

Supreme Court of Kentucky

2012-14

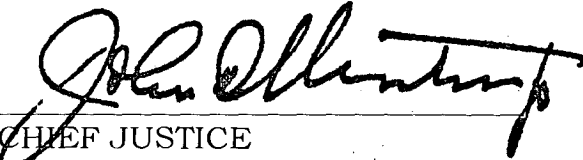
IN RE: RECORDS RETENTION SCHEDULE FOR THE ADMINISTRATIVE OFFICE OF THE COURTS

ORDER

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 The previous records retention schedule for the Administrative Office of the Courts, Supreme Court Order 2005-06, is rescinded and deleted in its entirety.

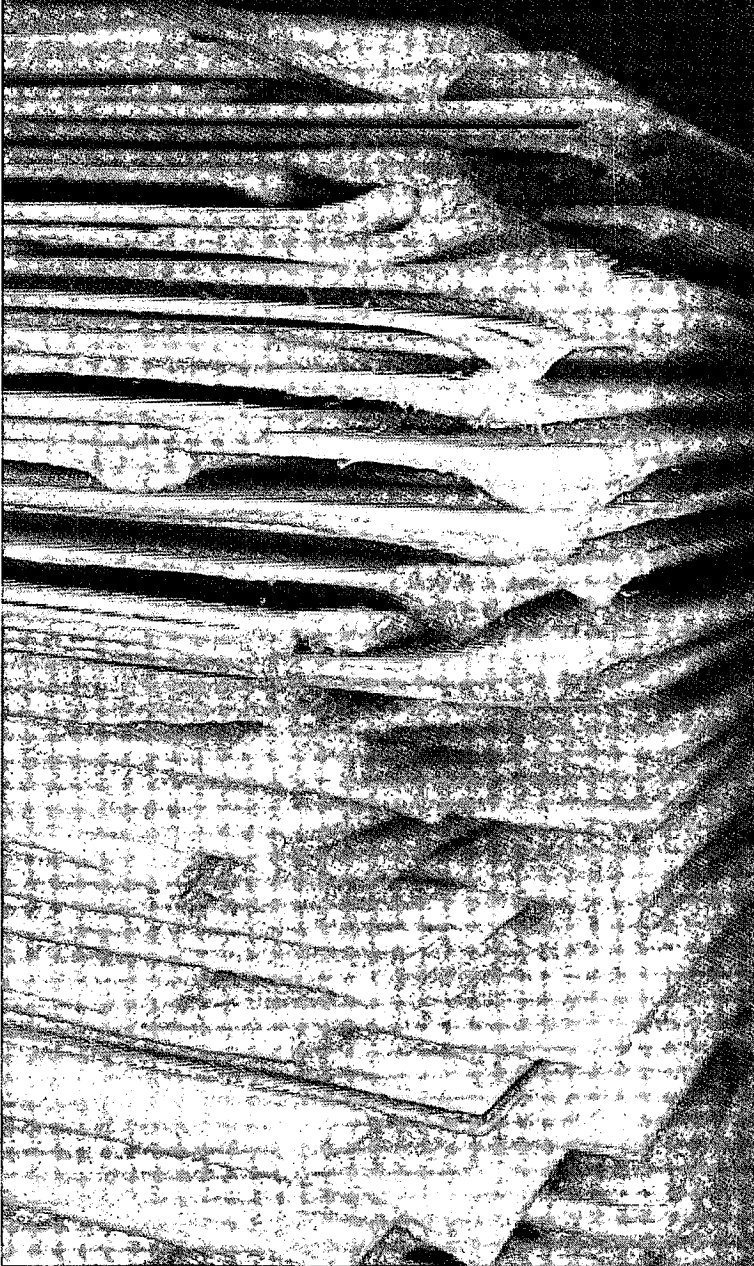
This Order shall be effective upon entry and until further Order of this Court.

Entered this 26th day of October, 2012.


CHIEF JUSTICE

KENTUCKY COURT OF JUSTICE

Administrative Office of the Courts Records Retention Schedule



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
 Accounting/Purchasing

Record Group
 Number
 9999

Records Title Series and Description	Function and Us
20001 Accounts Payable Records This series now contains previous schedule series 10001, 10002, 10004, 10005, 10008, 10011, Previous retention series Access Restrictions Contents Retention and Disposition	The records in this series are the financial records for all accounts payable. Ex Parte Farley GAX, GAX2, PRC, TP Payment, ITA payment documents, including standard invoice or payment requests, expense documentation, and purchase order/requisition reference tracking instruments attached when applicable. Retain 8 years then Destroy
20002 Departmental Authorization Form Previous #10003 Access Restrictions Contents Retention and Disposition	The purpose of this series is to show that items were received and that they are ready for payment. Ex Parte Farley Contains Purchase Order number, receiving party and item description. Destroy 8 years after employee leaves AOC
20003 Imprest Cash Document Previous Retention #10006 Access Restrictions Contents Retention and Disposition	Imprest cash kept in checking account outside of Treasury Ex Parte Farley Bank statements, change fund increase requestor and authorization amounts of increase. Destroy after 8 years
20004 Cash Receipts Previous retention #10007 Access Restrictions Contents Retention and Disposition	This document is used to deposit and/or redeposit funds into the agency's state fund account. Deposits and redeposits are from agency collections, private agency grants, misc. deposits and fees from the public. Ex Parte Farley Agency number, document number, amount, string, explanation of deposit and deposit string Destroy after 8 years

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Accounting/Purchasing

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20005	Periodic Audits Previous retention #10009	APA audits payroll periodically because agency's greatest expenditure is payroll. All other areas are reported in CAFR but not subject to individual audition of the sections. Federal grants are reported in the APAs SSWAK report and if necessary federal or agency greants are audited by the agency when deemed necessary.
	Access Restrictions	Ex Parte Farley
	Contents	Grant revenues and expenditures, grant files. Agency expenditures and revenues by account title.
	Retention and Disposition	Destroy after 8 years
20006	Personal Service Contracts, Memorandums of Agreement and Master Agreements, (MOAs), Memorandums of Understandings (MOUs) Previous retention #10010 (Y)	Documents formalizes agreements between AOC and others for provisions of goods or services
	Access Restrictions	Ex Parte Farley
	Contents	Contracts and correspondence
	Retention and Disposition	Retain for 5 years after expiration or termination of contract then destroy
20007	Annual Comprehensive Closing Package Previous Retention Schedule #10013	The purpose of this series is to report on expenditures for the FY and all other financial information.
	Access Restrictions	Ex Parte Farley
	Contents	Expenditures, revenues, grant information, inventory, fixed asset inventory, leased items above \$5000,
	Retention and Disposition	Destroy after 8 years
20008	MD Payment Documents-Facility Bond Payments Including Wire Transfer Information	Record of wire transfers between agencies
	Access Restrictions	Ex Parte Farley
	Contents	Accounting information regarding transfer of money between agencies
	Retention and Disposition	Destroy after 8 years

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Accounting/Purchasing

Record Group
Number
9999

Series and Description	Records Title Function and Us
20009 Federal Grant Financial Documentation including annual grant reports and individual grant audits	The function of this series is to keep records of federal grant funding awarded to the COJ.
Access Restrictions	Ex Parte Farley
Contents	Financial documentation of grant funding, account information, grant reports and other supporting documentation of expenditures.
Retention and Disposition	Destroy after 8 years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Auditing

Record Group
Number
9999

Records Title Series and Description	Function and Us
20010 Auditor Review of Monthly Financial Report Previous Retention #10019	This series documents monies collected by the Circuit Clerk's Offices. It provides a detailed accounting of fines and fees collected and dispersed in each county.
Access Restrictions	Ex Parte Farley
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.
Retention and Disposition	Destroy after 2 Fiscal Years
20011 County/City Audit Record Previous retention series #10034	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
Contents	Results of field verification of prior year operating costs verification of court facility operating costs and court facility reimbursement adjustment form.
Retention and Disposition	Retain 8 years then Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Budget and Policy

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20012	Budget Draft/Proposals Previous retention # 10015 (Y)	This series serves as a reference tool for the working budget process. It is used only to verify amounts, details, etc. until a final budget is approved.
	Access Restrictions	Ex Parte Farley
	Contents	Each fund and department's proposed budget, agency request, executive recommendations, 3 previous years' expenses, current year expenses, estimated expenses for current year.
	Retention and Disposition	Destroy at the end of second biennial fiscal year.
20013	Budget work papers Previous retention # 10016 (Y)	This series documents the budget process and helps in the preparation of the proposed budget for submission to the LRC and the Finance and Administration Cabinet.
	Access Restrictions	Ex Parte Farley
	Contents	Correspondence, working budget requests, computations, previous budget totals
	Retention and Disposition	Destroy at the end of the second biennial fiscal year
20014	Biennial Approved Budget Previous Retention #10017 (Y)	This series documents the allowed expenditures for the COJ this is a final product approved by the Legislative Branch.
	Access Restrictions	Ex Parte Farley
	Contents	The projected expenditures for each department, date narrative, reconciliation and signature.
	Retention and Disposition	1 copy retained permanently at the State Law Library
20015	Bond Record Previous Retention #10018 (Y)	This series documents the agreements entered into on municipal bond transactions and establishes AOC's payment obligations, each bond issued and subsequent activity. It is a record of when the bonds are issued and when they mature. This gives a history of department service.
	Access Restrictions	Ex Parte Farley
	Contents	Financing plan, payment schedules, correspondence, preliminary official statement, use and lease/sublease agreements, trustee statements, transcript for bond issue and CUSIP numbers.
	Retention and Disposition	Maintain at agency for life of the bond plus 10 years then transfer to AOC record center for permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Court Interpreting Services

Record Group
Number
9999

Records Title Series and Description	Function and Us
20016 Applicant and Contractor Information	Applications for court interpreter certification, must be completed in order to be certified to be a Court of Justice Interpreter.
Access Restrictions	Ex Parte Farley
Contents	Documents will contain personal information including: social security numbers, date of birth, address, etc.
Retention and Disposition	Retain at agency for 10 years after Applicant/Contractor becomes inactive. Transfer to the AOC record center and retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Drug Court

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20017	Probation Referral Logs Previous retention #10024 (Y) Access Restrictions Contents Retention and Disposition	This log will keep an ongoing record of the number of referrals, clients to be assessed. The form will document if a client is eligible for the program, and the date notice was sent out. Ex Parte Farley Date of referral, name, charge, attorney, judge, next court date and type of release. Destroy after 10 years.
20018	Diversion Referral Logs Previous Retention #10025 Access Restrictions Contents Retention and Disposition	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. Ex Parte Farley Date of arrest, name, charge, attorney, preliminary hearing date, and type of release. Destroy after 10 years.
20019	Participant Files Previous Retention #10027 Access Restrictions Contents Retention and Disposition	This series contains the file of participants who have been accepted into a Drug Court diversion program. While actively in the program, the file is updated at least once a week and reviewed by the judge frequently. 42 CFR Part 2, PL 104-191, Ex Parte Farley The file contains pertinent court documents, treatment and case notes, assessments, criminal record, waiver of confidentiality, referral orders, calendars and assignments. Destroy 6 years after discharge from the program (includes graduation, termination, and completion of aftercare).
20020	Staff attendance records/certification of trainings Access Restrictions Contents Retention and Disposition	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 the Drug Court officers are keeping current on topics of importance. They are used to prove attendance and educational requirements are being met. Ex Parte Farley Name, Dates attended, title of programs attended. Retain permanently in department file
20021	Participant Supporting Documents Access Restrictions Contents Retention and Disposition	Participants must provide proof of continued employment, proof of being drug free, various paper documents related to their continued success in the program. Ex Parte Farley Contains personal identifiers, employment information, address information and other sensitive documents. Destroy 1 year after completion/exit from program.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Drug Court

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20022	Control Group Assessments	Control group assessment following the recidivism rate of non drug court participants.
	Access Restrictions	Ex Parte Farley
	Contents	Name, personal identifiers, referral date
	Retention and Disposition	Destroy 5 years after referral to program.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Education

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20023	Continuing Judicial Education File Previous Retention # 10028, 10029, 10030, 10031	File contains the information pertaining to each Judge's completion and participation in Continuing Judicial Education Credits.
	Access Restrictions	Ex Parte Farley
	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 and supporting documents. Transcript of CJE credits.
	Retention and Disposition	Destroy affidavits and supporting documents 6 years after end of Biennium. Destroy entire file 4 years after Judge leaves office.
20024	Circuit Clerk's Continuing Professional Education Credit File	File contains information pertaining to Circuit Court Clerk's Continuing Professional Educations Credits and Circuit Court Clerks proof of continued education requirements.
	Access Restrictions	Ex Parte Farley
	Contents	Name, programs attended, verification of credits earned, transcript of credits.
	Retention and Disposition	Destroy after 3 years.
20025	Education Materials	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. Any department at AOC that produces training or educational conference materials are included in this group.
	Access Restrictions	Ex Parte Farley
	Contents	Conference Materials; E-Binders; Agendas and all other materials produced.
	Retention and Disposition	Retain all copies for 2 years, retain 1 copy at JBE for 10 years, retain 1 copy in department for 10 years, retain 1 copy permanently at State Law Library.
20026	Conference Video Recordings	Recordings of conferences and educational events sponsored by the AOC. They are used for continuing education credits for Judges and Clerks who could not attend the conference 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
	Contents	Video recordings of Educational conferences as well as banquets and opening remarks made by special guests.
	Retention and Disposition	Retain full conference or training for 6 years. Permanently retain at State Law Library: Keynote address, Lunch/Awards, Banquets, apperances by the Chief Justice.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Education

Record Group
Number
9999

Records Title Series and Description	Function and Us
20027 Video Recordings Access Restrictions Contents Retention and Disposition	<p>Recordings and video productions other than recordings of Educational conferences and departmental conferences.</p> <p>Ex Parte Farley</p> <p>Unique conferences that are not part of the normal Judicial of Circuit Clerk education programs and are more than individual departmental conferences and trainings. Mock Trial Competitions for high school students sponsored by AOC. 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. Law Related Education videos. Videos produced by other courts. Events at AOC. MiniDVD recordings of conferences (not yet transferred to DVD). Raw footage from in-house productions.</p> <p>Conferences of a unique nature are kept permanently at the state law library. Mock Trial competitions retain the first and last permanently. Videos used for presentations and demonstrations destroy after use. Videos distributed to COJ personnel retain in house productions one copy at State Law Library permanently, destroy vendor productions once they are no longer valid for distribution. Retain one copy of LRE videos permanently at State Law Library. Retain video productions from other courts for 10 years then destroy. MiniDV of conferences can be reused once footage is transferred to a master DVD copy. Raw footage from in house productions is retained at the department permanently.</p>
20028 Surveys and Evaluations Access Restrictions Contents Retention and Disposition	<p>Surveys that are completed at the end of a conference to obtain feedback on presented materials.</p> <p>Ex Parte Farle</p> <p>Scores and comments for presentations</p> <p>Destroy after 10 years.</p>

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Court of Justice
Administrative Office of the Courts
Facilities

**Record Group
Number
9999**

Series	Records Title and Description	Function and Us
20029	Facility Building Record	This record documents the history of capital construction costs, operating and maintenance costs and space allocations for Court of Justice occupied buildings owned by the county or city government.
	Access Restrictions	Ex Parte Farle
	Contents	Series Contains: Court Facilities reimbursement form, results of field verification of prior year operating costs, court facility reimbursement adjustment form, court facility compensation adjustment form, payment vouchers, request for payment all original floor plans and space allocations, invoices and newspaper articles.
	Retention and Disposition	Destroy after 10 years.
20030	New Construction Project Record Previous Retention series #10033	This record documents the various phases taken in projecting, analyzing, designing, constructing and finishing a new judicial project. Information pertaining to the project is incorporated into the file, which is maintained to help monitor construction activities.
	Access Restrictions	Ex Parte Farley
	Contents	Memorandum of understanding, progress reports, project correspondence, preliminary approvals, space analysis, preliminary and final proposals, budget documents, and owner contracts including but not limited to financial advisor agreements, construction manager agreements, architect agreements, site option agreements, change orders and final approvals.
	Retention and Disposition	Retain for 18 years after completion of project then Destroy
20031	New Construction/Renovation Architect Record Previous Retention series #10035	This record documents the architectural procedures of individual phases for a new construction or major renovation projects. All information gathered by the Administrative Office of the Courts-Facilities prior to and throughout the physical construction/renovation is incorporated into the file, which is then maintained.
	Access Restrictions	Ex Parte Farley
	Contents	Project review meetings, project review development board meetings, a progress meetings; design phases approval letters and project status inspection reports; budget reports; phase submissions from architect/engineer; bid tabulations; standard form agreement; standard form of amendment; certification of design review; inspetion reports; change orders; payment request documents; site photos; any legal binding contract or agreement signed pertaining to the particular project; warranties; operating manuals; financial close out documents and record submission documents.
	Retention and Disposition	Retain permanently change orders and contracts. Destroy remainder 10 years after occupation of facility.
20032	Private Sector Lease Record Previous retention series #10036	This record documents the procedures taken to obtain and maintain a facility lease within the private sector. All information gathered by the AOC preceeding and succeeding the actual lease agreement is incorporated into the file, which is maintained to help monitor activities of the lease until the agreement has been terminated.
	Access Restrictions	Ex Parte Farley
	Contents	Space request, invitation to lease, lease property worksheet, log of bids received, best and final proposal, disclosure of ownership and contract addendum, lease agreement, lease agreement modification, fire and safety inspection report, lease renewal contract, lease addendum, requests for payment, and payment vouchers.
	Retention and Disposition	Destroy 5 years after termination of lease.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Facilities

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20033	Blueprints (Buildings) Previous Retention series #10037	This series was created to track the building floor plans for new construction, renovations or modifications to facilities occupied by COJ agencies.
	Access Restrictions	Ex Parte Farley
	Contents	Blueprints and related drawings
	Retention and Disposition	The blueprints should be retained for the life of the COJ agency occupancy in the building plus 5 years.

STATE AGENCY RECORDS RETENTION SCHEDULE

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

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20034	Volunteer Applications Previous retention series #10039	This series contains applications for volunteers for Foster Care Review Boards.
	Access Restrictions	Ex Parte Farley
	Contents	Includes personal information as well as background checks on all applicants.
	Retention and Disposition	Destroy 2 years after termination of volunteer work.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
General

Record Group
Number
9999

Records Title Series and Description	Function and Us
20035 Historical Documents Access Restrictions Contents Retention and Disposition	Documents produced during the working of the agency that reveal the rationale and evolution of departments with the agency. Ex Parte Farley Various Retain in agency as needed for administrative use then forward to state law library for permanent retention.
20036 Civic Education Material/Law Related Education/Diversion Education Access Restrictions Contents Retention and Disposition	Civic education programs administered by the AOC using grant funding. It also contains materials relating to court ordered programs relating to delinquency, divorce and family issues. Programs, learning materials, teacher's manuals, text books, and videos Retain one copy permanently at state law library.
20037 Policies and Procedures Access Restrictions Contents Retention and Disposition	Documented Policies and Procedures for Interpreting Services. Ex Parte Farley Contains those rules and regulations that need to be followed by interpreters to meet the agency goal and legal requirements set by the DOJ. Retain one copy permanently at the State Law Library.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Court of Justice
Administrative Office of the Courts
Human Resources

**Record Group
Number
9999**

Records Title Series and Description	Function and Us
20038 Permanent Personnel Folder Previous retention series #10043	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
Contents	Per KRS 18A.020, 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).
Retention and Disposition	Retain for 70 years after leaving employment then Destroy.
20039 Employment Applications Previous retention seires #10044	This series documents applications submitted by job applicants.
Access Restrictions	Ex Parte Farley
Contents	Series may contain records of all applicants to COJ.
Retention and Disposition	Destroy 5 years after applied or close of litigation whichever is later.
20040 Time and Attendance Records Previous retention series #10045	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 Partey Farley
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.
Retention and Disposition	Retain in agency for 5 years then Destroy
20041 Medical/Health File Previous retention series #10047	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, HIPPA
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.
Retention and Disposition	Retain Permanently

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Human Resources

Record Group
Number
9999

Records Title Series and Description	Function and Us
20042 Overtime Voucher Previous retention series #10048	Reports hours of comp time worked per payroll reporting month up to a maximum of 10 hours.
Access Restrictions	Ex Parte Farley
Contents	Series contains: Name of county, name of deputy clerk, pay period work was performed, house worked over 37.5, signatures of deputy clerk and circuit clerk.
Retention and Disposition	Retain 8 years then Destroy.
20043 Cash Receipts/Payment Vouchers	Verification of payment made to Special Justice, Special Judges or others not paid through the payroll system.
Access Restrictions	Ex Parte Farley
Contents	Name, hours worked, assignment county or district.
Retention and Disposition	Retain 8 years then Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Legal Services

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20044	Master Federal Grant File Previous retention series #10026 Access Restrictions Contents Retention and Disposition	Information pertaining to grant applications. Ex Parte Farley The application, consist of federal forms and requirements related to a specific jurisdiction, evaluation or management information system. Timelines, goals and objectives, support letters are also included. Interim and final reports. Destroy 8 years after submission of final report and audit.
20045	Personnel Policies and Administrative Policies Access Restrictions Contents Retention and Disposition	Policies developed by the COJ with the rights of employees and the responsibilities they are expected to meet as part of their job duties and Administrative policies of the agency addressing issues of work flow and other issues that would not be included in the personnel policies. Ex Parte Farley 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. Retain one copy permanently at State Law Library.
20046	Forms Access Restrictions Contents Retention and Disposition	This series includes versions of forms produced by AOC for use in the court system some forms are designated by statute. Ex Parte Farley All versions of the various forms produced by AOC for use by the Courts. Keep copies permanently in department.
20047	Juror Disqualification Forms Previous retention series #10057 Access Restrictions Contents Retention and Disposition	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. Ex Parte Farley Potential Juror's name, personal identifiers and reason for permanent removal from Juror database. Destroy 5 years after removal from database.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Master Commissioners

Record Group
Number
9999

Records Title Series and Description	Function and Us
20048 Master Commissioner Audits Previous retention series #10040 Access Restrictions Contents Retention and Disposition	Used to verify the accuracy of the financial records maintained by the Master Commissioner's office in each county. Ex Parte Farley, 02-ORD-235 Series contains: Bank statements, check registers, auditor work papers, case file copies. Retain for 8 years then Destroy
20049 Master Commissioner Financial Records Previous retention series #10041 Access Restrictions Contents Retention and Disposition	Documents individual sale of real estate or personal property. Ex Parte Farley & 02-ORD-235 Series Contains: Order of disbursement, order of distribution, collateral security agreement, back up disk. Retain for 8 years then Destroy
20050 Master Commissioner Annual Reports Previous retention series # 10042 Access Restrictions Contents Retention and Disposition	Provides a detailed accounting on all funds received and distributed by the Office of Master Commissioner for a calendar year. Also, accounts for the Master Commissioner fee earned and expenses paid. Ex Parte Farley and 02-ORD-235 Series contains Bank statements, ledger cards, case files and judgements, bookkeeping software. Retain for 8 years then Destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Pre Trial

Record Group
Number
9999

Records Title Series and Description	Function and Us
20051 Monthly Statistical Reports Previous retention series 10049 Access Restrictions Contents Retention and Disposition	<p>This form is used to measure productivity of pretrial officer's contacts with defendants. It summarizes information contained in the Jail Log pursuant to RCr 4.06</p> <p>Ex Parte Farley</p> <p>It 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, idigency affidavits, domestic violence addendums completed.</p> <p>Retain print permanently until digital conversion. Destroy print 2 years after digital conversion.</p>
20052 Jail Log Previous retention series #10050 Access Restrictions Contents Retention and Disposition	<p>This form measures the performance of the PreTrial Officers' performance 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 defendant's 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.</p> <p>Ex Parley Farley</p> <p>Series Contains: 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.</p> <p>Retain data in PRIM for 10 years, Retain aggregate data permanently.</p>
20053 Pretrial Interview File Previous retention series #10051 Access Restrictions Contents Retention and Disposition	<p>This interview form is used by the Judge to set bail. It is also used for personal identification of, future bond reviews, service of warrants, and sentencing of found guilty pursuant to RCr 4.06</p> <p>Ex Parte Farley, RCr 4.08</p> <p>Series contains: 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.</p> <p>Retain in PRIM for 10 years. Retain aggregate data permanently.</p>
20054 Supervision Files Access Restrictions Contents Retention and Disposition	<p>Documents that show the supervision of the offender in the system and how they progress until either completion or exit.</p> <p>Ex Parte Farley</p> <p>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.</p> <p>Destroy 2 years after completion of program</p>
20055 Attendance Records Access Restrictions Contents Retention and Disposition	<p>Documents that show the attendance of Pretrial employees at trainings, proof of continued education.</p> <p>Ex Parte Farley</p> <p>Name, Dates attended, programs attended</p> <p>Retain permanently in department files:</p>

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Pre Trial

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20056	National Conference Material	The National Pretrial Association has held their conference in KY hosted by the AOC pretrial division, the materials from the conference are kept for historical purposes
	Access Restrictions	Ex Parte Farley
	Contents	Training materials, video recordings and banquet recordings
	Retention and Disposition	Retain one copy permanently at state law library.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Property Accountability

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20057	Asset/Equipment Inventory File Previous retention series #10038	This record series is used to document assest owned by the Court of Justice. It is updated when a new item is purchased and when old items are sold or surplused. Used to track each item and know its whereabouts and for the annual audit.
	Access Restrictions	Ex Parte Farley
	Contents	Series contains the name of the assess a COJ #, description of asset, location of asset, purchase date, serial number, PO #, acquisition cost, current value and totals.
	Retention and Disposition	Destroy 8 years after annual audit.
20058	Loss Claims Previous retention series #10012	Explanation of insurance loss with amount to be deposited into the agency's account.
	Access Restrictions	Ex Parte Farley
	Contents	Date of loss, explanation, agency number, document number, amount of loss to be paid to agency.
	Retention and Disposition	Destroy after audit or 8 years whichever comes first.

STATE AGENCY RECORDS RETENTION SCHEDULE

Court of Justice
Administrative Office of the Courts
Public Information

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20059	Publications/Annual Reports	Publication pertaining to the Court of Justice, Kentucky Supreme Court, Administrative Office of the Courts. Functions as a comprehensive summary of agency activities, service and result of the past year.
	Access Restrictions	
	Contents	Series may contain: Date, statement from Chief Justice; agency changes and goals; departmental changes, goals and summaries of activities and projects as well as all publications produced by the AOC.
	Retention and Disposition	Retain one copy permanently at State Law Library
20060	Directories	Directories of AOC staff, Justices and Judges and Circuit Clerks used for contact information.
	Access Restrictions	Ex Parte Farley
	Contents	Contact information, addresses and short bio for Justices, Judges, Circuit Clerks and AOC staff
	Retention and Disposition	Retain one copy permanently at State Law Library.
20061	Photo Libraries	Photos used for Directories as well as photos of COJ and AOC events. Official photographs taken by the state photographer.
	Access Restrictions	
	Contents	Photos used for Directories as well as photos of COJ and AOC events. 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
Records and Statistics

Record Group
Number
9999

Series	Records Title and Description	Function and Us
20062	RCS Daily Audit Previous retention series #10052	This record series documents the daily collection of fees collected and to locate record request processed by record control specialists.
	Access Restrictions	Ex Parte Farley
	Contents	Type of request, quantity of records and amount of cash received during the reporting period.
	Retention and Disposition	Destroy print 3 years after digital conversion. Retain digital records permanently.
20063	Court Disposition Request Form Previous retention series #10053	Request for a record check using COJ automated system
	Access Restrictions	Ex Parte Farley
	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 requestor/contact person, telephone number and address, amount of fees collected per request.
	Retention and Disposition	Destroy print 3 years after digital conversion. Retain digital records permanently.
20064	Notice of Submission for Final Adjudication Previous retention series #10054	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 AOC to submit a monthly report to the Chief Justice. The form is prepared by attorneys and pro se litigants and sent to AOC.
	Access Restrictions	Ex Parte Farley
	Contents	County, Court, Division, case number, Judge's name, attorney's names, style of case, decision rendered, parties, submission date, mail date.
	Retention and Disposition	Destroy 2 years after final ruling of submission.
20065	Quarterly DUI report by quarter within Fiscal year Previous retention series # 10055	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 this required by statute to send a report to the Chief Justice and the Attorney General.
	Access Restrictions	Ex Parte Farley
	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 disposition manner.
	Retention and Disposition	Destroy 2 years after the end of the fiscal year.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Court of Justice
Administrative Office of the Courts
Records and Statistics

**Record Group
Number
9999**

Series	Records Title and Description	Function and Us
20066	Supreme Court Report- Cases Submitted Previous retention series # 10056	Report cases pending 90 days or more to the Supreme Court per SCR1.050(8).
	Access Restrictions	Ex Parte Farley
	Contents	Judge's name; case numbers of cases over 90 days old; county; date submitted; date mailed; reason provided - yes or no.
	Retention and Disposition	Destroy 2 years after submission.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Court of Justice
Administrative Office of the Courts
State Law Library

**Record Group
Number
9999**

Series	Records Title and Description	Function and Us
20067	Library Purchase Orders	Used to track purchases by county law libraries and to inventory books sent from state agencies that remain state property.
	Access Restrictions	Ex Parte Farley
	Contents	Annual inventory reports, receipts and invoices from vendors. Also contains annual accountings from library trustees sent to Circuit Judge by statute and forwarded to the state law library.
	Retention and Disposition	Destroy after 8 years
20068	County Law Library Inventories/accountings	Per KRS 172 documents submitted to state law library to keep inventory of state purchases sent to county law libraries and expenditures of CLL.
	Access Restrictions	Ex Parte Farley
	Contents	Receipts, accountings, bank statements, inventories.
	Retention and Disposition	Retain permanently at state law library.
20069	Commissioned Studies	The function of this series is to study aspects of the COJ through professional and experienced research groups.
	Access Restrictions	Ex Parte Farley
	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 sometimes for internal use only.
	Retention and Disposition	Retain one copy permanently at state law library.