

Supreme Court of Kentucky

2024-30

ORDER

**IN RE: RECORDS RETENTION SCHEDULE FOR THE
 ADMINISTRATIVE OFFICE OF THE COURTS**

Under Section 110(5)(b) of the Kentucky Constitution and KRS 26A.220, it is ORDERED that the Administrative Office of the Courts Retention Schedule, which is attached to this order and incorporated by reference, is hereby approved. The Administrative Office of the Courts Retention Schedule previously approved by Supreme Court Order 2024-11 (April 12, 2024) shall be rescinded and deleted in its entirety.

This Order shall be effective upon entry and until further Order of this Court.

Entered this 27th day of August 2024.


CHIEF JUSTICE

All sitting; all concur.

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

Schedule Date:

STATE AGENCY RECORDS
 RETENTION SCHEDULE

Court of Justice
 Administrative Office of the Courts
 Agency-Wide

Record Group
 Number
 9999

Series	Records Title and Description	Function and Use
30001	Historical Documents	Documents produced during the operation of the agency that reveal the rationale and evolution of departments with the agency.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	At the records officer's discretion. Previous series: 20035
	Retention and Disposition	Retain in agency as needed for administrative use, then forward to state law library for permanent retention.
30002	Civic/Diversion/Law-Related Education Material	This series documents civic education programs administered by the Administrative Office of the Courts using grant funding. It also contains materials relating to court-ordered programs regarding delinquency, divorce, and family issues.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Programs, learning materials, teachers' manuals, textbooks, and videos. Previous series number: 20036
	Retention and Disposition	Retain 1 copy permanently at State Law Library.
30003	Inactive User Email Data	This series documents the email data sent and received by inactive users.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Incoming and outgoing messages, correspondence, and other communication sent via email to or from an inactive user.
	Retention and Disposition	Retain for 30 days and then destroy.
30004	Routine Correspondence	This series documents general work activities related to administration of the functions, programs and policies of the Kentucky Court of Justice. Routine Correspondence documents day-to-day activities related to the functioning of the courts. It can be in paper or electronic format.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Routine correspondence refers to incoming and outgoing correspondence and may consist of: letters, notes, postcards, memoranda, announcements, or information commonly found in the body of e-mail messages and/or any attachments. Electronic mail messages also contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. Routine correspondence does not include: non-business related messages, spam and junk mail.
	Retention and Disposition	Retain no longer than two (2) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Agency-Wide

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30023	General Work Product	This series serves as a reference tool to document the destruction of records generated during the routine course of business in the Administrative Office of the Courts.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Correspondence, working budget requests, computations, and other draft product. Previous series: 10015, 10016, 20012, 20013
	Retention and Disposition	Destroy when no longer administratively necessary.
30060	Administrative Policies	This series documents the administrative policies for the Kentucky Court of Justice.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Kentucky Court of Justice administrative policies, current and previous. Previous series: 20037
	Retention and Disposition	Retain permanently in agency, and send one copy to the State Law Library.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Audits

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30005	Auditor Review of Monthly Financial Report	This series documents monies collected by the circuit clerks' offices. It provides a detailed accounting of fines and fees collected and dispersed in each county.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series contains summary financial report, jury fund report, jury order for reimbursement, jury reimbursement schedule, driver's license report, witness fund report, witness order for reimbursement, witness reimbursement schedule, fish and wildlife report, refund supporting documents. Previous series: 10019, 20010
	Retention and Disposition	Retain in agency for 2 years. Destroy after audit.
30006	KCOJ Occupied Facilities Audit	This record documents and tracks the verification process of operation expenses for county buildings occupied by the Court of Justice on a prorated basis. This information results in an upward or a downward adjustment to the county's reimbursement.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Results of field verification of prior year operating costs, verification of court facility operating costs, and court facility reimbursement adjustment form. Previous series: 10034, 20011
	Retention and Disposition	Retain in agency 8 years, then destroy after audit
30007	Master Commissioner Audits	This series documents the individual sale of real estate or personal property. It is used to verify the accuracy of the financial records maintained by the master commissioner's office in each county.
	Access Restrictions	Ex Parte Farley, OAG 02-235
	Contents	Series contains: bank statements, check registers, orders of disbursement, orders of distribution, collateral security agreements, auditor work papers, case file copies. Previous series: 10040, 20048
	Retention and Disposition	Retain in agency 8 years, then destroy after audit
30010	Circuit Clerk Audits Final Report	This series contains the final report generated from audits of the Circuit Court Clerk conducted by AOC.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series may contain: date, table of contents, introduction, auditor's report, financial statements, balance sheets, report on compliance, notes, recommendations, statistics Previous series: 10034, 20011
	Retention and Disposition	Retain in agency 8 years, then destroy after audit.
30011	Internal Audits	This series documents internal audits performed by the Administrative Office of the Courts.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series may contain: date, table of contents, introduction, auditor's report, financial statements, balance sheets, report on compliance, notes, recommendations, statistics.
	Retention and Disposition	Retain in agency for 8 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Audits

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30012	Special Investigations	This series is created to communicate findings and recommendations resulting from a special investigation.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series may contain: Findings, recommendations, evidence, notes, correspondence.
	Retention and Disposition	Retain in agency 8 years, then destroy after audit.
30013	Hotline/Complaint Case File	This series documents the receipt of complaints against the Kentucky Court of Justice.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series may contain: Original complaint, correspondence, referral letters, copy of final report if generated, and related files.
	Retention and Disposition	Destroy after 2 fiscal years.
30014	Quality Assessment	A quality assessment review (QAR) is required for auditors that follow the Institute of Internal Audits auditing standards. This is an audit of the internal audit group to ensure standards when we conduct internal audits. This assessment is performed every 5 years, and is retained as proof that the quality assessment was performed.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series may contain: date of assessment, checklists, report on compliance.
	Retention and Disposition	Retain in agency for 8 years and destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Communications
Creative Services

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30015	Video Recordings	This series documents recordings and video productions not related to educational or departmental conferences.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Unique conferences that are not part of the normal Judicial or Circuit Clerk education programs and are more than individual departmental conferences and trainings. News stories involving the COJ. Video clips used for demonstrations and presentations. Videos distributed to staff for educational purposes both in-house produced and purchased/vendor videos. Videos produced by other courts. Events at AOC. Recordings of conferences. Raw footage from in-house productions may be destroyed when no longer necessary. Previous series: 20027
	Retention and Disposition	Conferences of a unique nature are kept permanently at the State Law Library. Videos used for presentations and demonstrations: destroy after use. Videos distributed to COJ personnel: retain-in house productions permanently at State Law Library, destroy vendor productions once they are no longer valid for distribution. Retain video productions from other courts for 5 years, then destroy. Raw footage from in-house productions will be kept in the department as long as administratively necessary and transferred and stored permanently at State Law Library if deemed necessary by the department.
30016	Webinar and Training Recordings	This series documents video recordings of training programs and webinars produced for Judicial Branch Education by the Creative Services Division.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Video recordings of Educational Conferences as well as associated banquets and opening remarks made by special guests. Previous series #20026
	Retention and Disposition	Retain permanently in agency.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Communications
Public Information

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30017	Publications and Annual Reports	Publications pertaining to the Kentucky Court of Justice, the Kentucky Supreme Court, and the Administrative Office of the Courts. Functions as a comprehensive summary of agency activities, services, and results of the past year.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	May contain: date, statement from the Chief Justice, agency changes and goals, departmental changes, goals and summaries of activities and projects as well as all publications produced by the Administrative Office of the Courts.
	Retention and Disposition	Retain 1 copy permanently at State Law Library.
30018	Directories	Directories of justices, judges, circuit clerks, and Administrative Office of the Courts staff,
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Contact information, addresses, and optionally, a short biography for justices, judges, circuit clerks and Administrative Office of the Courts staff.
	Retention and Disposition	Retain 1 copy permanently at State Law Library.
30019	Photo Libraries	Photos used for Directories as well as photos of Kentucky Court of Justice and Administrative Office of the Courts events. Also includes official photographs taken by the state photographer.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Directory portraits, photographs of Court of Justice and Administrative Office of the Courts' events, and official photographs taken by the state photographer.
	Retention and Disposition	Send to State Law Library to be retained Permanently. All photos shall be transferred to State Law Library and the Librarian shall determine which copies will be retained permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Budget

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30020	Master Grant Files	All records related to the award and administration of a grant.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Application, notice of award, financial and programmatic reports, grant adjustment notices/modifications, audit findings, and responses. Previous series: 10009, 20005, 20009, 20044
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30021	Expenditure Summary Reports	Records related to the documentation of the Kentucky Court of Justice's monthly expenditures by fund type and unit code.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Budget and expenditure reports for court operations and local facilities fund appropriation. Revenue generating report.
	Retention and Disposition	Retain permanently.
30024	Biennial Budget	Document that outlines the proposed financial plan submitted to the General Assembly prior to biennium budget legislation for consideration and approval as the operating budget.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Request, recommendation, final budget, and enacted budget bill. Previous series: 10017, 20014
	Retention and Disposition	Retain 1 copy permanently at the State Law Library. Retain in agency for as long as administratively necessary.
30025	Bond Record	This series documents municipal bond transactions that establish the Administrative Office of the Court's payment obligations for capital construction projects.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Debt schedules and final official statement. Previous series: 10018, 20015
	Retention and Disposition	Maintain in agency for the life of the bond plus 8 years.
30027	Payroll Reports	A twice-monthly report generated by the KHRIS system.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Employee name, salary, and benefits paid by the Kentucky Court of Justice.
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30028	Capital Plan	Six-year capital plan the Judicial Branch is required by KRS § 26A.160(2)(d) and KRS § 7A.120 to submit to the Kentucky General Assembly every odd-numbered year.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Plan may include a list of proposed projects, in priority, by biennium
	Retention and Disposition	Retain in agency as long as administratively necessary. Retain a copy permanently in State Law Library.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Budget

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30029	Budget Reports	Records include reports generated by the Budget Department either on a recurring basis or upon request.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Youth Record Checks; Use Allowance Contingency Fund; Facilities Maintenance Report to Legislative Appropriations & Revenue Committee; CPBOC Project Status Reports
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30030	Court Facilities Reimbursements	Records include documentation supporting payments to local units of government for the operation and maintenance of court facilities.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Operating budget estimates; Annual Reimbursement Forms; Nonrecurring project payment documentation for court facilities owned by local governments.
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Court Facilities - Capital Construction

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30032	Capital Construction Project Record	Records related to the various phases taken in projecting, analyzing, designing, constructing, and finishing a capital construction project.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Feasibility study (if applicable); Project Development Board meeting agendas and minutes; Progress Reports; Design Phase approval letters; Project status reports; Plan of Finance documents; Phase submissions from design professional; Bid tabulations; certification of design review; inspection reports; change order requests; payment request documents; site photos; project correspondence; preliminary approvals; space analysis; preliminary and final proposals; budget documents; owner contracts including but not limited to financial advisor agreements, construction manager agreements, architect agreements, site option agreements, change orders and final approvals; warranties; operating manuals; financial close out documents; and record submission documents.
		Previous series: 10033, 20030
	Retention and Disposition	Retain Permanently
30034	Blueprints (Buildings)	This record documents the as-built drawings for new construction court facilities.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Blueprints and related drawings
		Previous series: 10037, 20033
	Retention and Disposition	Retain Permanently in Agency

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Court Facilities - Court Security

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30035	Court Security Training Curriculum	Series of documents developed in conjunction with Kentucky Law Enforcement to provide statutorily required court security officer training.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Training and curriculum materials; Documents approving training and curriculum materials
	Retention and Disposition	Retain permanently in agency.
30036	Security System Plans	Floor plan layouts illustrating installed security equipment systems.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Security system floor plans; specifications; equipment lists
	Retention and Disposition	Retain for entirety of facility occupancy plus 8 years.
30037	Security System Maintenance and Repair Request	This series documents requests submitted by Kentucky Court of Justice personnel and officials to complete a repair, replacement, maintenance, or upgrade, of security equipment and systems.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Request; court security approval, denial, or deferment decision
	Retention and Disposition	Retain for entirety of facility occupancy plus 8 years.
30038	Security Camera Recordings	Digital recordings captured and saved by security cameras installed by the Administrative Office of the Courts in court facilities.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Digital file of security camera footage.
	Retention and Disposition	14 days or until DVR equipment reaches capacity and records over the previous file.
30039	Security Access Control Card Log	Digital file that logs the location and time a security access control card is used to enter a secure door.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Badge assignment information, assigned badge number, access date and time.
	Retention and Disposition	Retain as long as administratively necessary.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Court Facilities - Court Security

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30052	Security Assessments and Recommendations	Assessments of court facility security equipment, systems, protocols, and personnel needs.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Court facility assessments of existing physical security systems and future needs; assessments of court security officer personnel staffing needs; Court security recommendations.
	Retention and Disposition	Retain permanently in agency.
30053	Security Incident Reports	AOC-FAC-50 Security Incident Report forms that are completed to document a security incident.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	AOC-FAC-50 Security Incident Report
	Retention and Disposition	Retain permanently in agency.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Court Facilities - Real Property

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30040	Private and Public Sector Lease Record	Series of documents related to the acquisition and execution of a lease for space to be used by the Court of Justice with a private sector owner or government entity.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Space request and search documentation, site visit documentation, floor plan development, suitability assessments, project costs worksheet; program access/accessibility reviews and approvals, invitation to lease, proposals/quotes; responsiveness review, best and final offers; disclosure of ownership, best and final offer summary; lease recommendation and approval; contact log; lease certification.
		Previous series: 10036, 20032
	Retention and Disposition	Destroy 8 years after termination of lease.
30041	Fixed Asset Record	This record series is used to document assets owned by the COJ. It is updated when a new item is purchased and when old items are sold or surplus. Used to track each item and know the whereabouts of the item and for the annual audit.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series contains the name of the asset, a COJ tag #, description of asset, purchase date, serial number, PO #, acquisition costs, current value and totals.
		Previous series: 10038, 20057
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30043	Physical Inventory Records of Fixed Assets	Series of documents associated with the annual inventory of fixed assets valued at \$5,000 or more for the purpose of completing the Annual Comprehensive Financial Report submitted to the Executive Branch's Finance and Administration Cabinet, and regular physical inventories conducted of fixed assets valued at \$300 or more.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Property Accountability County Specific Inventory Form, ACFR Inventory Observation Log Sheet, ACFR Inventory Certification Memo, Physical Inventory Reports of Assets valued at \$300 or more, and eMARS FA, FM, and FD documents
	Retention and Disposition	Retain as long as administratively necessary.
30044	Surplus Property Descriptions	Documents associated with declaring and disposing of surplus property.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Requests to Declare Surplus, Surplus Declarations, donation records, disposal records
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30045	Requests for Space	Series of documents created to track the request and assignment of space for COJ use.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Space request forms, site visit documentation
	Retention and Disposition	Retain in agency 8 years, then destroy after audit. If the search results in a lease, retain for 8 years after the termination of the lease.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Court Facilities - Real Property

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30046	Work Order Requests and Nonrecurring Projects	Series of documents related to requests submitted by a Court of Justice employee, official, or local government owner of a court facility to complete a repair, replacement, maintenance, upgrade, or renovation project and the resulting project, if any.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Work order request form; court facilities approval, denial, or deferment decision; requests and approvals for project costs reimbursement.
	Retention and Disposition	Retain entirety of facility occupancy plus 8 years.
30047	Floor Plans	Record created by Court Facilities to illustrate the layout, use of space, and room assignments for any space occupied by the COJ.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Final floor plan.
	Retention and Disposition	Retain for entirety of Facility occupancy plus 8 years.
30048	Court Facility Operation and Maintenance	Records related to the operation and maintenance of court facilities owned and operated by a local unit of government or COJ.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Janitorial and maintenance employee/contract records and background checks; operation manuals; and warranties for court facilities
	Retention and Disposition	Retain for 8 years.
30049	Property Insurance for Court Facilities	The Certificate of Insurance (COI) issued by an insurance company or broker relating to a court facility that verifies the existence of an insurance policy.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Certificates of insurance for court facilities
	Retention and Disposition	Retain for the entirety of occupation of property plus 8 years, then destroy after 8 years.
30050	Fleet Maintenance and Assignment Records	Records related to the maintenance, assignment, and operation of fleet vehicles owned by the AOC.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Maintenance and repair requests; approved invoices; registration; fleet inspection reports; GPS records; requests to use AOC fleet vehicles; and assignment forms.
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30051	Space Audits	Records created to document the occupancy percentage of court facilities shared with another occupant such as a local unit of government.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Final Space Audit; Notice of Change in Occupancy Ratio.
	Retention and Disposition	Retain for entirety of facility occupancy plus 8 years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Court Facilities - Warehouse

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30134	Warehouse Requests	Service requests for furniture deliveries, surplus property pick and disposal, office space moves, and other requests as assigned.
	Access Restrictions	Ex Parte Farley, 570 SW2D 617, AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Warehouse work order tickets
	Retention and Disposition	Retain 3 years then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Court Facilities-Capitol Construction

**Record Group
Number
9999**

Series	Records Title and Description	Function and Use
30133	Assessments and Feasibility Studies	Records related to assessments or feasibility studies conducted prior to the authorization of a capital project by the General Assembly that typically used for prioritization of the Capital Plan.
	Access Restrictions	Ex Parte Farley, 570 SW2D 617, AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Final assessments or feasibility studies
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Financial Services

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30009	Master Commissioner Annual Reports	Provides a detailed accounting of all funds received and distributed by the Office of Master Commissioner for a calendar year. Also accounts for the Master Commissioner fees earned and expenses paid.
	Access Restrictions	Ex Parte Farley, 570 SW2D 617, AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Annual reports from each Master Commissioner and bank statements
	Retention and Disposition	Retain in agency 8 years, then destroy after audit
30042	Content/Asset Loss Claims	Series of documents related to an insurance claim filed for the loss of assets located within a court facility.
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Date of loss, explanation, document number, amount of loss to be paid to agency Previous series: 10012, 20058
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30126	Annual Comprehensive Financial Report	Judicial Branch's portion of the Commonwealth of Kentucky's Annual Comprehensive Financial Report (ACFR).
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Agency closing package forms summarizing expenditures and revenues. Previous series: 10013, 20007
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30127	Insurance Documentation	This series consists of a series of documents that establish insurance coverage for the employees and property of the Court of Justice.
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Applications, if applicable; full insurance policy, bond with terms, limits and any applicable schedules; and/or certificate of insurance for each of the following: Performance Bonds for Circuit Court Clerks, Appellate Clerks, Deputy Clerks, Master Commissioners, and AOC financial staff; Master Crime Policy (full faith and credit performance bond) for all KCOJ employees; Insurance for real and physical property of the judicial branch; Directors and Officers Insurance for the OBA; and Professional liability insurance for the Chief Justice.
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Financial Services

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30128	Master Commissioner Administrative Records	Series of records documenting communications to Master Commissioners approving deviations from the Master Commissioner's Accounting Policy and Procedures manual and approving salaries for Master Commissioners and staff.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Requests from Master Commissioners for waivers, exceptions, and salaries; emails, letters, or forms approving or denying waivers or exceptions and authorizing salaries; collateral security agreements and approvals thereof; training documents Previous series: 10042, 20050
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30129	Open Records	Series of documents related to Open Record Requests submitted to the Administrative Office of the Courts.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Open records requests; response to request including email and documents provided; notice of appeal to the Attorney General; response to notice of appeal; Attorney General's determination; appeals to Chief Justice; Chief Justice's determination
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30130	Financial Statements	This series documents the financial activities of the Judicial Branch of the Commonwealth of Kentucky. These are audited annually.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Annual Audited Financial Statements and Supplementary Information
	Retention and Disposition	Retain permanently in agency.
30131	Taxable Vehicle Benefits	Series of documents related to the calculation and notification of taxable vehicle benefits for any Court of Justice fleet vehicle assigned to an elected official or employee
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Mileage report submitted by elected official or employee; calculation worksheet; communication to the AOC Human Resources Department
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Financial Services - Accounting

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30054	Accounts Payable Records	The records in this series are the financial records for all accounts payable.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	GAX, GAX2, PRCC, PRC, TP, IT/ITA payment documents, invoice or payment requests, JV2E, JV2R, purchase order/task order, receiver, travel vouches and required internal Accounting Services forms. Previous series: 10001, 10002, 10003, 10004, 10005, 10008, 10011, 20001, 20002
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30056	Imprest Cash Document [CLOSED]	Imprest cash kept in checking account outside of Treasury
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Bank statements, change fund increase requestor and authorization amounts of increase. Previous retention series: 10006, 20003
	Retention and Disposition	Records no longer being generated. Maintain the remainder of the file until 8 years is complete, then destroy.
30057	Accounts Receivable	Records documenting the deposit and/or redeposit of funds into KCOJ's state fund account. Deposits and redeposits from agency collects, private agency grants, misc. deposits and fees from the public.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Cash settlement documents, Division of Records reports, VitalCheck reports, CourtNet reports, Executive Branch Treasury Transmittal Cover Sheet. Previous series: 10007, 20004
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30059	Wire Transfer Documentation	Record of wire transfers to and from AOC.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Treasury request for wire transfer forms, eMARS MD and CR documents. Previous series: 20008
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Financial Services - Procurement

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30058	AOC Contracts and Lease Agreements	Documents formalizing agreements between AOC and others. Personal Service Contracts, Memorandums of Agreement (MOAs), Master Agreements, and Lease Agreements
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Requisition, certificate of good standing, contract, modifications, renewals, quotes, determination and findings, exception forms, and eMARS CTRP1/SC/PON2 documents
		Previous series: 10010, 20006
	Retention and Disposition	Retain for 8 years or until no longer administratively necessary, whichever is longer.
30122	Purchase Documents	Series of documents issued by the AOC to purchase goods or services that includes the following: purchase orders (PO), delivery orders (DO), task orders (TO), memorandums of agreement (PON2), and personal services contract (SC or PON2).
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Requisitions, purchase orders, delivery orders, task orders, quotes, any related commercial contracts, user agreement, or service level agreement, determination and findings, and exception forms.
	Retention and Disposition	Retain for 8 years or until no longer administratively necessary, whichever is longer.
30123	Real Property Contracts	Contracts related to real property transactions and capital construction projects.
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Documents formalizing purchase agreement for real property, deeds, MOUs for a capital construction project, service provider contracts for a capital construction project, and bonding documents, including use and lease/sublease agreements.
	Retention and Disposition	Retain permanently in agency.
30124	Commercial Contracts	Series of documents that includes contracts submitted by a vendor or contractor containing terms and conditions customarily offered competitively in the commercial marketplace that differ from or supplement the terms and conditions contained in an AOC contract or purchase order. Commercial contracts include: service level agreements, equipment leases, license agreements, statements of work, and any other document containing terms and/or conditions not included in the AOC contract or purchase order.
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Requisition, contract, certificate of good standing (over \$10,000), Director's Office memorandum (if applicable), and determination and findings.
		Previous series: 10010, 20006
	Retention and Disposition	8 years after expiration or termination of contract.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Finance and Administration
Financial Services - Procurement

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30125	Memorandums of Understanding	Series of documents related to any contractual agreement documenting the rights and obligations of two or more parties that does not require the exchange of money.
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Requisitions and MOUs. Previous series: 10010, 20006.
	Retention and Disposition	Retain in agency for 8 years after expiration or termination of contract then destroy.
30132	Solicitations	Records relating to solicitations let for goods or services (RFP and RFB).
	Access Restrictions	Ex Parte Farley, 570 SW2D 617, AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Requisition, solicitation and any modifications, proposals/bids, RFP evaluation committee NDA and conflict forms, responsibility and responsiveness reviews, RFP evaluation committee grading sheets, cumulative score sheets, notice of awards, determination and findings, best and final offers, and all communications with bidders
	Retention and Disposition	Retain in agency 8 years after expiration of resulting contract or until no longer administratively necessary, whichever is longer.
30135	Delegation of Authority Forms	Forms documenting the delegation of requisition authority or contracting authority to an employee of the KCOJ
	Access Restrictions	Ex Parte Farley, 570 SW2D 617, AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Signed Requisition Authority Forms, Signed AOC Director's Delegation of Contracting Authority forms
	Retention and Disposition	Retain in agency 8 yearS or until no longer administratively necessary, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of General Counsel
Legal Services

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30061	Forms	This series includes iterations of forms produced by the Administrative Office of the Courts for use in the court system. Some forms are designated by statute.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	All versions of the various forms produced by AOC for use by the courts.
	Retention and Disposition	Retain all versions in agency as long as administratively necessary. Retain one copy of each version of each form permanently at the State Law Library.
30062	Opinions	This series documents the opinions authored by the Administrative Office of the Courts' Division of Legal Services.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Opinions
	Retention and Disposition	Retain until no longer administratively necessary.
30063	Litigation Files	This series documents the activity and work product generated by Legal Services in preparation for and during litigation.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series may contain: pleadings, correspondence, research, court orders, evidence, decisions, and other case documentation.
	Retention and Disposition	Retain in agency for as long as administratively necessary.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of General Counsel
State Law Library

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30065	Library Purchase Orders	Used to track purchases by law library for Judicial libraries.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	PO number, account number item purchased. Previous series: 20067
	Retention and Disposition	Retain in agency 8 years or until no longer administratively necessary, whichever is longer.
30066	County Law Library Inventories and Accountings	Per KRS 172, this file documents annual inventories sent to circuit clerks to document county law library holdings and expenditures of CLL.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Receipts, accountings, bank statements, inventories. Previous series: 20068
	Retention and Disposition	Retain permanently at State Law Library.
30067	Commissioned Studies	Study aspects of the COJ.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Occasionally the COJ contracts with a research group to conduct a study on different aspects of the COJ, these studies are published sometimes for distribution and sometime for internal use only. Previous series: 20069
	Retention and Disposition	Retain one copy permanently at State Law Library
30068	Records Transmittals	This series documents the transfer of administrative records from an Administrative Office of the Courts agency to the custody of the State Law Library. The records transmittal form Records requests must be sent from the court agency that generated the records, which will then determine if access restrictions apply. The records transmittal confirms the request, return, and current location of the record.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series contains: Agency name, unit, retention schedule date, total number containers, destruction date, accession number, date shelved, initialed, volume in cubic feet, record group code, location in center, container type, series number, title of records exactly as listed on the records retention schedule, date span of records in each container, restriction and authority, records officer signature, date, number of pages.
	Retention and Disposition	Retain permanently in agency.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of General Counsel
State Law Library

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30069	Records Destruction Certificates	This series documents the destruction of administrative records by the Administrative Office of the Courts. All records eligible for destruction must be disposed of in compliance with this Records Retention Schedule. If a record does not appear on the Records Retention Schedule, disposal may be made only at the discretion of the Records' Officer. Records of a sensitive or confidential nature should be shredded after meeting the retention period of the record.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series contains: Name of agency, date, unit, schedule date, accession date, destroyed at-agency or state records center, method of destruction, date of destruction, series number, record title and description, date span of records, volume cubic foot, box/book number, location in records center, total volume of records destroyed, signature of record center agent/date, signature of records officer or custodian/date
	Retention and Disposition	Retain one copy permanently in agency. The State Law Library also retains a copy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Human Resources
Human Resources

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30088	Judicial Branch Master Personnel Folder	This series documents the employment history of each individual employee. This series may be used to verify employment and positions held; determine eligibility for promotions, reclassification, awards, or salary adjustments.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Per Personnel Policy 5.09, this series is required to contain: employee's name, address, title of positions held, classification, rates of compensation, all changes in status including evaluations, promotions, demotions, layoffs, transfers, disciplinary actions, and employee responses to those actions, commendations, awards, and preliminary and other supporting documentations for each action, the complete record and supporting documentation for each personnel action. The series may include orientation checklist, education/training verification, payroll deduction authorization, test scores, resume, military records, correspondence. The series should not include medical records, worker's compensation materials, or grievances (unless it supports employment actions).
		Previous series: 20038
	Retention and Disposition	Retain electronic record for 50 years after most recent separation, then destroy.
30089	Employment Applications	This series documents applications submitted by job applicants.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series contains job applications, and any cover letters or resumes, submitted by job applicants. Applications to vacancies posted electronically via MyPURPOSE will be maintained electronically in MyPURPOSE.
		Previous series: 10044, 20039
	Retention and Disposition	Destroy 3 years after application or close of litigation, whichever is later.
30090	Time and Attendance Records	This series documents the time reported on a daily basis which is used to produce the salary of an employee during one pay period for work performed. Time and attendance reports also identify the leave time away from work that is charged to the employee. It is signed by the supervisor and forwarded to the agency's personnel and payroll section, to be entered into the appropriate payroll system.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series contains: Pay period ending date; number of administrative unit; employee name; social security number; dates of activity; hours worked-regular hours, any overtime hours; type of leave - sick, compensatory, annual, family, without pay; leave totals; signature of employee; signature of supervisor.
		Previous series: 10045, 20040
	Retention and Disposition	Retain in agency for 5 years then destroy.
30091	Medical/Health File	This series provides documentation of an employee's illness, injuries and treatment. This information is considered confidential and must be maintained separately from the personnel file in a secure file to ensure access is granted on a strictly need-to-know basis. May be used to verify eligibility for sick leave, sick leave sharing, workers' compensation benefits, FMLA, ADA accommodation requests; supporting medical documentation.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series may contain: medical certifications to support requests for sick leave; FMLA application/certification; SLS application & supporting documentation; workers' compensation first report of injury; medical statements from healthcare providers; test results.
		Previous series: 10047, 20041
	Retention and Disposition	Retain fifty (50) years after most recent date of separation, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Human Resources
Human Resources

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30094	KCOJ Personnel Policies File	This series documents policies developed by the Court of Justice to define the rights of employees and the responsibilities they are expected to meet as part of their job duties.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Rules and regulations that must be followed as part of the work place code of conduct. Rights of employees and information regarding leave time, payroll, and other personnel issues. Rules and regulations that must be followed as part of the work place code of conduct.
	Retention and Disposition	Retain one copy permanently at State Law Library.
30095	Form I-9, Employment Eligibility and Verification	This series verifies the identity and employment authorization of individuals hired for employment on or after November 6, 1986, by the Kentucky Court of Justice. The Form I-9, required by the Department of Homeland Security, Citizenship and Immigration Services, are maintained for both citizen and non-citizen employees, separately from the employee's personnel folder.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series contains: Form I-9
	Retention and Disposition	Retain for the duration of employment plus one year after termination of employment. If employee works for less than two years, retain three years from the date of hire.
30096	Salary Scale File	This series documents the salary scales approved by the Supreme Court and utilized by the Kentucky Court of Justice for tenured and non-tenured employees.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	File contains salary scales (current and previous).
	Retention and Disposition	Retain permanently in agency.
30097	Pay Practices File	This series documents the pay practices for the Kentucky Court of Justice.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	File contains pay practices for the Kentucky Court of Justice (current and previous).
	Retention and Disposition	Retain permanently in agency.
30098	Job Descriptions File	This series documents the title, characteristics, examples of duties, and the minimum requirements of a job. The HR Department maintains a master set of all approved job descriptions designated the date the job was created and the last revision date.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	File contains job description (current and previous).
	Retention and Disposition	Retain permanently in agency.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Human Resources
Human Resources

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30099	Sick Leave Sharing File	This series documents an employee's participation in the state's sick leave sharing program and the documentation necessary to verify eligibility for the program. It is used to provide support for the approval or denial of the request and for the transfer of sick leave from one employee to another. The recipient's agency shall maintain the sick leave sharing application and all sick leave sharing donation forms submitted for the recipient. If sick leave is donated/received between agencies, the donor's agency may retain a copy of the donation form as supporting documentation for reduction of the employee's sick leave balance. The file, which contains confidential medical information, must be maintained in a secure, confidential file, separate from the employee's personnel file. This file may be included in the Medical/Health File. Some components are maintained electronically in the Kentucky Human Resource Information System (KHRIS).
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	File contains sick leave sharing application; medical documentation verifying eligibility; signature of appointing authority; sick leave donation forms; documentation which tracks the amount of sick leave requested, donated, used, and returned to donors; any related correspondence.
	Retention and Disposition	Retain three (3) years then destroy.
30100	Workplace Injury and Illness Reporting Forms	This series documents employees' injuries and illnesses sustained in work-related incidents. The log series is used to record and classify reportable work-related injuries and illnesses and to document the severity of each case. It must be kept current and be presented to officials of the USDOL on request. The summary shows the total reportable injuries and illnesses for an establishment for a year and is required to be posted from February 1 through April 20 of the following year so employees are aware of the injuries and illnesses occurring in their workplace.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	File contains the OSHA Form 300 - Log of Work-Related Injuries and Illnesses; OSHA Form 300A - Summary of Work-Related Injuries and Illnesses; and the Workers' Compensation First Report of Injury Form IA-1)
	Retention and Disposition	Retain for five (5) years following the year to which each form pertains.
30101	Complaint/Grievance File	This series documents employee complaints and grievances filed pursuant to KCOJ Personnel Policies Sections 3 and 8. Included in this series are the KCOJ Employee Complaint form (PER-5.2), information pertaining to the investigation conducted (if applicable) and the resolution or decision.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	File contains the KCOJ Employee Complaint form (PER-5.2); if applicable, investigation notes, the Workplace Investigation Report; related letters, emails and communications; evidentiary support, including but not limited to employee summaries, documents, recordings, or other information presented through the course of the investigation; and the resolution or final decision.
	Retention and Disposition	Destroy five (5) years after resolution. If the grievance or complaint is the subject of an ongoing investigation, administrative proceeding or litigation, destroy five (5) years after conclusion of the investigation, proceeding or litigation.
30102	Equal Employment Opportunity Complaint File	This series documents KCOJ-level activities regarding Equal Employment Opportunity (EEO) complaints of discrimination. Alleged discrimination may be based upon the characteristics protected by law, including, but not limited to, race, age, and gender. Maintained within this file are any documents pertaining to an internal complaint filed with the Department of Human Resources, and any notices of complaints and requests for response provided by the Equal Employment Opportunity Commission and/or the Kentucky Commission on Human Rights.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	As applicable, this file contains the KCOJ Employee Complaint form (PER-5.2); Equal Employment Opportunity (EEOC) "Notice of a Charge of Discrimination", EEOC "Charge of Discrimination", Kentucky Commission on Human Rights (KCHR) "Service of Dual Filed Complaint of Discrimination", KCHR "Request for Information", Investigation notes, Workplace Investigation Report, Related letters, emails, and other communications, Evidentiary support, including but not limited to, employee summaries, documents, recordings, or other information presented through the course of the investigation; resolution or final decision; response to the requesting agency.
	Retention and Disposition	Retain complaints on which official personnel actions are taken for fifty (50) years, then destroy. Retain all other complaints until ten (10) years after subject of complaint leaves the Kentucky Court of Justice, or until ten (10) years after all legal, investigative or administrative matters have concluded, whichever is longer, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Human Resources
Human Resources

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30103	Annual Leave Sharing File	This series documents an employee's participation in the state's annual leave sharing program and the documentation necessary to verify eligibility for the program. It is used to provide support for the approval or denial of the request and for the transfer of annual leave from one employee to another. The recipient's agency shall maintain the annual leave sharing application and all annual leave sharing donation forms submitted for the recipient. If annual leave is donated/received between agencies, the donor's agency may retain a copy of the donation form as supporting documentation for reduction of the employee's annual leave balance. This file may be included in the Judicial Branch Master Personnel Folder or a separate Annual Leave Sharing file may be maintained. Some components are maintained electronically in the Kentucky Human Resource Information System (KHRIS).
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	File contains annual leave sharing application; signature of appointing authority; annual leave donation forms; documentation which tracks the amount of annual leave requested, donated, used, and returned to donors; any related correspondence.
	Retention and Disposition	Retain in agency 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Information and Technology Services
Court Services

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30064	Mediation Files	This series documents mediation proceedings and findings generated by Legal Services.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series may contain: correspondence, mediator's notes, mediator's report of the outcome of the mediation.
	Retention and Disposition	Retain in agency until no longer administratively necessary.
30070	Juror Disqualification Forms	Copy of notice from the Circuit Clerk's office to permanently remove a juror from the AOC Juror database due to death or permanent dismissal from service
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	entail Juror's name, personal identifiers and reason for permanent removal from Juror database.
	Retention and Disposition	Destroy 5 years after removal from database.
30076	Notice of Submission for Final Adjudication	The report is prepared pursuant to SCR 1.050(8) of all cases submitted to judges for final adjudication. This is a tracking tool for the Administrative Office of the Courts to submit a monthly report to the Chief Justice.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	County, court division, case number, judge's name, attorney's name, style of case, decision rendered, parties, submission date, mail date.
	Retention and Disposition	Destroy 2 years after final ruling of submission.
30077	Clerks' Exam	The examination required for prospective candidates for clerk.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Registration, communication with testees, exam questions, answer key, video documentation of the exam, and results.
	Retention and Disposition	Retain in agency 6 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Information and Technology Services
Judicial Branch Education

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30071	Continuing Judicial Education File	File contains the information pertaining to each Judge's completion and participation in Continuing Judicial Education Credits.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	File may contain: affidavit of attendance for approved continuing judicial education programs; request for exemption from SCR 8.000 mandatory CJE; certification of preparation for teaching or participating in approved CJE activities; affidavit of publication of legal writing for CJE credit; affidavit of completion for approved CJE program delivered by technological means. Supporting documents. Transcript of CJE credits. Previous series: 10028, 10029, 10030, 10031, 20023
	Retention and Disposition	Destroy affidavits and supporting documents 4 years after end of biennium. Destroy entire file 2 years after Judge leaves office.
30072	Circuit Clerks' Continuing Professional Education Credit File	File contains information pertaining to circuit court clerks' continuing professional education credits and circuit court clerks' proof of continued education requirements.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Name, programs attended, verification of credits earned, transcript of credits. Previous series: 20024
	Retention and Disposition	Retain in agency for 3 years, then destroy.
30073	Education Materials	This series documents the content of training or educational conference materials produced by any department at the Administrative Office of the Courts. This includes, but is not limited to: materials produced for continuing education credits for judicial colleges, materials produced for credit for circuit clerks, and materials produced by the Office for Judicial Branch Education used for departmental trainings and conferences.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Conference Materials; E-Binders; Agendas, Summary Booklet, and all other materials produced. Previous series: 20025
	Retention and Disposition	Retain all copies for 2 years. Retain 1 copy at Judicial Branch Education for 3 years, Retain 1 copy permanently at State Law Library.
30074	Conference Video Recordings	Recordings of live conferences and educational events sponsored by the Administrative Office of the Courts. These are used for continuing education credits for judges and clerks who could not attend the conferences and for historical purposes to see what programs were produced in prior years. Recordings also sometimes contain speeches by justices, legislators and other government officials and dignitaries.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Video recordings of events, including but not limited to educational conferences, speeches, banquets, and opening remarks made by special guests. Previous series: 20026
	Retention and Disposition	Retain full conference or training for 10 years. Permanently retain at State Law Library: keynote address, lunch/awards, banquets, and appearances by the Chief Justice.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Information and Technology Services
Judicial Branch Education

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30075	Surveys and Evaluations	This file contains surveys that are completed at the end of a conference to obtain feedback on presented materials. Comments and scores are compiled into a summary for ease of review.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Scores and comments for presentations, summary of evaluations Previous series: 20028
	Retention and Disposition	Destroy evaluation after the summary is compiled. Keep the summary in the department for as long as administratively necessary.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Information and Technology Services
Research and Statistics

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30078	RCS Daily Audit	This record series documents the daily collection of fees collected and to locate record requests processed by record control specialists.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Type of request, quantity of records and amount of cash received during the reporting period. Previous series: 10052, 20062
	Retention and Disposition	Destroy print 3 years after digital conversion. Retain digital records permanently.
30079	Court Disposition Request Form	Request for a record check using COJ automated system
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series may contain: Individual's name, social security number, date of birth, maiden or alias names, street address, city, state, zip, signature of individual requestor, date, company represented, company request/contact person, telephone number and address, amount of fees collected per request. Previous series: 10053, 20063
	Retention and Disposition	Retain print 3 years after digital conversion. Retain digital records permanently.
30080	Quarterly DUI Report	The Circuit Clerks are required to report to AOC on or within 5 working days by quarter of each year, cases involving violations of KRS 189A.010 that are pending 90 days or more. AOC is then required by statute to send a report to the Chief Justice and the Attorney General.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series Contains: District, county, case number, style of case, judge, file date, disposition date if disposed, charge, complaining witness, counsel's name if any; defendant's race sex, BA level, uniform citation number, trial type, disposition date and disposition manner. Previous series: 10054, 20064
	Retention and Disposition	Destroy 2 years after the end of the FY
30081	Supreme Court Report - Cases Submitted	Report cases pending 90 days or more to the Supreme Court per SCR 1.050(8)
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Judge's name, case numbers of cases over 90 days old, county, date submitted, date mailed, reason provided-yes or no. Previous series: 20066
	Retention and Disposition	Destroy 2 years after submission

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Language Access
Language Access

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30104	Applicant and Contractor Information	Applications for court interpreter certification. These must be completed in order to become certified as a Court of Justice Interpreter.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Contract information and documentation of contract eligibility. Documents will contain personal information including: social security numbers, date of birth, address, etc. Previous series: 20016
	Retention and Disposition	Retain in department for 10 years after contractor becomes inactive.
30105	Policies and Procedures	Documented policies and procedures for the Department of Language Access.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Contains those rules and regulations that need to be followed by interpreters to meet the agency goals and the goals and legal requirements set by the Kentucky Department of Justice.
	Retention and Disposition	Retain one copy permanently at the State Law Library.
30106	Certification Documentation and Exam Results	This series documents examination results of the applicant's certification of their qualifications to provide language services.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Applicant names, exam results.
	Retention and Disposition	Retain permanently in agency.
30107	Requests From Counties	This series provides a record of requests made by counties for Language Access services.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	County name, date, request, relevant case information.
	Retention and Disposition	Retain in department for 10 years after Contractor becomes inactive.
30108	Training Manuals and Materials	This series consists of any publications or resources made by the Department of Language Access for the purposes of training and reference.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Manuals, handouts, informational resources, and any other materials created by the Department.
	Retention and Disposition	Send one copy to the State Law Library for permanent retention. Retain in department as long as administratively useful.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Language Access
Language Access

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30109	Translated Forms and Documents for Public Use	This series contains forms and pamphlets translated by Kentucky Court of Justice Language Access contactors for the general use by the public.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Translated forms and pamphlets
	Retention and Disposition	Retain permanently in department. Send 1 copy to the State Law Library for permanent retention.
30110	Complaints	This series documents complaints made regarding services provided by Kentucky Court of Justice Language Access contractors.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Complaints received from online complaint system.
	Retention and Disposition	Retain permanently in department.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Statewide Programs
Family and Juvenile Services

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30082	Volunteer Applications	This series contains applications for volunteers for Foster Care Review Boards
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Includes personal information as well as background checks on all applicants. Previous series: 10039, 20034
	Retention and Disposition	Destroy 2 years after termination of volunteer work.
30083	CDW Case Files	This series documents efforts to resolve charges brought against juveniles without a formal court hearing. Resolution of charges is usually accomplished through a diversion agreement, which is a formal statement of conditions which the juvenile must meet. The agreement is between a Court Designated Worker (CDW), the parent, and the juvenile. If the juvenile fails to satisfy the terms of the diversion agreement within six months, a formal court appearance is required. All information gathered by the CDW in the diversion agreement process is incorporated into the case file, which is maintained to help monitor activities of the juvenile until the work of the CDW has ceased.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Juvenile complaint/petition, order to take juvenile into custody, per-adjudicative detention criteria, promise to appear in juvenile proceedings, waiver of special review- public offense, preliminary notices, preliminary inquiry interview summary, preliminary inquiry formal/informal processing criteria and recommendations, release of information, public offense recommendation to county attorney, notice of right to special review, notice regarding a conference for a public/status offense, diversion agreement, unsuccessful diversion agreement, prior record. File also contains personal information for juvenile including personal identifiers. File also contains tracking card used to locate file. Previous series: 03481, 03482, 20070
	Retention and Disposition	Retain in county office until the child reaches 18, transfer to the AOC record center and destroy after 1 year.
30084	Court Designated Worker Case Management System	This series contains information necessary for the Department of Family and Juvenile Services to obtain statistical data pertaining to agreements. It records the type of diversion agreement voluntarily entered into by the juvenile and whether the agreement was/was not successfully completed. This series provides a complete recording of the juvenile's movement through the informal process. It was created in order for the Administrative Office of the Courts to obtain information necessary for statistical purposes.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Case referral number, child's name, sex, race, offense, offense code, diversion agreements, restitution amount, restitution paid, community work service hours, community work service hours completed, diversion agreement date, date of final action. Previous series: 03483, 03484, 03485, 03486, 03487, 03488, 20071
	Retention and Disposition	Aggregate data entered into the CDW system is retained in electronic format permanently.
30085	Educational/Training Materials	This series documents the educational resources and training content produced by Family and Juvenile Services.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Course content, presentations, handouts, educational materials.
	Retention and Disposition	Retain permanently in Agency.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Statewide Programs
Family and Juvenile Services

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30086	Citizen Foster Care Review Board Casefile	This series documents efforts of local citizen foster care review boards to review every child in the custody of the Cabinet for Health and Family Services due to dependency, neglect, abuse, or status offenses, in order to keep safe, timely permanency as the central objective of the court and the cabinet, as well as maintaining focus on the child's well being while in out-of-home care. The citizen foster care review program has statewide statutory authority under KRS 620.190, with the scope of the review outlined in KRS 620.270. The statewide citizen foster care review board program was created in 1986 Ky. Acts Ch. 423, sec. 80, effective July 1, 1987. Per statute, these reviews occur at least every six months until the child is adopted or no longer in the custody of the Cabinet for Health and Family Services, KRS 620.270 (1). The Family Services Department at the Administrative Office of the Courts provides support services for the citizen foster care review boards. A casefile is created for these reviews which includes the child's case plan, placement summary, and service recordings. All information discussed during the reviews is to remain confidential, KRS 620.210 (2). Review board members are appointed by their local family court judge (district court judge in non-family court jurisdictions) per KRS 620.190 (1).
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Children's list of children scheduled for review, review board meeting schedules, lists of persons invited to attend the reviews, status lists of children assigned to each board, findings and recommendations forms completed for each child reviewed, correspondence received pertaining to children being reviewed, case plans, placement summaries, service recordings, court documents, and additional case material. File also contains personal information for child including personal identifiers.
	Retention and Disposition	Retain in program coordinator's local county office for two years, based on a calendar year. Destroy after two years.
30087	Citizen Foster Care Review Board Case Management System	This series contains information necessary for the Family Services Division to obtain statistical data pertaining to children in out-of-home care to meet statutory requirements for the citizen foster care review boards' annual report, KRS 620.320 (3). It records the child's name, identifying information, number of reviews, barriers to permanency, and local solutions to meet barriers. This series provides a complete recording of the child's episode in out-of-home care. It was created for the Administrative Office of the Courts (Family Services) to obtain information necessary for statistical purposes.
	Access Restrictions	Ex Parte Farley, 570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Child's DCBS and court case numbers and county, child's name, sex, race, date of birth, age, entry date, release date, release reason, number and types of placements, findings and recommendations completed for each child, board name.
	Retention and Disposition	Data entered into the citizen foster care review board (CFCRB) system is retained in electronic format permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Statewide Programs
Pretrial Services

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30111	Monthly Statistical Reports	This form is used to measure productivity of pretrial officers' contacts with defendants. It summarizes information contained in the Jail Log pursuant to RCr 4.06
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Series contains the number of defendants who were released, refused pretrial interview, interviewed, eligible for program release, presented to the judiciary and were eligible, released on programs, number of scheduled court appearances for program release, rearrested prior to pending trial, indigency affidavits, domestic violence addendums completed. Previous series: 10049, 20051
	Retention and Disposition	Retain information in PRIM for 10 years. Retain aggregate data permanently.
30112	Jail Log	This form measures the performance of the pretrial officers in their contacts with the defendants. It summarily documents the following activities: The defendants' choice to be interviewed or to refuse to be interviewed; the pretrial officers' determination of eligibility for program release; the pretrial officers' presentation of the defendants to a judge; the judges' initial bond decision; the judge's later change of bond; the defendants' type of release; the defendants' dates of release; the pretrial officers' 24 hour representation of the defendants to a judge; the pretrial officers' completion of a domestic violence addendum to an interview; the defendants' rearrests; the pretrial officers' completion of an affidavit of indigency; the pretrial officers' arraignment for service of the defendants' outstanding warrants; and miscellaneous comments pursuant to RCr 4.06 and RCr 4.38.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Judicial District, date of arrest, defendant's name, charges, declined interview, interviewed, eligible, presented, initial bond, bond change, type of release, date of release, 24 hour review, addendum, program rearrest, warrants served, rearrest. Previous series: 10050, 20052
	Retention and Disposition	Retain information in PRIM 10 years. Retain aggregate data permanently.
30113	Pretrial Interview File	This interview form is used by the judge to set bail. It is also used for personal identification, future bond reviews, service of warrants, and sentencing of those found guilty pursuant to RCr 4.06.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Interview form (PT-21), Domestic Violence Addendum (PT-21-DV), Prior Criminal Record (PT-23), LINK/NCIC printout, Release Order/Bail Bond (F-365), Courtnet printout, DOT printout. Previous series: 10051, 20053
	Retention and Disposition	Retain in PRIM 10 years. Retain aggregate data permanently.
30114	Supervision File	Documents the supervision of the offender in the system and their progression, until either completion or exit from the program.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Contains personal data required by defendants to prove they are completing requirements of diversion programs. Can contain but is not limited to work verification, drug testing, check in sheets, contact information. Previous series: 20054
	Retention and Disposition	Destroy 2 years after exit or completion of program.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Statewide Programs
Pretrial Services

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30115	Attendance Records	Documents that show the attendance of Pretrial employees at trainings, providing proof of continued education.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Name, dates attended, programs attended. Previous series: 20055
	Retention and Disposition	Retain permanently in department files. Transfer to HR File upon separation..
30116	National Conference Materials	The National Pretrial Association has held their conference in Kentucky, hosted by the Administrative Office of the Courts Department of Pretrial Services. The materials from the conference are kept for historical purposes.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Training materials, video recordings, banquet recordings. Previous series: 20056
	Retention and Disposition	Retain 1 copy permanently at State Law Library. Retain in agency until no longer administratively necessary.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Office of Statewide Programs
Specialty Courts

Record Group
Number
9999

Series	Records Title and Description	Function and Use
30117	Probation Referral Logs	This log keeps an ongoing record of the number of referrals and clients to be assessed. The form documents if a client is eligible for the program, and the date notice was sent out.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Date of referral, name, charge, attorney, judge, next court date and type of release. Previous series: 10024, 20017
	Retention and Disposition	Retain in agency for 10 years, then destroy.
30118	Diversion Referral Logs	The log is completed for all participants who meet the diversion eligibility criteria. The log delineates that a waiver has been signed, an assessment conducted, and a drug test requested. Based upon the assessment and other pertinent information, it is then determined and noted on the log if the defendant is eligible for the program.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Date of arrest, name, charge, attorney, preliminary hearing date, and type of release. Previous series: 10025, 20018
	Retention and Disposition	Retain in agency for 10 years, then destroy.
30119	Participant Files	This series contains the file of participants who have been accepted into a diversion program. While actively in the program, the file is updated at least once a week and reviewed by the judge frequently. It includes supporting documentation of the participants' progress in the program.
	Access Restrictions	42 CFR Part 2, PL 104-191, Ex Parte Farley
	Contents	Pertinent court documents, treatment and case notes, assessments, criminal record, waiver of confidentiality, referral orders, employment information, drug test results, calendars and assignments. Previous series: 10027, 20019
	Retention and Disposition	Destroy 6 years after discharge from the program (includes graduation, termination, and completion of aftercare).
30120	Staff Attendance Records and Training Certifications	These are the sign in sheets and certifications of attendance at continuing education seminars and topic-specific trainings conducted by the agency and by outside groups to assure that officers are keeping current on topics of importance. They are used to prove attendance and educational requirements are being met.
	Access Restrictions	Ex Parte Farley,570 SW2D 617; AP Part XVII Open Records Policy of the Administrative Office of the Courts
	Contents	Name, dates attended, title of programs attended. Previous series: 20020
	Retention and Disposition	Destroy when no longer administratively necessary.