



# RECORDS RETENTION SCHEDULE

Governor's Office of Agricultural Policy

Schedule Date: June 9, 2005

Change Date: December 14, 2006

Prepared by

**STATE RECORDS BRANCH**

Public Records Division

Kentucky Department for Libraries and Archives



RECORDS RETENTION SCHEDULE

Signature Page

Governor's Office of Agricultural Policy
Agency

June 9, 2005
Schedule Date

Unit

December 14, 2006
Change Date

December 14, 2006
Date Approved By Commission

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APPROVALS

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

[Signature]
Agency Head

12-14-2006
Date of Approval

[Signature]
Agency Records Officer

Dec 14, 2006
Date of Approval

[Signature]
State Archivist and Records Administrator
Director, Public Records Division

December 14, 2006
Date of Approval

[Signature]
Chairman, State Archives and Records Commission

Dec. 14, 2006
Date of Approval

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

[Signature]
Records Analyst/Regional Administrator

12-14-06
Date of Approval

[Signature]
Appraisal Archivist

12/14/06
Date of Approval

[Signature]
State/Local Records Branch Manager

14 Dec 06
Date of Approval

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The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

12-14-06
Date of Approval

## Public Records Division

## Kentucky Department for Libraries and Archives

## STATE AGENCY RECORDS RETENTION SCHEDULE

Governor, Office of the  
Agricultural Policy, Governor's Office of

Series	Records Title and Description	Function and Use	Contents	Retention and Disposition Instructions
05421	Agricultural Development Fund Approved Grant Files (Final narrative and financial reports to be retained permanently.) (C) KRS 61.878 (1)(a) (V)	This series entails documentation of grants approved for funding through the Agricultural Development Fund (ADF). The ADF, also known as the Rural Development Fund, represents 50% of the money in the Tobacco Settlement Agreement Fund. The Tobacco Settlement Agreement Fund was established for depositing all monies received by the Commonwealth from the Master Settlement Agreement between the participating tobacco manufacturers and the forty-six settling states, signed on November 22, 1998. Effective 26 April 2000, the Kentucky Agricultural Development Board (KADB) was established to distribute ADF monies for the purpose of diversifying Kentucky's agricultural economy. Staff at the Governor's Office of Agricultural Policy is responsible for carrying out administrative duties for KADB, including all accounting, financial and grant transactions, research and policy recommendations. The Board reviews grant applications on a monthly basis. Of ADF funds, 35% go toward county-level projects while 65% go toward state-level projects. One hundred eighteen counties receive a portion of the 35%, with decisions based on a county's tobacco production dependency relative to other Kentucky counties. Funded grants range from small county projects of \$1,000 to large scale agricultural businesses receiving \$9,000,000.	Series includes the application, agreement, financial documentation, correspondence, periodic and closing reports, other related documentation.	Retain final narrative and financial reports permanently in Agency. Transfer remainder of file to Records Center six (6) months after submission of final report and retain at Records Center for four (4) years six (6) months, destroy . Total retention is five (5) years.
05422	Agricultural Development Fund Grant Applications -- Denied/Withdrawn (C) KRS 61.878 (1)(a) (V)	This series entails documentation of denied or withdrawn applications for grant funding through the Agricultural Development Fund (ADF). The ADF, also known as the Rural Development Fund, represents 50% of the money in the Tobacco Settlement Agreement Fund. The Tobacco Settlement Agreement Fund was established for depositing all monies received by the Commonwealth from the Master Settlement Agreement between the participating tobacco manufacturers and the forty-six settling states, signed on November 22, 1998. Effective 26 April 2000, the Kentucky Agricultural Development Board (KADB) was established to distribute ADF monies for the purpose of diversifying Kentucky's agricultural economy. Staff at the Governor's Office of Agricultural Policy is responsible for carrying out administrative duties for KADB, including all accounting, financial and grant transactions, research and policy recommendations. The Board reviews grant applications on a monthly basis.	Series includes the application, correspondence, denial of funding letter, other related documentation.	Transfer to Records Center six (6) months after denial or withdrawal of application and retain at Records Center for four (4) years six (6) months for total retention of 5 years, destroy.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Governor, Office of the  
Agricultural Policy, Governor's Office of

Series	Records Title and Description	Function and Use	Contents	Retention and Disposition Instructions
05423	Agricultural Development Fund Approved Loan Files (Final narrative and financial reports to be retained permanently.) (C) KRS 61.878 (1)(a) (V)	This series entails documentation of loans funded through the Agricultural Development Fund (ADF). The ADF, also known as the Rural Development Fund, represents 50% of the money in the Tobacco Settlement Agreement Fund. The Tobacco Settlement Agreement Fund was established for depositing all monies received by the Commonwealth from the Master Settlement Agreement between the participating tobacco manufacturers and the forty-six settling states, signed on November 22, 1998. Effective 26 April 2000, the Kentucky Agricultural Development Board (KADB) was established to distribute ADF monies for the purpose of diversifying Kentucky's agricultural economy. Staff at the Governor's Office of Agricultural Policy is responsible for carrying out administrative duties for KADB, including all accounting, financial and grant transactions, research and policy recommendations. These loans are ten to fifteen year loans. The Board reviews loan applications on a monthly basis.	Series includes the application, agreement, financial documentation, correspondence, periodic and closing reports, other related documentation.	Retain final narrative and financial reports permanently. Transfer remainder of file to Records Center six (6) months after submission of final report and retain at Records Center for four (4) years six (6) months, destroy. Total retention is five (5) years.
05424	Kentucky Tobacco Settlement Trust Corporation Dispute Files	This series represents documentation of complaints received by the Kentucky Tobacco Settlement Trust Corporation (KTSTC). The KTSTC is responsible for the creation of a distribution plan and list of eligible recipients under the National Tobacco Grower's Settlement Trust. The Grower's Settlement is an agreement reached among the four major cigarette manufacturers and tobacco-growing states, dated 19 July 1999, to compensate tobacco growers and quota holders for anticipated losses in income due to the Master Settlement Agreement. The KTSTC, in cooperation with a claims processing vendor, oversees the distribution of direct payments to Kentucky tobacco farmers. The last series of payments directly from the Grower's Settlement Trust Agreement were made in December 2003. The Commonwealth has budgeted \$114 million to continue Phase II payments through no later than June 2006. This series documents all complaints filed by tobacco quota owners, growers and tenants. GOAP staff serve the KTSTC in carrying out their duties, including: management of the claims processing vendor contract, National Trustee relations, public information, publication development, and Board Correspondence. Complaints generally take no longer than six months to resolve.	Series contains correspondence between landowner/producer and the claim processing vendor detailing payment dispute complaints; documentation..	Retain in Agency for five (5) years and then destroy.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Governor, Office of the  
Agricultural Policy, Governor's Office of

Series	Records Title and Description	Function and Use	Contents	Retention and Disposition Instructions
05425	Kentucky Aquaculture Production Systems (KAPS) Grant File (Final narrative and financial reports to be retained permanently.) Closed Date: 12/31/2001 (C) KRS 61.878(1)(a) (V)	CLOSED SERIES: This series documents grants approved for funding through the Kentucky Aquaculture Production System (KAPS). The purpose of the program is to promote the construction of commercial aquaculture ponds to meet market demands for aquaculture products. Application procedures, eligibility requirements and awards criteria are delineated in 200 KAR 35:020. Two funding cycles were established for the program: FY2001 (1 July 2000-30 June 2001) and FY2002 (1 July 2001-30 June 2002). Up to \$1,000,000 was set aside for each cycle to be used for the reimbursement of eligible expenses incurred in aquaculture production system development activities undertaken during those years. The KAPS grant program came under the jurisdiction of GOAP in 2000. The final application was received in 2001, though, as of May 2005, GOAP is still awaiting reports from certain grantees.	Series contains: grant application, scoring sheets, financial documentation, correspondence and reports.	Retain final narrative and financial reports permanently in Agency. Transfer remainder of file to Records Center six (6) months after submission of final report and retain at Records Center for four (4) years six (6) months, destroy. Total retention is five (5) years.
05426	Kentucky Aquaculture (KAPS) Grant Applications -- Denied/Withdrawn Closed Date: 12/31/2001 (C) KRS 61.878(1)(a) (V)	CLOSED SERIES: This series documents denied or withdrawn applications for grant funding through the Kentucky Aquaculture Production System (KAPS). The purpose of the program is to promote the construction of commercial aquaculture ponds to meet market demands for aquaculture products. Application procedures, eligibility requirements, and awards criteria are delineated in 200 KAR 35:020. Two funding cycles were established for the program: FY2001 (1 July 2000-30 June 2001) and FY2002 (1 July 2001-30 June 2002). Up to \$1,000,000 was set aside for each cycle to be used for the reimbursement of eligible expenses incurred in aquaculture production system development activities undertaken during those years. The KAPS grant program came under the jurisdiction of GOAP in 2000. The final application was received in 2001.	Series contains: grant application, scoring sheets, correspondence.	Retain in Agency six (6) months after denial or withdrawal of application, transfer to Records Center and retain at Records Center for four (4) years six (6) months, destroy. Total retention is five (5) years.
05427	Kentucky Agricultural Finance Corporation (KAFC) Revolving Loan File (Final narrative and financial reports to be retained permanently.) (C) KRS 61.878(1)(a) (V)	This series documents loans approved for funding through the Kentucky Agricultural Finance Corporation (KAFC). The KAFC was created in 1984 to help secure adequate funding, on reasonable terms, for individuals who wished to pursue agricultural projects, but could not secure that funding privately. It came under the administrative auspices of the GOAP in 2004. KAFC is authorized to make, or participate in the making of, loans directed toward purchasing agricultural real estate, machinery, equipment or livestock; improving agricultural real estate; leasing equipment; introducing new agricultural commodities; or enhancing agricultural markets (KRS 297.946(4-7)). Applications are judged along criteria listed in KRS 247.946(2)(a-e), including: (1) the applicant's experience, training and financial ability; (2) the economic need for the project; (3) the economic soundness of the project; and (4) the consistency of the project with other policies designed to promote beneficial agricultural conditions in the Commonwealth. Applications are evaluated monthly. This series represents applications that have been funded and in which the applicant has fulfilled the obligations related to the loan.	Series includes the application, agreement, financial documentation, correspondence, periodic and closing reports, other related documentation.	Retain final narrative and financial reports permanently in Agency. Transfer remainder of file to Records Center six (6) months after submission of final report and retain at Records Center for four (4) years six (6) months, destroy. Total retention is five (5) years.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Governor, Office of the  
Agricultural Policy, Governor's Office of

Series and Description	Function and Use	Contents	Retention and Disposition Instructions
<b>05428</b> Kentucky Agricultural Finance Corporation (KAFC) Revolving Loan Application File -- Denied/Withdrawn (C) KRS 61.878(1)(a) (V)	<p>This series documents denied or withdrawn applications for loan funding through the Kentucky Agricultural Finance Corporation (KAFC). The KAFC was created in 1984 to help secure adequate funding, on reasonable terms, for individuals who wished to pursue agricultural projects, but could not secure that funding privately. It came under the administrative auspices of the GOAP in 2004. KAFC is authorized to make or participate in the making of loans directed toward purchasing agricultural real estate, machinery, equipment or livestock; improving agricultural real estate; leasing equipment; introducing new agricultural commodities; or enhancing agricultural markets (KRS 297.946(4), (6), (7)). Applications are judged along criteria listed in KRS 247.946(2), including: (1) the applicant's experience, training and financial ability; (2) the economic need for the project; (3) the economic soundness of the project; and (4) the consistency of the project with other policies designed to promote sound agricultural conditions in the Commonwealth. Applications are evaluated monthly.</p>	<p>Series contains: Loan application, correspondence.</p>	<p>Retain in Agency for six (6) months and then transfer to Records Center after denial or withdrawal of application. Retain at Records Center for four (4) years six (6) months, destroy. Total retention is five (5) years.</p>
<b>05429</b> Linked Deposit Loan Program File (Final narrative and financial reports to be retained permanently.) (C) KRS 61.878(1)(a) (V)	<p>This series documents loans made through the Linked Deposit Investment Program (KRS 41.600-41.990). This program provides for loans to be given from monies derived from the state's unclaimed and abandoned property program, and invested in linked deposits, per KRS 42.510. These monies are targeted at low-interest loans for agricultural production or small business expansion or development, made through approved state financial institutions. Loans do not exceed \$100,000 and have a maximum maturity of seven years. Lending institutions forward loan packages to the Kentucky Agricultural Finance Corporation (KAFC) for review. Monies obtained through the Linked Deposit Investment Program may be used for annual working capital for production costs, interest costs, capital expense and debt refinancing.</p>	<p>Series includes the application, agreement, financial documentation, correspondence, periodic and closing reports, other related documentation.</p>	<p>Retain final narrative and financial reports permanently in Agency. Transfer remainder of file to Records Center six (6) months after submission of final report and retain at Records Center for four (4) years six (6) months, destroy. Total retention is five (5) years.</p>

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Series	Records Title and Description	Function and Use	Contents	Retention and Disposition Instructions
05525	Kentucky Tobacco Settlement Trust Corporation Claims Forms Closed Date: 7/31/2006 (C) KRS 61.878(1)(a) -- Social Security Number Change Date: 12/14/2006	This series documents claims received by the Kentucky Tobacco Settlement Trust Corporation (KTSTC). The KTSTC is responsible for the creation of a distribution plan and list of eligible recipients under the National Tobacco Grower's Settlement Trust. The Grower's Settlement is an agreement reached among the four major cigarette manufacturers and tobacco-growing states, dated 19 July 1999, to compensate tobacco growers and quota holders for anticipated losses in income due to the Master Settlement Agreement. The KTSTC, in cooperation with a claims processing vendor, oversees the distribution of direct payments to Kentucky tobacco farmers. The last series of payments directly from the Grower's Settlement Trust Agreement were made in December 2005 of approximately \$16.5 million. In 2005 the General Assembly authorized state funds in the amount of \$114 million for Phase II payments which were disbursed in May 2005. The final distribution of state-funded Phase II tobacco settlement payments was authorized by the 2006 General Assembly through an amnesty sign up program. This last distribution was just over \$1.8 million. This series documents pounds of tobacco claimed by approximately 163,000 unique claimants, but not the payments made. These are certified and non-certified claims. This series also includes unopened claim forms returned as "Forward Order Expired" (FOE) and general correspondence related to claims.	Claimant's name, farm info, SS#, signature, pounds of tobacco claimed	Transfer to State Records Center for five (5) years.

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