authorized in an approved records retention schedule.
<b>1. General Administration</b>				
<b>E0012</b>	Data Processing Unit Subject Files	Correspondence, memoranda, reports, publications, and related records used to support the administration of agency data processing services. These records may exist in either paper or electronic form. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. EXCLUDING system documentation, this series is covered separately (See items E0016, E0017, E0019, and/or E0023)	Correspondence, memoranda, reports, publications, and related records.	Delete/Destroy when obsolete or superseded. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation and source code in an accessible format. This is particularly crucial if the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.
<b>E0014</b>	Data Processing Policies	Records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership. These records may exist in either paper or electronic form.	Records covering access and security, systems development, data retention and disposition, and data ownership.	Destroy 3 years after policy is withdrawn, revised, updated, or superseded.

# General Schedule for State Agencies - Electronic and Related Records

Series	Records Title	Description	Contents	Disposition Instructions
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## 2. Systems and Application Development

**E0021** Test Database/Files Routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system. Routine or benchmark data sets, related documentation, and test results. Destroy when no longer needed but not before user acceptance is documented and retained 3 years for audit requirements, and management reviews and approves test results.

**E0007** Technical Reformat File This series consists of electronic files consisting of data copied from a master file or database for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the State Archives. COM (Computer Output Microfilm), COLD (Computer Output Laser Disk), Digital to microfilm conversion. Delete when no longer needed

**E0015** Application Development Project Files Records created and used in the development, redesign, or modification of an automated system or application. These may include project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence. These records may exist in paper or electronic form. Note: In some circumstances, agencies may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see items E0016 and E0017). Project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence. Records Not Covered: System or application documentation (see items E0016 and E00177) Delete/Destroy 3 years after system is no longer in use. Note: In some circumstances, agencies may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see items E0016 and E0017).

**E0016** Data Systems Specifications User and operational documentation describing how an application system operates from a functional user and data processing point of view. May include records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. These records may exist in paper or electronic form. Records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. Records Not Covered: Data documentation and other records used to explain the meaning, purpose, or origin of data (see item E0017). Destroy 3 years after discontinuance of system or application but not before system's or application's data is destroyed or transferred to a new structure or format. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.

# General Schedule for State Agencies - Electronic and Related Records

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Series	Records Title	Description	Contents	Disposition Instructions
E0017	Data Documentation	<p>These records generally created during development or modification and are necessary to access, retrieve, manipulate and interpret data in an automated system. May include data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. These records may exist in paper or electronic form. These records are essential for managing electronic records in agency automated information systems and have value as long as the data/electronic records are retained. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.</p> <p>Application design documentation and user's guides covered by item E0016 may also serve to explain how data was interpreted and used.</p>	<p>Data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.</p>	<p>Destroy 3 years after discontinuance of system or application but not before system's or application's data is destroyed or transferred to a new structure or format. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.</p>
E0018	Special Purpose Programs/Source Code	<p>These records consist of the application software or the automated program code which generates the machine-language instructions used to maintain a master file or database or operate an automated information system. Note: This item coincides with item E0027, System Backup Files. It assumes that the files are maintained (backed-up) and disposed in accordance with accepted data processing practice; i.e., that 3 generations of backups be retained (see item E0027).</p>		<p>Delete when related master file, database, or application is no longer in use and has been deleted, but not before audit requirements have been met. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation/source code in an accessible format. This is particularly crucial if the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.</p>
E0019	Technical Program Documentation	<p>These are the paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs. These records are used for reference, backup, system audits, to insure adequacy of change documentation, or to rectify errors in program implementation.</p>	<p>Paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.</p>	<p>Destroy 3 years after replacement, modification, or related programs cease to be used. Note: Agencies may consider retaining documentation for critical systems for a longer period.</p>

# General Schedule for State Agencies - Electronic and Related Records

E-5

Series	Records Title	Description	Contents	Disposition Instructions
<b>3. Computer Operation and Technical Support</b>				
<b>E0022</b>	Data Processing Operating Procedures	This series consists of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation. They may exist in either paper or electronic form and should be disseminated to all employees that are required to operate the data processing system.	Procedures manual(s) for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation.	Destroy 3 years after procedure is withdrawn, revised, updated, or superseded.
<b>E0023</b>	Data Processing Hardware Documentation	This series consists of records documenting the use, operation, and maintenance of an agency's data processing equipment. These records may be in either paper or electronic form and may include any and all operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	Includes operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	Destroy after the agency no longer uses related hardware and all data is transferred to and made useable in new hardware environment. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. Note: Routine records that do not contain substantial information on the maintenance history or equipment should be destroyed on an annual basis.
<b>E0024</b>	Maintenance Contracts Files	This series is made up of maintenance contracts for data processing equipment, and related records including copies of contracts, service histories, and work orders. These records may exist in paper or electronic form.	Maintenance contracts for data processing equipment, copies of contracts, service histories, and work orders.	Destroy record copy 3 years after expiration of contract or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference. Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them.
<b>E0025</b>	Operating System and Hardware Conversion Plans	These records deal with the replacement of equipment or computer operating systems due to hardware/software obsolescence or maintenance and should be part of regular migration/conversion schedule built into the design of the system. These records may exist in either paper or electronic form.		Destroy 1 year after successful conversion.

# General Schedule for State Agencies - Electronic and Related Records

Series	Records Title	Description	Contents	Disposition Instructions
<b>E0026</b>	Disaster Preparedness and Recovery Plans	This series consist of records related to the protection and reestablishment of data processing services and equipment in case of a disaster. These records may exist in either paper or electronic form. They should be backed-up or copies made, with some copies stored off-site in secure location. The plans should be updated on a regular basis and all personnel should be trained in the procedure for implementation of the plans.	Disaster recovery manuals, Business continuity plans, inventories, procedure plans, contact lists.	Destroy after 3 years after superseded by revised plan and after audit requirement is met. Note: Agencies should store disaster preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.
<b>E0027</b>	System Backup Files	This series consists of copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction. These backups are usually done on a regular basis and are not intended for recordkeeping purposes. Some backup media should be stored off-site in a secure location. Backups used to document transactions or retained for purposes other than system security should be scheduled separately by the responsible program unit. Note: It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.	Copies of master files or databases, application software, logs, directories, and other records	Destroy after 3 system backup cycles.
<b>E0028</b>	System Users Access Records	This series consists of electronic or textual records created to control or monitor individual access to a system and its data. These records are primarily created for security purposes, although some records, particularly user account records, are needed for data processing or fiscal audits. These records may include user account records, security logs, and password files. Computer Usage Records (item E0029) may also serve some security purposes. (Related records E0029, E0030, E0034, E0036, E0052, E0053, E0055, E0056)	May include user account records, security logs, and password files.	Destroy 1 year after the individual no longer has access to the system but not before audit requirements for the records modified by that individual have been met.
<b>E0029</b>	Computer Usage Files	Electronic files or automated logs created to monitor computer system usage. Records in this series may include log-in files, system usage files, charge-back files, data entry logs, and records of individual computer program usage. These records may be needed for summary reports, charge-back billing, system audits, or may be related to other purposes such as system security or evaluation of overall system performance (Related records, E0028, E0030 - Network usage E0052, E0053 - Internet usage E0055, E0056).	Log-in files, system usage files, charge-back files, data entry logs, and records of individual computer program usage. Records Not Covered: Security logs and related records (see item E0028).	Destroy after no longer needed, but not before all audit or legal requirements for the record have been met.
<b>E0030</b>	Summary Computer Usage Reports	Summary reports and other paper records created to document computer usage for reporting or cost recovery purposes. These records may complement records needed for reporting, reference, charge-back billing, system audits, system security, or other purposes (Related records E0028, E0029, E0034, E0036, E0052, E0053, E0055, E0056)		Destroy after no longer needed, but not before all audit or legal requirements for the record have been met.

# General Schedule for State Agencies - Electronic and Related Records

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Series	Records Title	Description	Contents	Disposition Instructions
<b>E0031</b>	Computer Run Scheduling Records	This series is used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run. Scheduling records for the current fiscal year may be needed for audits. Information on runs may also be retained in internal system logs, which should be retained with system backup covered by item E0027 and computer usage records covered by item E0030.	Daily schedules, run reports, run requests and other records documenting the successful completion of a run.	Destroy after current fiscal year.
<b>E0032</b>	Input/Source Documents	This series consists of electronic and paper documents and/or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as needed for signatures) and not previously scheduled for retention in an approved agency records retention schedule. May also include electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency. Input records retained for fiscal audit or legal purposes, or, containing information needed by a program unit, should be scheduled by the responsible program unit. Input records that document valid transactions are covered by item E0034. Input records which serve a fiscal audit purpose may be covered by items in the Fiscal Operations records section of this schedule.	Electronic or paper files or records that may contain uncalibrated and unvalidated data, documents to be reformatted into electronic media.	Delete/Destroy when data have been entered into the master file database and verified, or when no longer required to support reconstruction of, or serve as backup to master file or database, whichever is later, but not before audit requirements are met.
<b>E0033</b>	Work/Intermediate Files	Records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, manipulate, or sort data within an automated system when all transactions are captured in a master file, central file, valid transaction file, or database, and the file is not retained to provide an audit trail. Records Not Covered: Intermediate files retained to document valid transactions, to serve as an audit trail, or needed for system recovery backup.	Batch updates to a database that require user approval before data is altered.	Destroy after the transaction is completed.
<b>E0034</b>	Valid Transaction Files	Records used to update and/or document a transaction in database or master file. Valid transaction records are retained to create an audit trail for a master file/database and can be used to recreate a database/master file or document changes in a master file/database for legal admissibility purposes. These records may include valid transaction files, DBMS log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes. Records used to document a program unit's actions (e.g., receipt of a voucher, issuance of a check), as opposed to a strictly data processing transaction, or needed for fiscal audit or legal purposes, should be separately scheduled by the responsible program unit. (Related record E0036)	Valid transaction files, DBMS log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes.	Destroy after 3 database/master file backup cycles.

# General Schedule for State Agencies - Electronic and Related Records

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Series	Records Title	Description	Contents	Disposition Instructions
E0035	Print Files (Not Used to Document a Transaction)	Source output data extracted from the system to produce hard copy publications, printouts of tabulations, ledgers, registers, reports, or other documents when the files are not needed for audit purposes or to document program unit transactions. Print files needed for fiscal audits or retained to document transactions should be separately scheduled by the responsible program unit. For summarized or extracted data files, see E0038. For files used as a means by which data could be reformatted to another medium to meet storage requirements, see E0007.	Hard copy publications, printouts of tabulations, ledgers, registers, reports	Destroy after all print runs are completed, output verified (if required), and agency has no need to reproduce the report.
E0036	Audit Trail Files	Audit trail files consist of data generated during the creation of a master file or database used to validate a master file or database during a processing cycle. Audit files are retained to create a management audit trail for and to ensure the quality of data (quality control). They can aid in recreating or documenting changes in a master file or database for legal admissibility or other purposes by validating the that the system is operating as it is designed to (authentication). Combined with item E0034, audit trail files may also be used to document that a transaction has taken place, recording date, time, user, etc... (business tracking/verification)	Examples of database fields that might be used as an audit trail include: Date Stamp, Time Stamp, User's ID, Account # accessed, item that was changed (before and after)	Destroy after no longer needed, but not before all audit or legal requirements for the record have been met.
E0038	Summary or Extracted Data Files	This series consists of reports that contain summarized or aggregated information created by combining data elements or individual observations, or extracting files from a single master file or database that is disposable under a KDLA general schedule item or is authorized for deletion by a disposition job approved by KDLA after January 1, 1988, EXCLUDING data files that are: a) created as disclosure-free files to allow public access to the data, or b) created from a master file or database that is unscheduled, or was scheduled as permanent but no longer exists, or can no longer be accessed; c) created by an extraction process which changes the informational content of the source master file or database, which may not be destroyed before securing KDLA approval. (For print and technical reformat files see E0035 and E0007)	Statistical reports, monthly reports, extracted reports.	Delete/Destroy when no longer needed for current business.

# General Schedule for State Agencies - Electronic and Related Records

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Series	Records Title	Description	Contents	Disposition Instructions
E0039	Finding Aids (Indexes) or Tracking Systems	This record consists of electronic indexes, lists, registers and other finding aids used only to provide access to records authorized for destruction by this general schedule or a KDLA-approved schedule. EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. Finding aids and tracking systems of program units other than data processing units should be scheduled by the responsible program unit in conjunction with the related program records. Tracking systems used for audit purposes are scheduled under item E0034, and E0036)	Electronic indexes, lists, registers, and other finding aids. Databases associated with imaging/document management systems.	Destroy after the related hard copy or electronic records have been destroyed. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.
E0040	Automated Tape Library System Files	This series consists of automated records used to control the location, maintenance, and disposition of magnetic media in a tape library.		Destroy after related records or media are destroyed or withdrawn from the tape library.
E0042	Tape Library Control Records	This series consists of records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. These records may exist in paper or electronic form. (Related record E0036)	Reports on the destruction of files, list of holdings and control logs.	Destroy after superseded.
E0044	Data/Database Dictionary Reports	This series consists of periodic printouts from a data/database dictionary system. It includes data element attribute reports, database schema, and related records used for reference purposes. The official copy of essential data documentation is covered by either item E0017 or E0043	Includes data element attribute reports, database schema, and related records.	Destroy when superseded or no longer used by agency, but not before audit requirements are met.

# General Schedule for State Agencies - Electronic and Related Records

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## Disposition Instructions

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## Series Records Title Description

### 4. User/Office Automation Support

Series	Records Title	Description	Contents	Disposition Instructions
<b>E0045</b>	Site/Equipment Support Files	This series consists of records documenting support services provided to specific data processing equipment or installations. These include site visit reports, program and equipment service reports, service histories, and correspondence and memoranda that document the day-to-day maintenance of the system equipment. These records may exist in paper or electronic form. (Related record E0047, E0049, E0050, E0051)	Site visit reports, program and equipment service reports, service histories, maintenance logs, and correspondence and memoranda.	Destroy site visit reports, problem and equipment service reports, and routine correspondence and memoranda 3 years after creation. Destroy service histories and other summary records after the related equipment is no longer in use.

<b>E0046</b>	Help Desk Telephone Logs and Reports	This series consists of records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes. These records are needed to monitor user problems and equipment use, to compile monthly and annual statistics, and for reference for planning, management analysis, and other administrative purposes. These records may exist in paper or electronic form. (Related record E0046)		Destroy 1 year after creation.
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<b>E0047</b>	Training Course Information	This series consists of memoranda, flyers, catalogues, registration forms, rosters, and other records relating to training courses run by a data processing user support or office automation support unit.	Memoranda, flyers, catalogues, registration forms, rosters, and other records.	Destroy when superseded or obsolete, but retain summary schedule documenting training provided to users until audit requirements are met.
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<b>E0048</b>	Software Review Files	This series consists of records related to the review and recommendations for software for agency use. These records include vendor information, manuals, software reviews, and related material.	Includes vendor information, manuals, software reviews, and related material.	Destroy after software is no longer used by agency, but not before audit requirements are met.
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# General Schedule for State Agencies - Electronic and Related Records

## Disposition Instructions

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## Series Records Title Description

### 5. Network/Data Communication Services

Series	Records Title	Description	Contents	Disposition Instructions
<b>E0049</b>	Network Site/Equipment Support Files	This series consists of records documenting support services provided to specific sites and computer to computer interfaces on a network. They may include site visit reports, trouble reports, service histories, and correspondence and memoranda. (Related record E0045, E0050, E0051)	Includes site visit reports, trouble reports, service histories, and correspondence and memoranda.	Destroy site visit reports, trouble reports, and routine correspondence 3 years after creation. Destroy service histories and other summary records after the related equipment or site is no longer in use. Note: Routine records that do not contain substantial information on the maintenance history or site can be weeded and destroyed on an annual basis.
<b>E0050</b>	Inventories of Circuits, Network Connections (Hubs)	This series consists of automated or paper records containing information on network circuits used by the agency. They may include items such as circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit. (Related record E0045, E0050, E0051)	Includes circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit.	Destroy after the circuit is no longer used by agency.
<b>E0051</b>	Network or Circuit Installation and Service Files	This series consists of copies of requests by agencies to GOT or service provider for data communication service, installation, or repair and response to the request. They may include items such as work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and copies of fiscal documents. (Related record E0045, E0050)	Includes work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and copies of fiscal documents.	Destroy 1 year after request is filled or repairs are made. Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them.
<b>E0052</b>	Network Usage Files	This series consists of electronic files or automated logs created to monitor network usage. These records may be needed for summary reports, system audits, system security, or other purposes. (Related records E0028, E0029, E0030, E0034, E0036, E0053, E0055, E0056)	May include log-in files and system usage files.	Retain until no longer needed, but not before any appropriate review and verification.
<b>E0053</b>	Network Usage Reports	This series consists of summary reports and other records created to document computer usage for reporting or other purposes. These records may be needed for reporting, reference, charge-back billing, system audits, system security, evaluation of system performance, or other purposes. These records may exist in paper or electronic form. (Related records E0028, E0029, E0030, E0034, E0036, E0052, E0055, E0056)		Destroy 1 fiscal year after creation, but not before audit requirements are met.
<b>E0054</b>	Network Implementation Project Files	This series consists of an agencies' records used to plan and implement a network and may include reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams.	Includes reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams.	Destroy after superseded, but not before audit requirements are met.

# General Schedule for State Agencies - Electronic and Related Records

## Disposition Instructions

## Contents

## Series Records Title Description

### 6. Internet Services

**E0055** Agency Internet Services Logs  
 This series consists of electronic files or automated logs created to monitor access and use of agency services provided via the Internet. These records may include services provided via an agency gopher site, FTP (file transfer protocol), or World Wide Web site, or via agency Telnet services. This series may be needed to document services provided by the agency and access/use of these services by its customers. Records may be used for summary reports, system audits, system security, or other purposes. (Related records E0028, E0029, E0030, E0034, E0036, E0052, E0053, E0056)

Destroy after no longer needed, but not before audit or legal requirements for the record have been met.

**E0056** Employee Internet Use Logs  
 This series consists of electronic files or automated logs created to monitor and control use of the Internet by agency employees. These records may include services provided via an agency gopher site, FTP (file transfer protocol), or World Wide Web site, or via agency Telnet services. This series may be needed to document services provided by the agency and access/use of these services by its customers. Records may be used for summary reports, system audits, system security, or other purposes. (Related records E0028, E0029, E0030, E0034, E0036, E0052, E0053, E0055)

Retain until no longer useful, but not before any appropriate review and verification.

**E0057** Website Content Records  
 This series represents any content on an agency's website that meets the statutory definition of a record [KRS 171.410 (1)], or records that may be generated when a user interacts with the website. Agency websites provide access to records that document an agency's duties and activities. In some cases agencies may be conducting business transactions or providing services to the public through its website. For a growing number of agencies, the website may be the primary point of access to agency records for the general public and agency personnel. Websites may be static with content added and removed on a regular schedule or they may be interactive and dynamic where content is pulled together at the user's request from data in agency databases. Some agency websites are relatively simple collections of the work of the entire agency, or they may be complex with each divisional unit in the agency maintaining a unique collection of pages. Agencies should analyze their websites and determine if the records found on the site are scheduled or a schedule needs to be created for the records. Some websites could contain vital records, especially those sites providing services through the site. Some websites may contain restricted information that is password protected or requires some form of registration to access the site. Agencies need to conduct a risk assessment to determine the level of recordkeeping and security required for website content.

Delete duplicate copies of records when no longer needed by the agency. Delete official copies after the retention period authorized in a State Archives and Records Commission-approved records retention schedule. Agencies that maintain permanent records on their sites should contact KDLA if the records are taken offline.

May contain a variety of records in several formats (text, data, digital image, audio, or video files). Records commonly found on agency websites include: publications (M0007), meeting minutes (M0008), annual reports (M0022), photos (M0047), press releases (M0045), maps, organizational charts (M0011), policies and procedures (M0003), and mission statements (M0014). Websites may also serve as access points for data in agency databases (E0003-Master Files). Agencies need to analyze the content of their websites and inventory the records that are found on the site.

# General Schedule for State Agencies - Electronic and Related Records

E- 13

Series	Records Title	Description	Contents	Disposition Instructions
E0058	Website Format and Control Records	<p>This series represents the applications automated files, commands and scripts that assist in the creation, design, and operation of a website. Agencies may use a state approved Content Management System (CMS) to control placement of content on a site, update frequency, track version control of individual pages, and manage removal of content. Agencies commonly use a standard template or style sheets to provide background layout and information that ensure uniformity of the "look and feel" of all of the pages on a site. Some websites serve as the main access point to data in agency databases and therefore use specialized applications and commands to pull and arrange that data on command. This series also includes the records that assist in controlling and tracking access to websites and the corresponding content on the site.</p>	<p>This series may include: style sheets; templates; XML schema or DTD's; dynamically rendered content such as Cold Fusion (.cfm) files, Hypertext Preprocessor (.php) files, Server Side Inclusions (.shtml), and Active Server Page (.asp) files; specialized scripts embedded in HTML pages (such as javascript); Common Gateway Interface (CGI); Structured Query Language (SQL).</p>	<p>Maintain until related website content file, database, or application is no longer in use or has been superseded, but not before any administrative, legal, or audit requirements have been met. Note: In some cases agencies will retain data for extended periods, sometimes offline. It is essential that they retain related applications and code in an accessible format. This is particularly crucial when the related website content web related records are transferred to the State Archives Center, it is essential that they be accompanied by the appropriate applications, templates, and controls that allow for an accurate rendering of the content. See the appropriate transfer requirements for more instruction.</p>

# **EXHIBIT 3**



# Public Service Commission

Records Retention Schedule

Prepared by the State Records Branch  
Public Records Division

Approved by the State Archives and Records Commission



Kentucky Department for  
Libraries and Archives

This records retention schedule governs retention and disposal of records created, used and maintained by the Public Service Commission. Government records in Kentucky can only be disposed of with the approval of the State Archives and Records Commission (the Commission). This agency-specific schedule was drafted by Public Service Commission personnel and Public Records Division (PRD) staff, and reviewed and approved by the Commission. This schedule provides the legal authority for Public Service Commission to destroy the records listed, after the appropriate retention periods have passed.

Public Service Commission personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for the Public Service Commission.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

**All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.**

This retention schedule covers the content of records created by the Public Service Commission, including records created or stored using computers and computer systems. The *General Schedule for Electronic and Related Records* applies to records related to computers or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

#### **Audits and Legal Action**

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

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

### **Vital Records**

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

### **Confidential Records**

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

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

### **Copies of Records**

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

### **Updating the Retention Schedule**

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

## **Public Service Commission**

The Public Service Commission is an independent agency that is attached, for administrative purposes only, to the Energy and Environment Cabinet. The Commission is charged with regulating the intrastate rates and services of over one thousand five hundred (1,500) utility companies regarding gas, water, sewer, electric and telecommunications. It does not regulate utilities subject to the control of cities, political subdivisions or those served by the Tennessee Valley Authority. The Public Service Commission is governed by KRS Chapter 278.

The Public Service Commission was established in 1934 by the General Assembly. In 1980, Executive Order 80-1010 was enacted by the General Assembly and was ratified by the 1982 General Assembly. It established structure, Commission members and a Director to be appointed by Governor.

The mission of the Public Service Commission is to ensure that utilities charge fair, just and reasonable rates for the services provided and that those services are adequate, efficient, safe and reliable.

RECORDS RETENTION SCHEDULE

Signature Page

Public Service Commission  
Agency

June 10, 2010  
Schedule Date

Unit

Change Date

June 20, 2010  
Date Approved By Commission

\*\*\*\*\*

APPROVALS

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

*Danith Armstrong*  
Agency Head

*6/15/2010*  
Date of Approval

*Beneé C. Smith*  
Agency Records Officer

*6/15/2010*  
Date of Approval

*Barbara Toopie*  
State Archivist and Records Administrator  
Director, Public Records Division

*6/10/2010*  
Date of Approval

*Wayne Onkst*  
Chairman, State Archives and Records Commission

*6/10/2010*  
Date of Approval

\*\*\*\*\*

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

*Pam Compton*  
Records Analyst/Regional Administrator

*06/10/2010*  
Date of Approval

*Jim Jupp*  
Appraisal Archivist

*6/10/10*  
Date of Approval

*[Signature]*  
State/Local Records Branch Manager

*6/10/10*  
Date of Approval

\*\*\*\*\*

The determination as set forth meets with my approval.

*Bob OnBeath*  
Auditor of Public Accounts

*6.10.10*  
Date of Approval

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

Schedule Date: June 10, 2010

**STATE AGENCY RECORDS  
 RETENTION SCHEDULE**

Energy and Environment Cabinet  
 Public Service Commission

Record Group  
 Number  
 2440

Series and Description	Records Title	Function and Use
00950	Cross Index File	CLOSED: Series is no longer created and therefore obsolete. This series was used to locate cases by number, county, and company
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently in Agency
00954	Case Records (Documentary history of facts of cases)	This series documents the history of cases filed with the Kentucky Public Service Commission by regulated utilities as well as administrative cases opened by the Commission. These documents preserve the actions taken during the course of any case. In the event a hearing is held, a recording is made pursuant to the provisions of KRS 278.360 and becomes part of the case record.
	Access Restrictions	None
	Contents	Series may include: applications, orders, exhibits, testimonies, notices, information requests, correspondence and pleadings and if applicable, the recording of hearing.
	Retention and Disposition	Retain in Agency five (5) years after closure of case and transfer to State Archives Center for permanent retention.
03450	Staff Coordination Sheets	This series is used to route orders of case files to the appropriate staff of the Public Service Commission. Orders are official findings or opinions of the Public Service Commission that may be either those which show final disposition of a case or which are procedural in nature, such as those setting hearing times and dates, requests for additional information, or dismissals. Any suggestions made by the staff concerning the orders are documented on this sheet.
	Access Restrictions	None
	Contents	Case Number; Order Due; Case Style; Order Drawn By; Team Leader; Date; First Circulation; Remarks; Second Circulation; Staff Approval
	Retention and Disposition	Retain in Agency one (1) month and destroy
03451	Records of Commission Proceedings Involving Non-Case Matters	This series documents preliminary meetings and events, including all meetings at the Public Service Commission office with utilities, companies, or organizations for various purposes and also public meetings and special events. These records are designed to monitor and maintain the integrity of ethics within the agency.
	Access Restrictions	None
	Contents	Series may include: Preliminary Guidance Report that lists any pending cases and sets boundaries of what is appropriate and inappropriate for discussion during the meeting; attendees' sign-in sheet; post-meeting summary.
	Retention and Disposition	Retain in Agency ten (10) years.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet  
Public Service Commission

Record Group  
Number  
2440

## Records Title Series and Description Function and Use

03490	Hearing Schedule (CMS Printout)	This series documents information regarding upcoming hearings at the Public Service Commission. It is used by staff for scheduling purposes and to populate the Public Service Commission web-site calendar.
Access Restrictions		None
Contents		Series may include: Date; Time; Case Number; Utility Name; Location; Hearing Officer and Reporter Information
Retention and Disposition		Retain in Agency one (1) month and destroy
06046	Tariffs (V)	This series documents all utility tariff filings with the Public Service Commission which shall be approved by the Commission. Pursuant to KRS Chapter 278 and 807 KAR 5:011, all utilities shall file copies of all tariffs stating rates, charges, tolls, and maps and/or plats of the service area with the Public Service Commission and are required to maintain a copy for public inspection in its offices and places of business. If a utility provider offers more than one service, a separate tariff must be filed for each type of service. The Public Service Commission staff review utility tariffs to ensure compliance and deal with complaints filed against an utility provider.
Access Restrictions		None
Contents		Series may include: Tariff rate and class of service; charges; tolls; maps and/or plats of service area; type of utility being provided (i.e., water, electricity, telephone, gas, etc.); name and location of principal office; general statement re service offered and area of service; Date of issue and date tariff is effective; signatures of authority issuing tariff; copy of rules and regulations, including special rules, if applicable; Franchise Agreements; delayed payment charge (penalty or discount); terms of contracts, if applicable.
Retention and Disposition		Retain in Agency permanently.
06047	Utility Contracts	This series documents legally binding agreements entered into by utilities with other utilities, business entities, service areas, governmental entities or individual customers. The series provides information which is useful in case studies and serves as a general collection place for otherwise ungathered utility data.
Access Restrictions		None
Contents		Series may include: Legal agreements between utilities and other business entities including Coal Contract Orders and Purchase Orders; Barge and Rail Coal Transportation Contracts; and supporting documentation related to contracts.
Retention and Disposition		Retain in Agency and destroy five (5) years after completion, termination or expiration.
06048	Access Log to Confidential Information	This series documents the sign-in log regarding information submitted to the Public Service Commission per requirements of KRS Chapter 278 and are of a confidential and sensitive nature regarding commercial practices. The confidential log tracks the requests of Public Service Commission employees to view the confidential records and the approvals and denials to access the records. The information is used by Public Service Commission staff for case work and to ensure compliance with KRS Chapter 278, is kept in a secure and locked vault with limited access. The information would also provide unfair commercial advantage to competitors of the entity and/or may contain personal information that are exempt from public inspection pursuant to KRS 61.878 and 807 KAR 5:001 Section 7.
Access Restrictions		KRS 61.878 (1) (a); KRS 61.878 (1) (c) (1) (2); 807 KAR 5:001 Section 7
Contents		Series may contain: Date, time and employee accessing vault; name of company records; date and time returned.
Retention and Disposition		Retain in Agency permanently.
06050	Utility Inspection Reports	This series documents information about utilities gathered by field inspectors from the Engineering Division of the Public Service Commission. Periodic inspections are done of jurisdictional water, sewer, gas, telecom and electric utilities in order to monitor such things as recordkeeping, storage, meter testing, construction, and safety programs pursuant to KRS Chapter 278. Any deficiencies are reported to the utility which must respond by explaining why the deficiency occurred, an action plan to correct the deficiency, and how it will be prevented in the future.
Access Restrictions		None
Contents		Series may include: Inspection checklists; utility inspection reports; deficiency tracking reports; correspondence re the inspections.
Retention and Disposition		Retain in Agency and destroy eight (8) years from date of inspection or date of compliance, if deficiencies are noted.

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Energy and Environment Cabinet  
Public Service Commission

Record Group  
Number  
2440

Series	Records Title and Description	Function and Use
06051	Utility Financial Reports	This series documents: (1) The financial and statistical reports required by KRS Chapter 278 and 807 KAR 5:006, Section 3. These reports are submitted by the utility and used by the Public Service Commission for monitoring purposes. The financial and statistical reports shall be filed on or before March 31, each year, for the preceding calendar year and (2) Audit Financial Reports, pursuant to provisions of KRS 278.2211, and compiled by the Public Service Commission as a result of an investigation of a utility and affiliate to ensure compliance with KRS 278.010 to 278.450. This report documents a utility's violation of statutes, regulations, Commission Orders, tariffs and accounting principles.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may include: Financial information submitted by a utility or as a result of an audit and includes but is not limited to gross operating revenue, Financial Records, including but not limited to annual financial and statistical reports; monthly reports; water district audit reports mandated by KRS 65.065 and KRS 65.065(2) and (5); monthly environmental surcharges; annual filings for holding companies; financial audit reports and inspections, including supporting documentation; and Monthly Fuel Adjustment Charge Reports (FACS).
	<b>Retention and Disposition</b>	Retain in Agency permanently.
06053	Quarterly Meter Reports	This series documents the reports of water, gas and electric utility companies be submitted to the Public Service Commission no later than end of each quarter of each year pursuant to 807 KAR 5:006, Section 3. These reports identifies the total number of meters for residential, commercial and industrial customers, the number of meters tested by the utility, test results and billing and refund information.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may include: Name of utility company, quarter test period, breakdown of whether residential, commercial or industrial meter and number of meters tested; test reports; billing and refund information
	<b>Retention and Disposition</b>	Retain in Agency and destroy eight (8) years from date submitted.
06054	Third Party Management Audits	This series documents the audit reports ordered by the Kentucky Public Service Commission as set forth in 807 KAR 5:013 as it relates to KRS 278.040 and 278.255. An independent firm conducts an examination, inspection, evaluation and inspection of records, administrative regulations, policies, objectives, goals, plans, practices, methods or other criteria utilized by management of a utility to conduct its business and may include appropriated recommendations for improved management and operation techniques. The utility then creates a Management Audit Action Plan (MAAP). The utility submits progress reports and the Public Service Commission staff responds to these reports per the scheduled period of time.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may include: Final Audit Report by independent firm, name and address of firm conducting report, date of preparation, Management Audit Action Plan (MAAP), progress reports and correspondence.
	<b>Retention and Disposition</b>	Retain in Agency the Final Audit Report and Management Audit Action Plan (MAAP) permanently and destroy the progress reports and any accompanying correspondence eight (8) years from date of receipt of final report.
06055	Interconnection Agreement	This series documents the legally binding agreements between telecommunication utilities describing the physical linking of networks for the exchange of telecommunication traffic under 47 U.S.C. Section 252 as a result of voluntary negotiation, mediation or arbitration. Some agreements may include an "evergreen clause" which automatically renews the agreement for a specified period of time until replaced by a subsequent agreement. This series is used by staff in case studies involving disputes between telecommunication carriers.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may include: Interconnection Agreements between telecommunication carriers, parties to agreement, date and signatures.
	<b>Retention and Disposition</b>	Retain in Agency eight (8) years from date of expiration of agreement or if applicable, after expiration date of the "evergreen clause"; destroy.

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# *Electronic System With Included Records Series*

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## **Energy and Environment Cabinet**

### *KY Public Service Commission*

#### **Filings**

**System Description:** The Annual Reports System allows utilities to file their annual and accessible revenue reports to the Public Service Commission through a web-based application.

These reports are mandated by KRS Chapter 278 and 807 KAR 5:006, Section 3.

**System Contents:** Accessible revenue information: contact information; gross operating revenues; status and classification.

Annual Reports: company information, income, assets, liabilities, earnings, cash flow, construction information, investments, leases, materials and supplies, taxes, plant statistics, wage distribution, etc.

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

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**System Title:** Annual Reporting System

**Alternate Title:** Utility Financial Report System (UFR)

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**Series #:** Series Title:

**Disposition Instructions:**

**Total Retention:**

06051 Utility Financial Reports

Retain in Agency permanently.

# *Electronic System With Included Records Series*

## **Energy and Environment Cabinet**

### *KY Public Service Commission*

#### **Filings**

**System Description:** The Case Management System is a logging system for all cases brought before the Public Service Commission. All case related documents and many non-case related documents are logged into the system.

**System Contents:** Incoming and outgoing mail and Orders (Milestones) are logged by the system. Modules include Hearings, Orders, Milestones, Mail, and Internal Remarks.  
There is an Electronic Filings System module that allows for filing mail documents electronically. These must be followed up by paper copies.

**General Schedule Items:** M0005 - Administrative Orders

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**System Title:** Case Management System

**Alternate Title:** CMS or Docket

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<b>Series #:</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>	<b>Total Retention:</b>
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00954	Case Records	Retain in Agency five (5) years after closure of case and transfer to State Archives Center for permanent retention.	
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03490	Hearing Schedule	Retain in Agency one (1) month and destroy	
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# *Electronic System With Included Records Series*

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## **Energy and Environment Cabinet**

### *KY Public Service Commission*

#### **Filings**

**System Description:** The Tariff System consists of a web-based application that allows for the submission of new Tariffs and/or the ability to append to existing Tariffs. Users log-in with an assigned user name and password and documents are required to be uploaded in PDF.

**System Contents:** The Tariff system data consists of:  
Filing information - who filed, status, and dates pertaining to rejection, approval and orders.  
Document Information - File information (location, name) and status

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

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**System Title:** Tariff System

**Alternate Title:** TRF

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**Series #:** Series Title:

**Total Retention:**

06046 Tariffs

Retain in Agency permanently.

# *Electronic System With Included Records Series*

## **Energy and Environment Cabinet**

### *KY Public Service Commission*

#### **Filings**

**System Description:** The Utility Management System (UMS), also referred to as Utility Master, is a browser system which contains specific information in regards to utilities under the Public Service Commission jurisdiction. UMS is where the official record of the utility is established to be active, maintained, and made inactive.

**System Contents:** Utility name, utility ID, contact information, utility type, status, class, approximate average number of customers, counties served, and various viewable and printable reports relating to utilities such as utility directory containing certain information for all utilities, methods to print utility contact mailing labels, and number of utilities by type of service provided.

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

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**System Title:** Utility Master System

**Alternate Title:** UMS

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**Series #:** Series Title:

**Disposition Instructions:**

**Total Retention:**

00954 Case Records

Retain in Agency five (5) years after closure of case and transfer to State Archives Center for permanent retention.

06046 Tariffs

Retain in Agency permanently.

06051 Utility Financial Reports

Retain in Agency permanently.

# Transfer of Public Records: A Procedural Guide

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1. Introduction
  
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  - 2.2. Other Off-Site Records Storage Facilities
  
3. Digital Records
  - 3.1. Electronic Records Transfer Procedures
  - 3.2. Portable Document Format (PDF) Transfer Procedures

**Appendix A:** Box Label and Instructions

**Appendix B:** Records Transmittal Form and Instructions

**Appendix C:** Records Request Form

**Appendix D:** Electronic Records Transmittal

## 1.0 Introduction

Per KRS 171.560 and 725 KAR 1:025, these are procedures for transferring agency records to an off-site storage facility, whether that facility is maintained by the Kentucky Department for Libraries and Archives (KDLA) or by the agency.

Records document the activities of government officials and employees, and shall be created or stored on paper, microfilm, or in an electronic format, such as a computer hard drive or a CD. State and local government agency personnel shall manage the records they create, use and maintain so that these records are accessible, usable, and secure. This helps ensure that requests for government information are handled efficiently and that information is accurate.

Records in paper format with a permanent retention shall be stored at the State Archives or the agency, as directed in the Records Retention Schedule. If these permanent records are electronic, they shall be transferred to the e-Archives. Paper records with a non-permanent retention, or that are still in use but too voluminous to keep in an agency's work area, shall be stored at the agency, the State Records Center, or at another off-site storage facility, with the approval of the State Archivist and Records Administrator.

## 2.0 Paper Records

### 2.1. The State Archives and the State Records Center

KRS 171.580 authorizes KDLA to accept and maintain state, local and certain private records that are "determined by the department to have sufficient historical or other value to warrant their continued preservation." KRS 171.550 authorizes KDLA to establish a centralized records center to store, process and service records of government agencies, pending their deposit in the State Archives or other legally authorized disposition. State or local agency records of permanent historical value may be transferred to the State Archives, while non-permanent agency records or permanent records likely to have a high rate of access, may be transferred to the State Records Center.

Information on the retention and disposition of all government records, including when to transfer records to the State Archives or State Records Center, is contained in the records retention schedules. The appropriate schedule is either the General Schedule for State Agencies (<http://www.kdla.ky.gov/recmanagement/schedules/kystateagency.pdf>) a retention schedule for a specific state agency (<http://www.kdla.ky.gov/recmanagement/stateschedule.htm>), or both. If an agency's retention schedule is not available online, or for other questions, call 502-564-8300, ext. 237. For questions about transferring records to the e-Archives, call 502-564-8300, ext. 242.

#### **To transfer state agency records to the State Archives or State Records Center:**

##### ***Box the records.***

- KDLA requires the use of a box manufactured specifically for this purpose by Cardinal Office Supply, Cardinal order number CAR151210.
- Box the records so that files are easy to retrieve. Arrange the files in a helpful manner, such as numerically, chronologically or alphabetically. Do not overfill boxes, as files will be difficult to pull and boxes will fall apart.
- Reinforce the bottom of the box with packing tape, if necessary.

##### ***Label the boxes.***

- Labels are available at no charge through the State Records Branch (502-564-8300, ext. 237; [state.records@ky.gov](mailto:state.records@ky.gov)). See Appendix A for a sample label and instructions.
- Wet the back of each label and affix it to the **center** of the **narrow** end of the box opposite the joint. (The joint is the end of the box at which the upright ends overlap on the inside. Place the labels on the other end of the box.) Do not use tape to affix the labels to the boxes.

Number the boxes in the upper right-hand corner above the label, using a black felt-tipped marker. Make the numbers large.

**Complete and send the transmittal form.**

- The transmittal form documents the transfer of materials to the State Archives or State Records Center. See Appendix B for a sample transmittal and instructions.
- The transmittal is available on the KDLA website at <http://www.kdla.ky.gov/recmanagement/schedules/Transmittal.doc>. Transmittal instructions are available at <http://www.kdla.ky.gov/recmanagement/schedules/transinst.doc>.
- The form is a Word document that can be saved and reused.
- The transmittal form shall be sent via e-mail to [state.records@ky.gov](mailto:state.records@ky.gov) by the appropriate Records Officer.

State Archives or Records Center staff will pick up the records after the transmittal has been received, and checked. Staff shall only pick up records in Frankfort. For state agencies located outside Frankfort, contact the State Archives at 502-564-8300 ext. 207 or the State Records Center at 502-564-3617 to arrange for drop off. After the records are shelved, agencies receive a locator copy of the transmittal with an accession number and State Archives or State Records Center location information to be used when requesting records.

**To request records after transfer to the State Archives Center:**

Kentucky state agency employees requesting records from the Archives Center for official business shall call 502-564-8300, ext. 207 or 210.

Other users with personal or research questions have several ways to request records from the State Archives:

- By visiting the Archives Research Room, 300 Coffee Tree Road, Frankfort, KY 40601 (<http://www.kdla.ky.gov/archival.htm>);
- By calling the State Archives at 502-564-8300, ext. 207 or 210;
- By submitting a request through the KDLA online research service (<http://www.kdla.ky.gov/research.htm>).

**To request records after transfer to the State Records Center:**

Kentucky state agency employees requesting records from the State Records Center for official business shall call 502-564-3617. Requests shall come through the appropriate state agency Records Officer using the Records Request Form (PRD 160), which is available on KDLA's website at <http://www.kdla.ky.gov/recmanagement/erequestform.doc>. See Appendix C for a sample Records Request Form and instructions.

**Destruction of records transferred to the State Records Center:**

Some records that are transferred to the State Records Center are eligible for destruction after a period, as specified on the records retention schedules, enacted by the State Archives and Records Commission. KDLA staff tracks scheduled destruction dates for records, but shall not dispose of any records without prior approval from the agency's Records Officer. A notice requesting approval to destroy records shall be sent to the appropriate Records Officer.

**Return of records transferred to the State Records Center:**

Records in the State Records Center shall be returned to the originating agency upon request. The agency Records Officer shall contact the State Records Center at 502-564-3617.

## **2.2 Other Off-site Records Storage Facilities**

According to KRS 171.690, under certain conditions, inactive records may be housed outside the office of the government agency in an off-site facility. The law allows an agency to store inactive records at a facility away from an agency's offices only if the State Archivist and Records Administrator / Public Records Division Director, KDLA approves the facility. Agencies shall request approval in writing from the State Archivist before using an off-site facility.

### **Off-Site Records Storage Facilities - Questions to Ask**

The following is a set of questions to ask when selecting or constructing an off-site storage facility, along with general guidelines as to what to look for in that selection process. These questions can apply to preexisting structures, structures to be built or renovated or commercially run records storage facilities.

#### **Location**

- Is the facility close-enough in proximity to your office to make the records easily accessible?
- Is the facility above the flood plain?
- Does the location of the facility promote security of the records?

#### **Structure**

- Does the building meet fire codes?
- Are all systems wired properly?
- Are the walls of the building insulated?
- Is there lead or asbestos in the building?
- Are doors and windows secured?
- Is there an alarm system that automatically notifies local law enforcement in the event of a break-in?
- Does the building have a secure, leak-free roof?
- Does the building have a loading/unloading area?
- How high are the building's ceilings? Higher ceilings will allow for increased records storage. Standard high-density shelving requires ceilings at least 15 feet high.
- Does the building have a basement? If so, is it dry and temperature controlled?
- Will storage be on the first floor?
- Can the building's floor(s) support at least 300 pounds per square foot?
- Are the floors concrete and uncarpeted?
- Are the floors sealed with an inert sealant that will not release vapors into the air? Has the floor been sealed for at least three months?

#### **Shelving**

- Is the shelving metal?
- Is the shelving the proper strength? Eighteen (18) gauge shelving is recommended.
- Is the shelving secured on the floor and braced?
- Is the shelving arranged so there are no dead-end aisles?
- Is the shelving built to avoid obstructions like support columns?
- Are aisles wide enough? Thirty inches (30") is recommended.

#### **Fire Prevention/Suppression**

- Is there a working fire detection and suppression system in the facility?
- Is the fire department notified automatically in the event of a fire?

#### **Environmental Controls**

- Is there a central Heating, Ventilation and Air Conditioning (HVAC) system that is continuously operational?

- Is the temperature of the facility continuously between 65° and 70°?
- Is the relative humidity of the facility between 40% and 45%?

#### **Lighting**

- Is lighting bright enough for employees to do their work?
- Are lights over shelving aisles rather than shelves?
- Are lamps efficient and do they give off little ultraviolet radiation? High pressure sodium vapor lamps are ideal.

#### **Plumbing**

- Are there overhead pipes that could leak onto records?
- Are pipes discolored or rusty?

#### **Layout**

- If records are to be used at the facility, is there a public service area?
- Is there space for offices?
- Is there space for records processing? Approximately 100 square foot per person is generally accepted as standard.
- Are there restrooms?
- Does the facility meet the requirements of the American with Disabilities Act (ADA)?

### **3.0 Digital Records**

Agencies shall transfer records to KDLA in digital, or electronic, format. Permanent electronic records shall be maintained in the e-Archives (<http://e-archives.ky.gov/>).

#### **3.1 Electronic Records Transfer Procedures**

##### **Timing of transfers**

Each agency is responsible for the integrity of the records it transfers on physical media to KDLA. For records transferred by a media-less method (FTP, as an email attachment, downloaded from the Internet, or deposited directly using data repository software), KDLA shall work with the agency to ensure integrity and security of the records during the transfer process. Each state agency shall transfer electronic records to KDLA promptly in accordance with the agency's records retention schedule. If the agency cannot provide proper care and handling of the media, or if the media are becoming obsolete and the agency cannot migrate the records to newer media, the agency shall contact KDLA to arrange for transfer, even if that may be sooner than provided in the records retention schedule.

##### **Temporary retention of copy**

Each agency shall retain a copy of any permanent electronic records transferred to KDLA until it receives official notification from KDLA that the transfer was successful and that KDLA has assumed responsibility for continuing preservation of the records.

##### **Transfer media**

For the transfer of permanent records to KDLA, the agency shall use only media that is sound and free from defects. The approved media and media-less transfer forms are:

- Optical disk (CD-ROM, DVD-ROM)
- File Transfer Protocol (FTP); as described below
- Email attachment - to transfer small quantities of permanent electronic records (such as an electronic publication)
- Other transfer media as approved by KDLA

### **Optical Disk (CD-ROM, DVD-ROM)**

Agencies shall use CDs or DVDs to transfer permanent electronic records to KDLA. The files shall comply with the format and documentation requirements (specified under **Formats**).

Permanent electronic records shall be stored in discrete files, grouped by record series as indicated on the appropriate records retention schedule. CD-ROMs transferred may contain other files, such as software or temporary records, but all permanent records shall be in files that contain only permanent records. Agencies shall indicate at the time of transfer if a CD-ROM contains temporary records and, if so, where those records are located on the CD-ROM.

### **File Transfer Protocol (FTP)**

Agencies shall use File Transfer Protocol (FTP) to transfer permanent electronic records to KDLA. Any FTP of classified data shall be performed using either ftps or stfp, as outlined in Enterprise Standards 2640, FTP and SSH Server, and 2650, FTP Client and SSH Client Software. The files transferred shall comply with the format and documentation requirements specified in this section.

- FTP file structure shall use the 64-character Joliet extension naming convention only when letters, numbers, dashes (-), and underscores ( ) are used in the file and/or directory names, with a slash (/) used to indicate directory structures. Otherwise, FTP file structure shall conform to an 8.3 file naming convention and file directory structure where the file is 8 characters followed by the 3 character file extension.
- Permanent electronic records shall be stored in discrete files, separate from temporary files. All permanent records shall be transferred in files that contain only permanent records, grouped by record series as indicated on the appropriate records retention schedule.
- When permanent electronic records are disseminated through other types of mechanisms (e.g., CD-ROM), the agency and KDLA shall agree on the most appropriate medium for transfer of the records and shall select the appropriate files for FTP transfer. Several important factors limit the use of FTP as a transfer method, including the number of records, record file size, and available bandwidth. Agencies interested in sending electronic records scheduled for transfer to KDLA through FTP shall contact KDLA's Technology Analysis and Support Branch at 502-564-8300, ext. 242.
- An Electronic Records Transmittal shall be created for each permanent electronic records transfer to KDLA. See Appendix D for a sample Electronic Records Transmittal and instructions.

### **Formats**

Agencies shall not transfer electronic records to KDLA that are in a format dependent on specific hardware and/or software. The records shall be in one of the approved formats in Table 1. The agency shall consult with KDLA for guidance on the transfer of electronic records other than those prescribed in this section. Additional specifications may be required for specific format types. Call 502-564-8300, ext. 242 with questions.

The High and Medium confidence levels in the following table represent the formats that are currently the most sustainable over time. **Agencies shall avoid using formats listed in the Low confidence field, or make sure that the records in question can be converted to the formats in the Medium and/or High fields.**

Table 1: Preferred Formats for Records Transfer to KDLA

Media	High Confidence Level	Medium Confidence Level	Low Confidence Level
Text	<ul style="list-style-type: none"> <li>- Plain text (encoding: US ASCII, UTF-8, UTF-16 with BOM)</li> <li>- PDF/A-1 (*.pdf)</li> <li>- XML (XSD/XSL/XHTML, etc.; with included or accessible schema and character encoding explicitly specified)</li> </ul>	<ul style="list-style-type: none"> <li>- Plain text (ISO8859-1 encoding)</li> <li>- PDF (*.pdf) (embedded fonts)</li> <li>- Rich Text Format (*.rtf) version 1.x</li> <li>- OpenOffice (*.sxw)</li> <li>- <b>Microsoft Word (*.doc)*</b></li> <li>- WordPerfect (*.wpd)#</li> <li>- HTML 4.x (include a DOCTYPE declaration)</li> <li>- SGML</li> </ul> <p>* MS Office is the state approved standard and supported by the state. # WordPerfect is the federal court standard.</p>	<ul style="list-style-type: none"> <li>- PDF (external font)</li> <li>- DjVu</li> <li>- All other text formats not listed here</li> </ul>
E-mail	<ul style="list-style-type: none"> <li>- Plain Text</li> <li>- Outlook Message format (*.msg)</li> </ul> <p>Any of the High Confidence level text formats listed above.</p>	<ul style="list-style-type: none"> <li>- Any of the Medium Confidence text formats listed above</li> <li>- Outlook Archive (*.pst)</li> </ul> <p>For general correspondence maintained in the agency with proper backup and security controls.</p>	
Raster Image	<ul style="list-style-type: none"> <li>- TIFF (uncompressed)</li> <li>- PNG (*.png)</li> <li>- JPEG (raw)</li> </ul> <p>- "Raw" JPEG are those images that have not been resized.</p>	<ul style="list-style-type: none"> <li>- BMP (*.bmp)</li> <li>- <b>JPEG/JFIF (*.jpg)</b></li> <li>- JPEG2000 (prefer uncompressed) (*.jp2, *.jpx)</li> <li>- <b>TIFF (CCITT Group 3/4, JPEG, PackBits compression)</b></li> </ul>	<ul style="list-style-type: none"> <li>- MrSID (*.sid)</li> <li>- TIFF (with LZW compression or in Planar format)</li> <li>- GIF (*.gif)</li> <li>- FlashPix</li> <li>- PhotoShop (*.psd)</li> <li>- All other raster image formats not listed here</li> </ul>
Vector Graphics	<ul style="list-style-type: none"> <li>- SVG 1.1 (*.svg)</li> </ul>	<ul style="list-style-type: none"> <li>- CGM</li> <li>- WebCGM</li> <li>- DWF *</li> </ul> <p>* AutoCAD is the state approved product.</p>	<ul style="list-style-type: none"> <li>- Encapsulated PostScript (EPS)</li> <li>- Macromedia Flash (*.swf)</li> <li>- All other vector image formats not listed here</li> </ul>
Audio	<ul style="list-style-type: none"> <li>- AIFF (uncompressed) (*.aif, *.aiff)</li> <li>- WAVE (LPCM only) (*.wav)</li> </ul>	<ul style="list-style-type: none"> <li>- Standard MIDI (*.mid, *.midi)</li> <li>- Windows Media Audio (*.wma) *</li> <li>- MP3 (*.mp3)</li> <li>- SUN Audio (uncompressed) (*.au)</li> </ul> <p>*Same as Word files, Windows is the supported state standard.</p>	<ul style="list-style-type: none"> <li>- AIFC (*.aifc)</li> <li>- NeXT SND (*.snd)</li> <li>- RealNetworks 'Real Audio' (*.ra, *.rm, *.ram)</li> <li>- WAVE (compressed) (*.wav)</li> <li>- All other audio formats not listed here</li> </ul>
Video	<ul style="list-style-type: none"> <li>- <b>MPEG-1, MPEG-2 (*.mpg, *.mpeg)</b></li> <li>- Motion JPEG2000 (*.mj2)</li> <li>- AVI (uncompressed) (*.avi)</li> <li>- Motion JPEG</li> </ul>		<ul style="list-style-type: none"> <li>- AVI (compressed) (*.avi)</li> <li>- QuickTime Movie (*.mov)</li> <li>- MPEG 4 (*.mp4)</li> <li>- RM (RealNetworks; 'Real Video') (*.rv)</li> <li>- Windows Media Video (*.wmv)</li> </ul>

	(*avi, *.mov)		- All other video formats not listed here
Spreadsheet Database	- Delimited Text (*.txt, *.csv) - SQL DDL	- DBF (*.dbf) - OpenOffice (*.sxc) - Excel (*.xls)*  * Excel part of the MSOffice group and supported by state architecture standards.	- All other spreadsheet/database formats not listed here
Presentation	-	- OpenOffice (*.sxi) - PowerPoint (*.ppt)	- All other presentation formats not listed here

**Additional Format Requirements**

- File formats listed under Low Confidence Level shall be converted to a High or Medium Confidence format or preserved at the bit level only.
- Fully or partially encrypted files shall be unencrypted prior to transfer to KDLA.
- Password protected files shall be opened with protections removed prior to transfer to KDLA.
- Any files produced with Digital Right Management controls shall have all controls removed prior to transfer.
- Use platform independent, vendor independent, nonproprietary, stable, open and well-supported formats.
- The records shall not be compressed unless KDLA has approved the transfer in the compressed form in advance. In such cases, KDLA shall require the agency to provide the software to decompress the records.

**Documentation**

Documentation adequate to identify, service and interpret electronic records shall be transferred to KDLA with the records. Where possible, agencies shall submit required documentation in an electronic form that conforms to the provisions of this section.

**3.2. Portable Document Format (PDF) Transfer Procedures**

KDLA considers PDF an acceptable format for the transfer of electronic records, including all records in PDF; records converted to PDF from a native electronic formats (e.g., office automation products); and records converted to PDF from scanned paper or image formats such as TIFF. Agencies shall comply with the following *minimum* requirements to transfer permanent records as PDF documents:

**General requirements for all PDF records**

- Security Requirements

PDF records shall not contain security settings (e.g., self-sign security, user passwords, and/or permissions) that prevent KDLA from opening, viewing or printing the record.

PDF records shall have all security settings deactivated (e.g., encryption, master passwords, and/or permissions) *prior to transfer to KDLA*. Deactivating security settings ensures KDLA's ability to support long-term migration and preservation of the records.

**Note: Agencies shall use appropriate security settings (as identified in the Enterprise Architecture Standards and Policies) up to the time of transfer to KDLA.**

- **Review of Special Features**

Because of complexities associated with certain PDF features, KDLA shall review PDF records containing special features on a case-by-case basis when the records are scheduled. Examples of special features include but are not limited to digital signatures; links to other documents, files or sites; embedded files (including multi-media objects); form data; comments and/or annotations.

**Records converted to PDF from native electronic formats**

Electronic records converted to PDF from their native electronic formats (e.g., office automation products) shall include embedded fonts to guarantee the visual reproduction of all text as created. All fonts embedded in PDF records shall be publicly identified as legally embeddable (i.e., font license permits embedding) in a file for unlimited, universal viewing and printing.

PDF records that reference fonts other than the "base 14 fonts"<sup>1</sup> shall have those fonts referenced in the record (i.e., as a minimum, subsets of all referenced fonts) embedded within the PDF file. This requirement is met by having, as a minimum, subsets of all referenced fonts embedded within the PDF file.

**Scanned paper or image formats converted to PDF**

PDF records that contain embedded searchable text based on Optical Character Recognition (OCR) shall be identical in content and appearance to the source document. KDLA shall accept PDF records with uncorrected OCR'd text, but shall not accept PDF records resulting from OCR processes that either alter the content or degrade the quality of the original bit-mapped image.

An example of an output process that accomplishes this requirement is Searchable Image - Exact.

KDLA shall not accept PDF records that have been OCR'd using processes that substitute OCR'd text for the original scanned text within the bit-mapped image. Such OCR processes may involve loss of data through imprecise interpretation of scanned characters. Examples of output processes that use this prohibited technique include Formatted Text and Graphics and PDF Normal.

KDLA shall not accept PDF records that have been OCR'd using processes that use lossy compression to reduce file size (e.g., JPEG). Such OCR processes degrade the quality of the original image and may make images unsuitable for archival preservation. An example of an output process that uses this lossy compression technique for color and grayscale images is Searchable Image - Compact.

Agencies that have permanent records in PDF format that do not meet the requirements shall call 502-564-8300, ext. 242 to determine the most appropriate medium and format for transfer.

**Transfer documentation**

In addition to submitting a signed transmittal form, agencies shall provide documentation that identifies the software used to create the PDF records (if available) and the version(s), and the operating system (if available) and version(s). Agencies shall provide all external finding aids for the transferred PDF records (e.g., indexes; descriptive, administrative, or technical metadata; and/or databases of OCR'd text) in formats approved by KDLA.

When an agency has standards or guidelines to assist in formatting, validating, or accessing PDF records (including recommended software or quality settings, and/or guidelines for embedding metadata within PDF records), a copy of the guidelines shall be included with the transfer.

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<sup>1</sup> The base 14 fonts are: Courier (Regular, Bold, Italic, and Bold Italic), Arial MT (Regular, Bold, Oblique, and Bold Oblique), Times New Roman PS MT (Roman, Bold, Italic, and Bold Italic), Symbol, and ZapfDingbats.

**Transfer Mechanisms**

PDF records shall not be compressed (e.g., Winzip, PKZIP) or aggregated (e.g., TAR) transfer unless KDLA has approved the transfer in compressed or aggregated form in advance. In such cases, KDLA shall require the agency to provide the software to decompress the records.

**Levels of Access**

KDLA provides access to the creating agency and to all researchers requesting PDF records accessioned from state agencies. While compliance with these procedures will improve future access to records, KDLA's ability to provide access to certain records will vary according to hardware and software dependency. KDLA provides users with a copy of fully releasable electronic record files on media currently approved by KDLA. For PDF records transferred to KDLA, the user is responsible for obtaining the necessary hardware and software to view the records.

**Appendix A: Box Label and Instructions**

Public Records Division Kentucky Department for Libraries and Archives		
Agency		
Unit		
Title of Records		
Dates of Records		Destruction Date
FROM:	TO:	
Box Number	Total Boxes	Accession No.
Arrangement of Records		
Description of Contents		
PRD 60 Rev. 11/83		

Sample Box Label

## INSTRUCTIONS FOR COMPLETING BOX LABEL

- (1) **AGENCY:** Enter the name of Cabinet, Department, Commission, University, Public School District, City, etc.
- (2) **UNIT:** Enter the name of the unit which falls under the Agency listed above.
- (3) **TITLE OF RECORDS:** Enter the title of the record exactly as it appears on the agency's approved records retention schedule.
- (4) **DATES OF RECORDS:** Enter the inclusive (earliest and most recent) dates of the records in each container. The dates should match the entry for the same box on the Records Transmittal to State Archives Center or State Records Center.
- (5) **DESTRUCTION DATE:** Enter the month and year the records are due to be destroyed. The same date will appear on the Records Transmittal form for the shipment. If permanent records are being transferred, enter **NONE** in this item.
- (6) **BOX NUMBER:** Enter the number of the box the label is to be placed on. This number should match the entry for the same box on the Records Transmittal form.
- (7) **TOTAL BOXES:** Enter the total number of boxes for the entire shipment. This number should match the total number of containers entered on the Records Transmittal form.
- (8) **ARRANGEMENT OF RECORDS:** Indicate how the records are arranged in the box, i.e., alphabetical, numerical, chronological.
- (9) **DESCRIPTION OF CONTENTS:** Enter information about the specific contents of the box or other information which will aid in identifying contents for retrieval purposes.

**NOTE:** The Accession Number will be entered on each label by Public Records Division staff after the shipment of records is received.

THE BACK OF THE BOX LABEL IS COVERED WITH GLUE. TO AFFIX LABEL TO BOX, THOROUGHLY DAMPEN.

PLACE LABEL IN THE CENTER OF THE BOX OPPOSITE THE RE-ENFORCED END.

IN ADDITION, USING A MAGIC MARKER, PLACE THE NUMBER OF THE BOX IN THE UPPER RIGHT HAND CORNER OF THE BOX.

**Appendix B: Transmittal Form and Instructions**

# Records Transmittal to State Archives Center or State Records Center

Kentucky Department for Libraries and Archives, Public Records Division  
300 Coffee Tree Road, P. O. Box 537, Frankfort Kentucky 40602

Cabinet/Local Jurisdiction \_\_\_\_\_

Department/Local Government Office \_\_\_\_\_

Division \_\_\_\_\_

Branch/Unit \_\_\_\_\_

Retention Schedule Date \_\_\_\_\_

Total Containers \_\_\_\_\_

Permanent? Yes  No

Destruction Date \_\_\_\_\_  
(Month, Year)

PRD USE ONLY	
Accession No. _____	RG. No. _____
Compiler _____	Date _____
Shelver _____	Vol. _____
Reviewer/Date _____	Retention _____
L_____ DC_____ I_____ DR_____ Destroyed _____ DD_____	

PRD USE	FOR AGENCY USE			
LOCATION IN CENTER	BOX ROLL <input type="checkbox"/> BOOK <input type="checkbox"/> BUNDLE <input type="checkbox"/> OTHER <input type="checkbox"/>	SERIES NUMBER AS ON SCHEDULE	TITLE OF RECORDS, EXACTLY AS LISTED ON THE RECORDS RETENTION SCHEDULE	DATE SPAN OF RECORDS IN EACH CONTAINER

**IS ACCESS TO THESE RECORDS RESTRICTED? Yes  No  IF YES, CITE AUTHORITY**

\* By transferring permanent records to the State Archives Center, an agency acknowledges that records are not needed for current business use.  
By transferring permanent records to the State Records Center, an agency acknowledges that records are needed for current business use.

Page 1 of

Agency Records Officer/Signature \_\_\_\_\_ Date \_\_\_\_\_

Records Officer should send completed form, as an attachment, to [state.records@ky.gov](mailto:state.records@ky.gov). Save until you receive your locator copy.

## Records Transmittal to State Archives Center or State Records Center (Continuation Sheet)

PRD USE ONLY	Accession No.
--------------	---------------

Cabinet/Local Jurisdiction

Department/Local Government Office

Division

Branch/Unit

PRD USE		FOR AGENCY USE		
LOCATION IN CENTER	BOX <input type="checkbox"/> ROLL <input type="checkbox"/> BOOK <input type="checkbox"/> BUNDLE <input type="checkbox"/> OTHER <input type="checkbox"/>	SERIES NUMBER AS ON SCHEDULE	TITLE OF RECORDS, EXACTLY AS LISTED ON THE RECORDS RETENTION SCHEDULE	DATE SPAN OF RECORDS IN EACH CONTAINER
SAMPLE				

## TRANSMITTAL FORM INSTRUCTIONS

The Records Transmittal to State Archives or State Records Center (PRD form 70) must be completed by the agency. If the first page of the transmittal is insufficient to record the entire shipment, use the Transmittal Continuation Sheet (PRD form 70a). Use as many continuation forms as necessary.

**Completing Transmittal:** Fill in the data on the first page of the Records Transmittal as follows:

- (1) **Cabinet/Local Jurisdiction:** Enter your agency's cabinet or local jurisdiction.
- (2) **Department/Local Government Office:** Name of department or local government office which falls under the entity listed above.
- (3) **Division:** Name of division which falls under entity listed above.
- (4) **Branch/Unit:** Name of branch or unit which falls under the entity listed above.
- (5) **Retention Schedule Date:** The month and year the current Records Retention Schedule for your agency was approved by the State Archives and Records Commission. This information can be found on the signature page, which accompanies the retention schedule or the top right-hand side of an individual schedule page.
- (6) **Total Containers:** The total number of boxes, rolls, books or bundles in this transmittal (i.e., shipment).
- (7) **Permanent?:** Indicate by marking an X in Yes or No space.
- (8) **Destruction Date:** The day, month, year the shipment of records is due to be destroyed. If the records are permanent, type NONE.

To figure the destruction date, use the retention period from your approved retention schedule for the series being transferred and apply it to the latest date of the records in the shipment. For example, if the retention of the record being transferred is five years and the latest date of the records is 2004, the destruction date will be January 2010.

- (9) **Box, Roll, Book, Bundle, Other:** Check the appropriate box to indicate whether the records being transferred are in boxes, rolls of microfilm, books, bundles or other, which indicates special media, such as videotapes, etc. In this column, you will record each individual container in numerical sequence. When transferring boxes of records, each shipment must begin with box number 1, then be listed in numerical sequence thereafter.

- (10) **Series Number as On Schedule:** Enter the series number from your Records Retention Schedule for the record(s) you are transferring. When transferring non-permanent records, more than one series can be included in the shipment, providing all series have the same destruction date. When transferring permanent records, only one series, or record type, per transmittal is acceptable. For single series shipments, the series number need only be recorded one time per page.
- (11) **Title of Records, Exactly as Listed in the Records Retention Schedule:** The title of the record exactly as shown in the Records Retention Schedule. For single series shipments, the title of the record need only be recorded one time per page. You must also enter a brief description of the contents of each container in this column. For alphabetical and numeric files, enter the name or number of the first and last file.
- (12) **Date Span of Records in Each Container:** The inclusive dates (oldest and most recent) of the records in each box, roll, book, bundle, etc. If the date span is the same for the entire shipment, you need only enter one time per page. If multiple series are being transferred, enter date spans per container.
- (13) **Is Access to These Records Restricted?:** Please indicate whether access to the records being transferred is restricted. If Yes is marked, you must give the appropriate citing from any of the Kentucky Revised Statutes, Kentucky Administrative Regulations or Code of Federal Regulations.

The remaining blocks of the transmittal will be completed by Public Records Division staff after the shipment is received.

After completing the transmittal retain a copy, either digitally or in paper. The Agency's Records Officer should forward a copy of the transmittal via e-mail to the State Records Branch, Public Records Division at [state.records@ky.gov](mailto:state.records@ky.gov).

You will be contacted by either State Records Center or State Archives Center staff regarding pickup or delivery of the records being transferred.

After the shipment has been put on location in the appropriate Center, you will receive your Agency Locator Copy of the transmittal from the State Records Branch, Public Records Division. You should then destroy the copy of the transmittal you saved.

**Appendix C: Records Request Form**

**INSTRUCTIONS FOR PRD-160  
RECORD REQUEST FORM**

If you need further instructions, call 502-564-3617 and speak to anyone who answers. An alternate phone number is 502-564-8300, extension 237.

- 1) Enter your agency name (i.e. state agency, county name, etc).
- 2) Enter your office name (i.e. Public Records Division, circuit or district court, etc).
- 3) Enter your name.
- 4) Enter a contact phone number where we can reach you, and your extension if any. If this is a copy request for a customer enter the customer's phone number here.
- 5) Enter the action for this request (Example: send to a John Smith on receipt of record).
- 6) Check Original or Photocopy. Do you need the original record or a photocopy? Only the custodial agency can request that the original record be sent out. Other parties need to request a copy. There is a charge for copy service.
- 7) Enter your agency's address (and a mail stop if any). If this a copy request for a patron, enter the patron's billing address here.
- 8) Location is listed on the Agency Locator copy of the appropriate records transmittal in the block labeled **Location in Center** on the left side of the form. (The format for the State Records Center is: Roman Numeral - Letter - Number. [Example: X-F-24 or V-F-24]) (The format for State Archives Center is: (Letter and Number / Letter and Number - Number. [Example: C31/E1-A])
- 9) Accession Number is listed on the Agency Locator copy of the appropriate records transmittal in the small box at the top right. (Example: R2007-1234 or A2007-1234). In the case of accessions in years prior to 1983 the format will be the number of the shipment followed by the year of the shipment. (Example: Transmittal 1 of 1982).
- 10) Unit Number is listed on the Agency Locator copy of the appropriate records transmittal in the block labeled **Box; Roll; Book; Bundle; or Other** second from the left.
- 11) This is the title of the record (name on case or description of the file).
- 12) This is the case number or file number.
- 13) Will you be returning the record to the State Records Center or the State Archives Center? (Yes or No)
- 14) Libraries and Archives use only.
- 15) Libraries and Archives use only.
- 16) In this block you can note specific instructions to follow once you receive the record, or you can enter instructions to ensure we understand your request.
- 17) Libraries and Archives use only.
- 18) These are the addresses to send records back for storage. Accession numbers beginning with an "R" are to be sent back to the State Records Center. Accession numbers beginning with an "A" are to be sent back to the State Archives Center.





**Appendix D: Electronic Records Transmittal**

**Electronic Records Transmittal to State Archives**  
 Kentucky Department for Libraries and Archives, Public Records Division  
 300 Coffee Tree Road, P.O. Box 537, Frankfort Kentucky 40602  
[RecordsTransfer@ky.gov](mailto:RecordsTransfer@ky.gov)

<b>Cabinet/Local Jurisdiction</b>	
<b>Department/Local Office</b>	
<b>Division</b>	
<b>Branch/Unit</b>	
<b>Retention Schedule Date:</b>	

Method of Transfer (Check One)		
<input type="checkbox"/> Optical Disk Disk No./Total Number of Disks: Number of Folders on Disk:	<input type="checkbox"/> File Transfer Protocol (FTP)	<input type="checkbox"/> E-mail Attachment
Total Number of Files Transferred:		

File Characteristics				
Series Number (As on Schedule)	Folder Name (Complete file name)	Format of Records in Folder	Number of Records in Folder	Date Span of Records

File Format Specifications		
<b>Software (and Version) Used to Created File</b>		
<b>Security Checklist</b>	<b>Security Settings Including DRM) Deactivated</b>	<b>All Fonts Referenced and Embedded</b>
<b>Other Documentation Included:</b> (See PDF Transfer Procedures for what must be included.)		

Agency Contact Information		
<b>Records Officer</b>	<b>Phone Number</b>	<b>Email Address</b>
<b>Technical Contact</b>	<b>Phone Number</b>	<b>Email Address</b>
<b>Form Completed By:</b>	<b>Date Form Completed:</b>	

For KDLA use only	
<b>Accession Date:</b>	<b>Accession Number:</b>

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

**PM 2010 - 01**

**Policy Memorandum on the Storage of Public Records as Scanned Images**

The State Archives and Records Commission issues records retention schedules that provide public agencies with the only authority to legally destroy public records, in KRS 171.420. Under the terms of KRS 171.660, the Department for Libraries and Archives (KDLA) establishes rules and regulations governing reproduction of public records and the procedures to be followed for disposal or destruction of the original document after reproduction. The related regulations are: 725 KAR 1:020 Recording and reproducing public records, 725 KAR 1:030 Disposal or destruction of public records; procedure, and 725 KAR 1:061 Records retention schedules; authorized schedules.

**1. Permanent Records**

Scanned images of public records scheduled as permanent shall have manual, eye-readable counterparts, such as paper or microfilm. This requirement does not apply to "born digital" images or scanned images of primarily non-textual records (e.g., maps and photographs).

Public agencies may petition the Director, Public Records Division to maintain scanned, permanently valuable public records without manual, eye-readable backup. For an exception to be considered, an agency shall document, in writing to the director, the following elements in its imaging procedures:

**1A. Accuracy and Completeness of Records**

A process of inspection shall be in place to confirm that imaged documents are legible and that no corners of the original documents were folded or obscured during scanning. This process shall include systematic quality control and audit procedures, as well as operational oversight by staff with detailed knowledge of the process or system used to produce the records.

Resolution and use of gray scale shall be appropriate to capture all needed detail within documents. Similarly, scanned images shall capture all colors that are needed to interpret or understand the meaning of the paper document. The accuracy of the indexing process shall also be assured through procedures that visually verify indexes after they have been keyed or created through optical character recognition.

**1B. Maintenance and Retention of Documentation**

Full and up-to-date process or system documentation shall be maintained throughout the life of the records. When processes or systems change, updated documentation shall be retained until the retention periods are met. Documentation shall conform to standards established in the Kentucky Enterprise Architecture and Standards.

**1C. Audit Trails and Security**

Audit trails documenting who accessed or used the system, when they used it, and what the results of use were shall be maintained. Security measures consistent with the Kentucky Enterprise Architecture and Standards shall be adopted and applied.

**1D. Access to Records**

Records maintained in imaging systems shall meet all access requirements defined by Kentucky Revised Statutes or Kentucky Administrative Regulations.

#### **1E. Backup**

A backup copy of all image files and indexes shall be created at intervals determined by the frequency of update and the criticality of the imaging system, as established by the creating agency. Kentucky Enterprise Architecture and Standards and Commonwealth Office of Technology guidelines relating to backups and disaster recovery shall be used to determine the frequency and means of backing up imaged records. Off-site backups shall be maintained.

#### **1F. Equipment Maintenance**

An effective maintenance program ensuring that scanners, optical disks, and magnetic storage devices are properly housed and regularly maintained shall be in place. Equipment maintenance logs shall document the occurrence of regular maintenance.

#### **1G. Training Programs**

Staff employing imaging systems shall receive formal training in system use to ensure that standard procedures are routinely followed

#### **1H. Compression Algorithms**

All images shall be stored in, or convertible to, compression formats identified in the Kentucky Enterprise Architecture and Standards. This is (formerly CCIT) Group IV compression.

#### **1I. Migration of Data**

Migration paths for all records, including those stored offline, shall be identified and employed to ensure usability of records throughout their retention period.

If the above conditions are met, the Director, Public Records Division, may provide written authorization for the petitioning agency to maintain records solely as digital images. Periodic review of compliance with these standards shall be performed by, or on behalf of, Department for Libraries and Archives staff.

### **2. Transfer of Records**

For transfer of digitally imaged public records, agencies shall follow 725 KAR 1:025 Transfer of public records.

### **3. Non-permanent Records**

Non-permanent records may be scanned and maintained without hardcopy, eye-readable originals. Agencies shall meet all the criteria listed above in maintaining scanned, non-permanent records. This is critical to the acceptance of the records as valid documentation of agency transactions and is required for the legal admissibility of public records. Records subject to audit are auditable regardless of format; these criteria for scanned public records shall be used by the Auditor of Public Accounts in evaluating the content of imaged records.

# **EXHIBIT 4**

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

**PM 2010 - 01**

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Audit trails documenting who accessed or used the system, when they used it, and what the results of use were shall be maintained. Security measures consistent with the Kentucky Enterprise Architecture and Standards shall be adopted and applied.

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# **EXHIBIT 5**

# Transfer of Public Records: A Procedural Guide

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## Contents

1. Introduction
  
2. Paper Records
  - 2.1. The State Archives and the State Records Center
  - 2.2. Other Off-Site Records Storage Facilities
  
3. Digital Records
  - 3.1. Electronic Records Transfer Procedures
  - 3.2. Portable Document Format (PDF) Transfer Procedures

**Appendix A:** Box Label and Instructions

**Appendix B:** Records Transmittal Form and Instructions

**Appendix C:** Records Request Form

**Appendix D:** Electronic Records Transmittal

## 1.0 Introduction

Per KRS 171.560 and 725 KAR 1:025, these are procedures for transferring agency records to an off-site storage facility, whether that facility is maintained by the Kentucky Department for Libraries and Archives (KDLA) or by the agency.

Records document the activities of government officials and employees, and shall be created or stored on paper, microfilm, or in an electronic format, such as a computer hard drive or a CD. State and local government agency personnel shall manage the records they create, use and maintain so that these records are accessible, usable, and secure. This helps ensure that requests for government information are handled efficiently and that information is accurate.

Records in paper format with a permanent retention shall be stored at the State Archives or the agency, as directed in the Records Retention Schedule. If these permanent records are electronic, they shall be transferred to the e-Archives. Paper records with a non-permanent retention, or that are still in use but too voluminous to keep in an agency's work area, shall be stored at the agency, the State Records Center, or at another off-site storage facility, with the approval of the State Archivist and Records Administrator.

## 2.0 Paper Records

### 2.1. The State Archives and the State Records Center

KRS 171.580 authorizes KDLA to accept and maintain state, local and certain private records that are "determined by the department to have sufficient historical or other value to warrant their continued preservation." KRS 171.550 authorizes KDLA to establish a centralized records center to store, process and service records of government agencies, pending their deposit in the State Archives or other legally authorized disposition. State or local agency records of permanent historical value may be transferred to the State Archives, while non-permanent agency records or permanent records likely to have a high rate of access, may be transferred to the State Records Center.

Information on the retention and disposition of all government records, including when to transfer records to the State Archives or State Records Center, is contained in the records retention schedules. The appropriate schedule is either the General Schedule for State Agencies (<http://www.kdla.ky.gov/recmanagement/schedules/kystateagency.pdf>) a retention schedule for a specific state agency (<http://www.kdla.ky.gov/recmanagement/stateschedule.htm>), or both. If an agency's retention schedule is not available online, or for other questions, call 502-564-8300, ext. 237. For questions about transferring records to the e-Archives, call 502-564-8300, ext. 242.

#### **To transfer state agency records to the State Archives or State Records Center:**

##### ***Box the records.***

- KDLA requires the use of a box manufactured specifically for this purpose by Cardinal Office Supply, Cardinal order number CAR151210.
- Box the records so that files are easy to retrieve. Arrange the files in a helpful manner, such as numerically, chronologically or alphabetically. Do not overfill boxes, as files will be difficult to pull and boxes will fall apart.
- Reinforce the bottom of the box with packing tape, if necessary.

##### ***Label the boxes.***

- Labels are available at no charge through the State Records Branch (502-564-8300, ext. 237; [state.records@ky.gov](mailto:state.records@ky.gov)). See Appendix A for a sample label and instructions.
- Wet the back of each label and affix it to the **center** of the **narrow** end of the box opposite the joint. (The joint is the end of the box at which the upright ends overlap on the inside. Place the labels on the other end of the box.) Do not use tape to affix the labels to the boxes.

Number the boxes in the upper right-hand corner above the label, using a black felt-tipped marker. Make the numbers large.

**Complete and send the transmittal form.**

- The transmittal form documents the transfer of materials to the State Archives or State Records Center. See Appendix B for a sample transmittal and instructions.
- The transmittal is available on the KDLA website at <http://www.kdla.ky.gov/recmanagement/schedules/Transmittal.doc>. Transmittal instructions are available at <http://www.kdla.ky.gov/recmanagement/schedules/transinst.doc>.
- The form is a Word document that can be saved and reused.
- The transmittal form shall be sent via e-mail to [state.records@ky.gov](mailto:state.records@ky.gov) by the appropriate Records Officer.

State Archives or Records Center staff will pick up the records after the transmittal has been received, and checked. Staff shall only pick up records in Frankfort. For state agencies located outside Frankfort, contact the State Archives at 502-564-8300 ext. 207 or the State Records Center at 502-564-3617 to arrange for drop off. After the records are shelved, agencies receive a locator copy of the transmittal with an accession number and State Archives or State Records Center location information to be used when requesting records.

**To request records after transfer to the State Archives Center:**

Kentucky state agency employees requesting records from the Archives Center for official business shall call 502-564-8300, ext. 207 or 210.

Other users with personal or research questions have several ways to request records from the State Archives:

- By visiting the Archives Research Room, 300 Coffee Tree Road, Frankfort, KY 40601 (<http://www.kdla.ky.gov/archival.htm>);
- By calling the State Archives at 502-564-8300, ext. 207 or 210;
- By submitting a request through the KDLA online research service (<http://www.kdla.ky.gov/research.htm>).

**To request records after transfer to the State Records Center:**

Kentucky state agency employees requesting records from the State Records Center for official business shall call 502-564-3617. Requests shall come through the appropriate state agency Records Officer using the Records Request Form (PRD 160), which is available on KDLA's website at <http://www.kdla.ky.gov/recmanagement/erequestform.doc>. See Appendix C for a sample Records Request Form and instructions.

**Destruction of records transferred to the State Records Center:**

Some records that are transferred to the State Records Center are eligible for destruction after a period, as specified on the records retention schedules, enacted by the State Archives and Records Commission. KDLA staff tracks scheduled destruction dates for records, but shall not dispose of any records without prior approval from the agency's Records Officer. A notice requesting approval to destroy records shall be sent to the appropriate Records Officer.

**Return of records transferred to the State Records Center:**

Records in the State Records Center shall be returned to the originating agency upon request. The agency Records Officer shall contact the State Records Center at 502-564-3617.

## **2.2 Other Off-site Records Storage Facilities**

According to KRS 171.690, under certain conditions, inactive records may be housed outside the office of the government agency in an off-site facility. The law allows an agency to store inactive records at a facility away from an agency's offices only if the State Archivist and Records Administrator / Public Records Division Director, KDLA approves the facility. Agencies shall request approval in writing from the State Archivist before using an off-site facility.

### **Off-Site Records Storage Facilities - Questions to Ask**

The following is a set of questions to ask when selecting or constructing an off-site storage facility, along with general guidelines as to what to look for in that selection process. These questions can apply to preexisting structures, structures to be built or renovated or commercially run records storage facilities.

#### **Location**

- Is the facility close-enough in proximity to your office to make the records easily accessible?
- Is the facility above the flood plain?
- Does the location of the facility promote security of the records?

#### **Structure**

- Does the building meet fire codes?
- Are all systems wired properly?
- Are the walls of the building insulated?
- Is there lead or asbestos in the building?
- Are doors and windows secured?
- Is there an alarm system that automatically notifies local law enforcement in the event of a break-in?
- Does the building have a secure, leak-free roof?
- Does the building have a loading/unloading area?
- How high are the building's ceilings? Higher ceilings will allow for increased records storage. Standard high-density shelving requires ceilings at least 15 feet high.
- Does the building have a basement? If so, is it dry and temperature controlled?
- Will storage be on the first floor?
- Can the building's floor(s) support at least 300 pounds per square foot?
- Are the floors concrete and uncarpeted?
- Are the floors sealed with an inert sealant that will not release vapors into the air? Has the floor been sealed for at least three months?

#### **Shelving**

- Is the shelving metal?
- Is the shelving the proper strength? Eighteen (18) gauge shelving is recommended.
- Is the shelving secured on the floor and braced?
- Is the shelving arranged so there are no dead-end aisles?
- Is the shelving built to avoid obstructions like support columns?
- Are aisles wide enough? Thirty inches (30") is recommended.

#### **Fire Prevention/Suppression**

- Is there a working fire detection and suppression system in the facility?
- Is the fire department notified automatically in the event of a fire?

#### **Environmental Controls**

- Is there a central Heating, Ventilation and Air Conditioning (HVAC) system that is continuously operational?

- Is the temperature of the facility continuously between 65° and 70°?
- Is the relative humidity of the facility between 40% and 45%?

#### **Lighting**

- Is lighting bright enough for employees to do their work?
- Are lights over shelving aisles rather than shelves?
- Are lamps efficient and do they give off little ultraviolet radiation? High pressure sodium vapor lamps are ideal.

#### **Plumbing**

- Are there overhead pipes that could leak onto records?
- Are pipes discolored or rusty?

#### **Layout**

- If records are to be used at the facility, is there a public service area?
- Is there space for offices?
- Is there space for records processing? Approximately 100 square foot per person is generally accepted as standard.
- Are there restrooms?
- Does the facility meet the requirements of the American with Disabilities Act (ADA)?

### **3.0 Digital Records**

Agencies shall transfer records to KDLA in digital, or electronic, format. Permanent electronic records shall be maintained in the e-Archives (<http://e-archives.ky.gov/>).

#### **3.1 Electronic Records Transfer Procedures**

##### **Timing of transfers**

Each agency is responsible for the integrity of the records it transfers on physical media to KDLA. For records transferred by a media-less method (FTP, as an email attachment, downloaded from the Internet, or deposited directly using data repository software), KDLA shall work with the agency to ensure integrity and security of the records during the transfer process. Each state agency shall transfer electronic records to KDLA promptly in accordance with the agency's records retention schedule. If the agency cannot provide proper care and handling of the media, or if the media are becoming obsolete and the agency cannot migrate the records to newer media, the agency shall contact KDLA to arrange for transfer, even if that may be sooner than provided in the records retention schedule.

##### **Temporary retention of copy**

Each agency shall retain a copy of any permanent electronic records transferred to KDLA until it receives official notification from KDLA that the transfer was successful and that KDLA has assumed responsibility for continuing preservation of the records.

##### **Transfer media**

For the transfer of permanent records to KDLA, the agency shall use only media that is sound and free from defects. The approved media and media-less transfer forms are:

- Optical disk (CD-ROM, DVD-ROM)
- File Transfer Protocol (FTP); as described below
- Email attachment - to transfer small quantities of permanent electronic records (such as an electronic publication)
- Other transfer media as approved by KDLA

### **Optical Disk (CD-ROM, DVD-ROM)**

Agencies shall use CDs or DVDs to transfer permanent electronic records to KDLA. The files shall comply with the format and documentation requirements (specified under **Formats**).

Permanent electronic records shall be stored in discrete files, grouped by record series as indicated on the appropriate records retention schedule. CD-ROMs transferred may contain other files, such as software or temporary records, but all permanent records shall be in files that contain only permanent records. Agencies shall indicate at the time of transfer if a CD-ROM contains temporary records and, if so, where those records are located on the CD-ROM.

### **File Transfer Protocol (FTP)**

Agencies shall use File Transfer Protocol (FTP) to transfer permanent electronic records to KDLA. Any FTP of classified data shall be performed using either ftps or stfp, as outlined in Enterprise Standards 2640, FTP and SSH Server, and 2650, FTP Client and SSH Client Software. The files transferred shall comply with the format and documentation requirements specified in this section.

- FTP file structure shall use the 64-character Joliet extension naming convention only when letters, numbers, dashes (-), and underscores (\_\_) are used in the file and/or directory names, with a slash (/) used to indicate directory structures. Otherwise, FTP file structure shall conform to an 8.3 file naming convention and file directory structure where the file is 8 characters followed by the 3 character file extension.
- Permanent electronic records shall be stored in discrete files, separate from temporary files. All permanent records shall be transferred in files that contain only permanent records, grouped by record series as indicated on the appropriate records retention schedule.
- When permanent electronic records are disseminated through other types of mechanisms (e.g., CD-ROM), the agency and KDLA shall agree on the most appropriate medium for transfer of the records and shall select the appropriate files for FTP transfer. Several important factors limit the use of FTP as a transfer method, including the number of records, record file size, and available bandwidth. Agencies interested in sending electronic records scheduled for transfer to KDLA through FTP shall contact KDLA's Technology Analysis and Support Branch at 502-564-8300, ext. 242.
- An Electronic Records Transmittal shall be created for each permanent electronic records transfer to KDLA. See Appendix D for a sample Electronic Records Transmittal and instructions.

### **Formats**

Agencies shall not transfer electronic records to KDLA that are in a format dependent on specific hardware and/or software. The records shall be in one of the approved formats in Table 1. The agency shall consult with KDLA for guidance on the transfer of electronic records other than those prescribed in this section. Additional specifications may be required for specific format types. Call 502-564-8300, ext. 242 with questions.

The High and Medium confidence levels in the following table represent the formats that are currently the most sustainable over time. **Agencies shall avoid using formats listed in the Low confidence field, or make sure that the records in question can be converted to the formats in the Medium and/or High fields.**

Table 1: Preferred Formats for Records Transfer to KDLA

Media	High Confidence Level	Medium Confidence Level	Low Confidence Level
Text	<ul style="list-style-type: none"> <li>- Plain text (encoding: US ASCII, UTF-8, UTF-16 with BOM)</li> <li>- PDF/A-1 (*.pdf)</li> <li>- XML (XSD/XSL/XHTML, etc.; with included or accessible schema and character encoding explicitly specified)</li> </ul>	<ul style="list-style-type: none"> <li>- Plain text (ISO8859-1 encoding)</li> <li>- PDF (*.pdf) (embedded fonts)</li> <li>- Rich Text Format (*.rtf) version 1.x</li> <li>- OpenOffice (*.sxw)</li> <li>- <b>Microsoft Word (*.doc)*</b></li> <li>- WordPerfect (*.wpd)#</li> <li>- HTML 4.x (include a DOCTYPE declaration)</li> <li>- SGML</li> </ul> <p>* MS Office is the state approved standard and supported by the state. # WordPerfect is the federal court standard.</p>	<ul style="list-style-type: none"> <li>- PDF (external font)</li> <li>- DjVu</li> <li>- All other text formats not listed here</li> </ul>
E-mail	<ul style="list-style-type: none"> <li>- Plain Text</li> <li>- Outlook Message format (*.msg)</li> </ul> <p>Any of the High Confidence level text formats listed above.</p>	<ul style="list-style-type: none"> <li>- Any of the Medium Confidence text formats listed above</li> <li>- Outlook Archive (*.pst)</li> </ul> <p>For general correspondence maintained in the agency with proper backup and security controls.</p>	
Raster Image	<ul style="list-style-type: none"> <li>- TIFF (uncompressed)</li> <li>- PNG (*.png)</li> <li>- JPEG (raw)</li> </ul> <p>- "Raw" JPEG are those images that have not been resized.</p>	<ul style="list-style-type: none"> <li>- BMP (*.bmp)</li> <li>- <b>JPEG/JFIF (*.jpg)</b></li> <li>- JPEG2000 (prefer uncompressed) (*.jp2, *.jpx)</li> <li>- <b>TIFF (CCITT Group 3/4, JPEG, PackBits compression)</b></li> </ul>	<ul style="list-style-type: none"> <li>- MrSID (*.sid)</li> <li>- TIFF (with LZW compression or in Planar format)</li> <li>- GIF (*.gif)</li> <li>- FlashPix</li> <li>- PhotoShop (*.psd)</li> <li>- All other raster image formats not listed here</li> </ul>
Vector Graphics	<ul style="list-style-type: none"> <li>- SVG 1.1 (*.svg)</li> </ul>	<ul style="list-style-type: none"> <li>- CGM</li> <li>- WebCGM</li> <li>- DWF *</li> </ul> <p>* AutoCAD is the state approved product.</p>	<ul style="list-style-type: none"> <li>- Encapsulated PostScript (EPS)</li> <li>- Macromedia Flash (*.swf)</li> <li>- All other vector image formats not listed here</li> </ul>
Audio	<ul style="list-style-type: none"> <li>- AIFF (uncompressed) (*.aif, *.aiff)</li> <li>- WAVE (LPCM only) (*.wav)</li> </ul>	<ul style="list-style-type: none"> <li>- Standard MIDI (*.mid, *.midi)</li> <li>- Windows Media Audio (*.wma) *</li> <li>- MP3 (*.mp3)</li> <li>- SUN Audio (uncompressed) (*.au)</li> </ul> <p>*Same as Word files, Windows is the supported state standard.</p>	<ul style="list-style-type: none"> <li>- AIFC (*.aifc)</li> <li>- NeXT SND (*.snd)</li> <li>- RealNetworks 'Real Audio' (*.ra, *.rm, *.ram)</li> <li>- WAVE (compressed) (*.wav)</li> <li>- All other audio formats not listed here</li> </ul>
Video	<ul style="list-style-type: none"> <li>- <b>MPEG-1, MPEG-2 (*.mpg, *.mpeg)</b></li> <li>- Motion JPEG2000 (*.mj2)</li> <li>- AVI (uncompressed) (*.avi)</li> <li>- Motion JPEG</li> </ul>		<ul style="list-style-type: none"> <li>- AVI (compressed) (*.avi)</li> <li>- QuickTime Movie (*.mov)</li> <li>- MPEG 4 (*.mp4)</li> <li>- RM (RealNetworks; 'Real Video') (*.rv)</li> <li>- Windows Media Video (*.wmv)</li> </ul>

	(* .avi, * .mov)		- All other video formats not listed here
Spreadsheet Database	- Delimited Text (* .txt, * .csv) - SQL DDL	- DBF (* .dbf) - OpenOffice (* .sxc) - Excel (* .xls)*  * Excel part of the MSOffice group and supported by state architecture standards.	- All other spreadsheet/database formats not listed here
Presentation	-	- OpenOffice (* .sxi) - PowerPoint (* .ppt)	- All other presentation formats not listed here

**Additional Format Requirements**

- File formats listed under Low Confidence Level shall be converted to a High or Medium Confidence format or preserved at the bit level only.
- Fully or partially encrypted files shall be unencrypted prior to transfer to KDLA.
- Password protected files shall be opened with protections removed prior to transfer to KDLA.
- Any files produced with Digital Right Management controls shall have all controls removed prior to transfer.
- Use platform independent, vendor independent, nonproprietary, stable, open and well-supported formats.
- The records shall not be compressed unless KDLA has approved the transfer in the compressed form in advance. In such cases, KDLA shall require the agency to provide the software to decompress the records.

**Documentation**

Documentation adequate to identify, service and interpret electronic records shall be transferred to KDLA with the records. Where possible, agencies shall submit required documentation in an electronic form that conforms to the provisions of this section.

**3.2. Portable Document Format (PDF) Transfer Procedures**

KDLA considers PDF an acceptable format for the transfer of electronic records, including all records in PDF; records converted to PDF from a native electronic formats (e.g., office automation products); and records converted to PDF from scanned paper or image formats such as TIFF. Agencies shall comply with the following *minimum* requirements to transfer permanent records as PDF documents:

**General requirements for all PDF records**

- Security Requirements

PDF records shall not contain security settings (e.g., self-sign security, user passwords, and/or permissions) that prevent KDLA from opening, viewing or printing the record.

PDF records shall have all security settings deactivated (e.g., encryption, master passwords, and/or permissions) *prior to transfer to KDLA*. Deactivating security settings ensures KDLA's ability to support long-term migration and preservation of the records.

**Note: Agencies shall use appropriate security settings (as identified in the Enterprise Architecture Standards and Policies) up to the time of transfer to KDLA.**

- **Review of Special Features**

Because of complexities associated with certain PDF features, KDLA shall review PDF records containing special features on a case-by-case basis when the records are scheduled. Examples of special features include but are not limited to digital signatures; links to other documents, files or sites; embedded files (including multi-media objects); form data; comments and/or annotations.

**Records converted to PDF from native electronic formats**

Electronic records converted to PDF from their native electronic formats (e.g., office automation products) shall include embedded fonts to guarantee the visual reproduction of all text as created. All fonts embedded in PDF records shall be publicly identified as legally embeddable (i.e., font license permits embedding) in a file for unlimited, universal viewing and printing.

PDF records that reference fonts other than the "base 14 fonts"<sup>1</sup> shall have those fonts referenced in the record (i.e., as a minimum, subsets of all referenced fonts) embedded within the PDF file. This requirement is met by having, as a minimum, subsets of all referenced fonts embedded within the PDF file.

**Scanned paper or image formats converted to PDF**

PDF records that contain embedded searchable text based on Optical Character Recognition (OCR) shall be identical in content and appearance to the source document. KDLA shall accept PDF records with uncorrected OCR'd text, but shall not accept PDF records resulting from OCR processes that either alter the content or degrade the quality of the original bit-mapped image.

An example of an output process that accomplishes this requirement is Searchable Image - Exact.

KDLA shall not accept PDF records that have been OCR'd using processes that substitute OCR'd text for the original scanned text within the bit-mapped image. Such OCR processes may involve loss of data through imprecise interpretation of scanned characters. Examples of output processes that use this prohibited technique include Formatted Text and Graphics and PDF Normal.

KDLA shall not accept PDF records that have been OCR'd using processes that use lossy compression to reduce file size (e.g., JPEG). Such OCR processes degrade the quality of the original image and may make images unsuitable for archival preservation. An example of an output process that uses this lossy compression technique for color and grayscale images is Searchable Image - Compact.

Agencies that have permanent records in PDF format that do not meet the requirements shall call 502-564-8300, ext. 242 to determine the most appropriate medium and format for transfer.

**Transfer documentation**

In addition to submitting a signed transmittal form, agencies shall provide documentation that identifies the software used to create the PDF records (if available) and the version(s), and the operating system (if available) and version(s). Agencies shall provide all external finding aids for the transferred PDF records (e.g., indexes; descriptive, administrative, or technical metadata; and/or databases of OCR'd text) in formats approved by KDLA.

When an agency has standards or guidelines to assist in formatting, validating, or accessing PDF records (including recommended software or quality settings, and/or guidelines for embedding metadata within PDF records), a copy of the guidelines shall be included with the transfer.

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<sup>1</sup> The base 14 fonts are: Courier (Regular, Bold, Italic, and Bold Italic), Arial MT (Regular, Bold, Oblique, and Bold Oblique), Times New Roman PS MT (Roman, Bold, Italic, and Bold Italic), Symbol, and ZapfDingbats.

**Transfer Mechanisms**

PDF records shall not be compressed (e.g., Winzip, PKZIP) or aggregated (e.g., TAR) transfer unless KDLA has approved the transfer in compressed or aggregated form in advance. In such cases, KDLA shall require the agency to provide the software to decompress the records.

**Levels of Access**

KDLA provides access to the creating agency and to all researchers requesting PDF records accessioned from state agencies. While compliance with these procedures will improve future access to records, KDLA's ability to provide access to certain records will vary according to hardware and software dependency. KDLA provides users with a copy of fully releasable electronic record files on media currently approved by KDLA. For PDF records transferred to KDLA, the user is responsible for obtaining the necessary hardware and software to view the records.

**Appendix A: Box Label and Instructions**

Public Records Division Kentucky Department for Libraries and Archives		
Agency		
Unit		
Title of Records		
Dates of Records		Destruction Date
FROM:	TO:	
Box Number	Total Boxes	Accession No.
Arrangement of Records		
Description of Contents		
PRD 60 Rev. 11/83		

Sample Box Label

## INSTRUCTIONS FOR COMPLETING BOX LABEL

- (1) **AGENCY:** Enter the name of Cabinet, Department, Commission, University, Public School District, City, etc.
- (2) **UNIT:** Enter the name of the unit which falls under the Agency listed above.
- (3) **TITLE OF RECORDS:** Enter the title of the record exactly as it appears on the agency's approved records retention schedule.
- (4) **DATES OF RECORDS:** Enter the inclusive (earliest and most recent) dates of the records in each container. The dates should match the entry for the same box on the Records Transmittal to State Archives Center or State Records Center.
- (5) **DESTRUCTION DATE:** Enter the month and year the records are due to be destroyed. The same date will appear on the Records Transmittal form for the shipment. If permanent records are being transferred, enter **NONE** in this item.
- (6) **BOX NUMBER:** Enter the number of the box the label is to be placed on. This number should match the entry for the same box on the Records Transmittal form.
- (7) **TOTAL BOXES:** Enter the total number of boxes for the entire shipment. This number should match the total number of containers entered on the Records Transmittal form.
- (8) **ARRANGEMENT OF RECORDS:** Indicate how the records are arranged in the box, i.e., alphabetical, numerical, chronological.
- (9) **DESCRIPTION OF CONTENTS:** Enter information about the specific contents of the box or other information which will aid in identifying contents for retrieval purposes.

**NOTE:** The Accession Number will be entered on each label by Public Records Division staff after the shipment of records is received.

THE BACK OF THE BOX LABEL IS COVERED WITH GLUE. TO AFFIX LABEL TO BOX, THOROUGHLY DAMPEN.

PLACE LABEL IN THE CENTER OF THE BOX OPPOSITE THE RE-ENFORCED END.

IN ADDITION, USING A MAGIC MARKER, PLACE THE NUMBER OF THE BOX IN THE UPPER RIGHT HAND CORNER OF THE BOX.

**Appendix B: Transmittal Form and Instructions**

# Records Transmittal to State Archives Center or State Records Center

Kentucky Department for Libraries and Archives, Public Records Division  
300 Coffee Tree Road, P. O. Box 537, Frankfort Kentucky 40602

Cabinet/Local Jurisdiction \_\_\_\_\_

Department/Local Government Office \_\_\_\_\_

Division \_\_\_\_\_

Branch/Unit \_\_\_\_\_

Retention Schedule Date \_\_\_\_\_

Total Containers \_\_\_\_\_

Permanent? Yes  No

Destruction Date \_\_\_\_\_  
(Month, Year)

PRD USE ONLY	
Accession No. _____	RG. No. _____
Compiler _____	Date _____
Shelver _____	Vol. _____
Reviewer/Date _____	Retention _____
L _____ DC _____ I _____ DR _____ Destroyed _____ DD _____	

PRD USE	FOR AGENCY USE			
LOCATION IN CENTER	BOX ROLL <input type="checkbox"/> BOOK <input type="checkbox"/> BUNDLE <input type="checkbox"/> OTHER <input type="checkbox"/>	SERIES NUMBER AS ON SCHEDULE	TITLE OF RECORDS, EXACTLY AS LISTED ON THE RECORDS RETENTION SCHEDULE	DATE SPAN OF RECORDS IN EACH CONTAINER

**IS ACCESS TO THESE RECORDS RESTRICTED? Yes  No  IF YES, CITE AUTHORITY**

\* By transferring permanent records to the State Archives Center, an agency acknowledges that records are not needed for current business use.  
By transferring permanent records to the State Records Center, an agency acknowledges that records are needed for current business use.

Agency Records Officer/Signature \_\_\_\_\_ Date \_\_\_\_\_

Records Officer should send completed form, as an attachment, to [state.records@ky.gov](mailto:state.records@ky.gov). Save until you receive your locator copy.

## Records Transmittal to State Archives Center or State Records Center (Continuation Sheet)

PRD USE ONLY	Accession No.
--------------	---------------

Cabinet/Local Jurisdiction

Department/Local Government Office

Division

Branch/Unit

PRD USE		FOR AGENCY USE		
LOCATION IN CENTER	BOX ROLL <input type="checkbox"/> BOOK <input type="checkbox"/> BUNDLE <input type="checkbox"/> OTHER <input type="checkbox"/>	SERIES NUMBER AS ON SCHEDULE	TITLE OF RECORDS, EXACTLY AS LISTED ON THE RECORDS RETENTION SCHEDULE	DATE SPAN OF RECORDS IN EACH CONTAINER
SAMPLE				

## TRANSMITTAL FORM INSTRUCTIONS

The Records Transmittal to State Archives or State Records Center (PRD form 70) must be completed by the agency. If the first page of the transmittal is insufficient to record the entire shipment, use the Transmittal Continuation Sheet (PRD form 70a). Use as many continuation forms as necessary.

**Completing Transmittal:** Fill in the data on the first page of the Records Transmittal as follows:

- (1) **Cabinet/Local Jurisdiction:** Enter your agency's cabinet or local jurisdiction.
- (2) **Department/Local Government Office:** Name of department or local government office which falls under the entity listed above.
- (3) **Division:** Name of division which falls under entity listed above.
- (4) **Branch/Unit:** Name of branch or unit which falls under the entity listed above.
- (5) **Retention Schedule Date:** The month and year the current Records Retention Schedule for your agency was approved by the State Archives and Records Commission. This information can be found on the signature page, which accompanies the retention schedule or the top right-hand side of an individual schedule page.
- (6) **Total Containers:** The total number of boxes, rolls, books or bundles in this transmittal (i.e., shipment).
- (7) **Permanent?:** Indicate by marking an X in Yes or No space.
- (8) **Destruction Date:** The day, month, year the shipment of records is due to be destroyed. If the records are permanent, type NONE.

To figure the destruction date, use the retention period from your approved retention schedule for the series being transferred and apply it to the latest date of the records in the shipment. For example, if the retention of the record being transferred is five years and the latest date of the records is 2004, the destruction date will be January 2010.

- (9) **Box, Roll, Book, Bundle, Other:** Check the appropriate box to indicate whether the records being transferred are in boxes, rolls of microfilm, books, bundles or other, which indicates special media, such as videotapes, etc. In this column, you will record each individual container in numerical sequence. When transferring boxes of records, each shipment must begin with box number 1, then be listed in numerical sequence thereafter.

- (10) **Series Number as On Schedule:** Enter the series number from your Records Retention Schedule for the record(s) you are transferring. When transferring non-permanent records, more than one series can be included in the shipment, providing all series have the same destruction date. When transferring permanent records, only one series, or record type, per transmittal is acceptable. For single series shipments, the series number need only be recorded one time per page.
- (11) **Title of Records, Exactly as Listed in the Records Retention Schedule:** The title of the record exactly as shown in the Records Retention Schedule. For single series shipments, the title of the record need only be recorded one time per page. You must also enter a brief description of the contents of each container in this column. For alphabetical and numeric files, enter the name or number of the first and last file.
- (12) **Date Span of Records in Each Container:** The inclusive dates (oldest and most recent) of the records in each box, roll, book, bundle, etc. If the date span is the same for the entire shipment, you need only enter one time per page. If multiple series are being transferred, enter date spans per container.
- (13) **Is Access to These Records Restricted?:** Please indicate whether access to the records being transferred is restricted. If Yes is marked, you must give the appropriate citing from any of the Kentucky Revised Statutes, Kentucky Administrative Regulations or Code of Federal Regulations.

The remaining blocks of the transmittal will be completed by Public Records Division staff after the shipment is received.

After completing the transmittal retain a copy, either digitally or in paper. The Agency's Records Officer should forward a copy of the transmittal via e-mail to the State Records Branch, Public Records Division at [state.records@ky.gov](mailto:state.records@ky.gov).

You will be contacted by either State Records Center or State Archives Center staff regarding pickup or delivery of the records being transferred.

After the shipment has been put on location in the appropriate Center, you will receive your Agency Locator Copy of the transmittal from the State Records Branch, Public Records Division. You should then destroy the copy of the transmittal you saved.

**Appendix C: Records Request Form**

**INSTRUCTIONS FOR PRD-160  
RECORD REQUEST FORM**

If you need further instructions, call 502-564-3617 and speak to anyone who answers. An alternate phone number is 502-564-8300, extension 237.

- 1) Enter your agency name (i.e. state agency, county name, etc).
- 2) Enter your office name (i.e. Public Records Division, circuit or district court, etc).
- 3) Enter your name.
- 4) Enter a contact phone number where we can reach you, and your extension if any. If this is a copy request for a customer enter the customer's phone number here.
- 5) Enter the action for this request (Example: send to a John Smith on receipt of record).
- 6) Check Original or Photocopy. Do you need the original record or a photocopy? Only the custodial agency can request that the original record be sent out. Other parties need to request a copy. There is a charge for copy service.
- 7) Enter your agency's address (and a mail stop if any). If this a copy request for a patron, enter the patron's billing address here.
- 8) Location is listed on the Agency Locator copy of the appropriate records transmittal in the block labeled **Location in Center** on the left side of the form. (The format for the State Records Center is: Roman Numeral - Letter - Number. [Example: X-F-24 or V-F-24]) (The format for State Archives Center is: (Letter and Number / Letter and Number - Number. [Example: C31/E1-A])
- 9) Accession Number is listed on the Agency Locator copy of the appropriate records transmittal in the small box at the top right. (Example: R2007-1234 or A2007-1234). In the case of accessions in years prior to 1983 the format will be the number of the shipment followed by the year of the shipment. (Example: Transmittal 1 of 1982).
- 10) Unit Number is listed on the Agency Locator copy of the appropriate records transmittal in the block labeled **Box; Roll; Book; Bundle; or Other** second from the left.
- 11) This is the title of the record (name on case or description of the file).
- 12) This is the case number or file number.
- 13) Will you be returning the record to the State Records Center or the State Archives Center? (Yes or No)
- 14) Libraries and Archives use only.
- 15) Libraries and Archives use only.
- 16) In this block you can note specific instructions to follow once you receive the record, or you can enter instructions to ensure we understand your request.
- 17) Libraries and Archives use only.
- 18) These are the addresses to send records back for storage. Accession numbers beginning with an "R" are to be sent back to the State Records Center. Accession numbers beginning with an "A" are to be sent back to the State Archives Center.





**Appendix D: Electronic Records Transmittal**

**Electronic Records Transmittal to State Archives**  
 Kentucky Department for Libraries and Archives, Public Records Division  
 300 Coffee Tree Road, P.O. Box 537, Frankfort Kentucky 40602  
[RecordsTransfer@ky.gov](mailto:RecordsTransfer@ky.gov)

<b>Cabinet/Local Jurisdiction</b>	
<b>Department/Local Office</b>	
<b>Division</b>	
<b>Branch/Unit</b>	
<b>Retention Schedule Date:</b>	

Method of Transfer (Check One)		
<input type="checkbox"/> Optical Disk Disk No./Total Number of Disks: Number of Folders on Disk:	<input type="checkbox"/> File Transfer Protocol (FTP)	<input type="checkbox"/> E-mail Attachment
Total Number of Files Transferred:		

File Characteristics				
Series Number (As on Schedule)	Folder Name (Complete file name)	Format of Records in Folder	Number of Records in Folder	Date Span of Records

File Format Specifications		
<b>Software (and Version) Used to Created File</b>		
<b>Security Checklist</b>	<b>Security Settings Including DRM) Deactivated</b>	<b>All Fonts Referenced and Embedded</b>
<b>Other Documentation Included:</b> (See PDF Transfer Procedures for what must be included.)		

Agency Contact Information		
<b>Records Officer</b>	<b>Phone Number</b>	<b>Email Address</b>
<b>Technical Contact</b>	<b>Phone Number</b>	<b>Email Address</b>
<b>Form Completed By:</b>	<b>Date Form Completed:</b>	

For KDLA use only	
<b>Accession Date:</b>	<b>Accession Number:</b>