

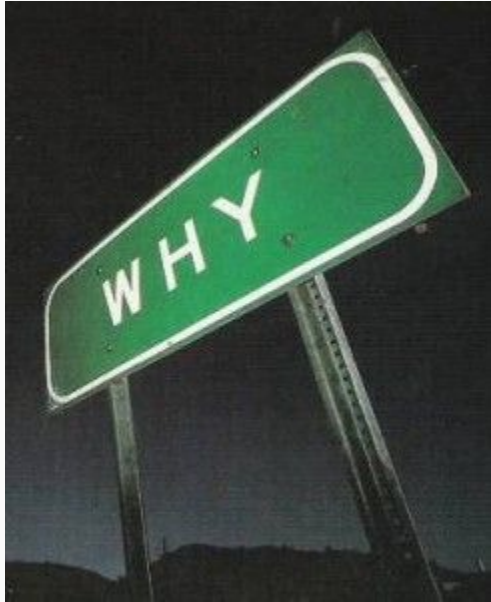
Records Management and Practical Applications

April 12, 2022

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West Kentucky Regional Administrator
Local Records Branch
Archives and Records Management Division
Department for Libraries and Archives



Kentucky Department for Libraries and Archives



PRACTICING PROPER RECORDS MANAGEMENT ENSURES THAT YOU CAN:

- Identify the records needed to document your work
- Keep duplication of records to a minimum
- Keep records accessible
- Dispose or preserve records properly

What are Public Records in Kentucky?



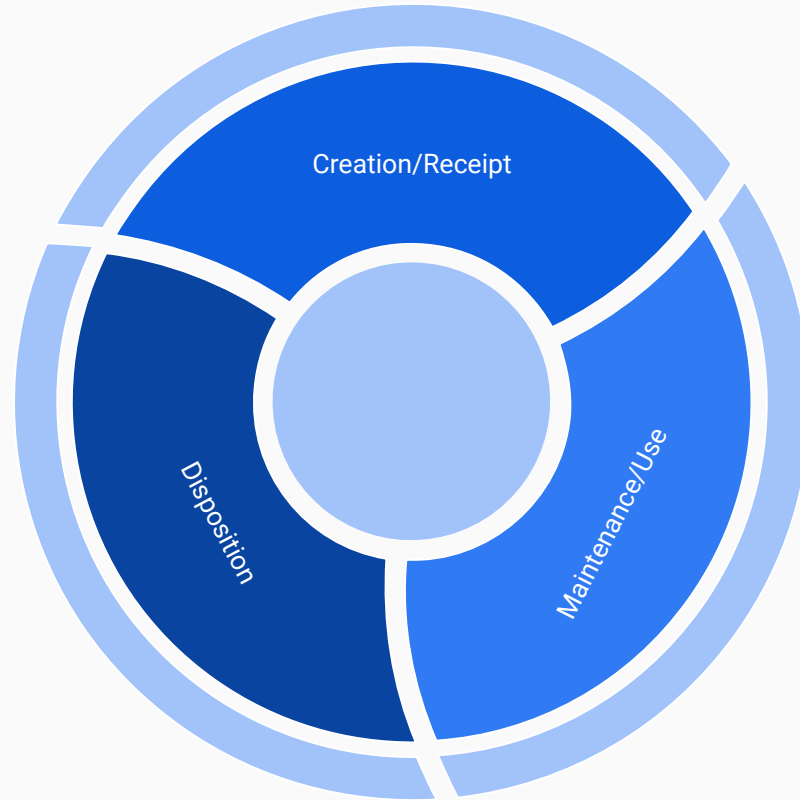
KRS 171.410

“all books, papers, maps, photographs, cards, tapes, disks, diskettes, recordings and other documentary materials, ***regardless of physical form or characteristics***, which are prepared, owned, used, in the possession of or retained by a public agency.”

Recorded information is a record.

Public records show evidence of government activities.

Tip #1: Know what you have / Create Inventory

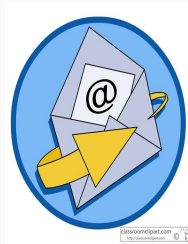


Records Formats



Records can take the form of:

- Paper
- Microfilm
- Word Documents
- Excel Spreadsheets
- Databases
- Photographs (both physical and digital)
- Digital Images
- Voice Mail
- Audio Recordings
- Video Recordings
- Text Messages
- Email
- Social Media





Maintain records in the format most appropriate for your agency's needs. If records are accessed less, it's okay to maintain them in paper format or to store offsite.

A record is considered the same record regardless of how it is kept (format).

Content determines record series and retention, NOT format.

In Kentucky, as long as non-permanent records are accessible and accurate, it is at the agency's discretion whether they are kept in paper or electronic formats.

Tip #2: Designate a Records Officer



Eye Readable

- ❑ Paper
- ❑ Physical Photos
- ❑ Microfilm

Machine Readable

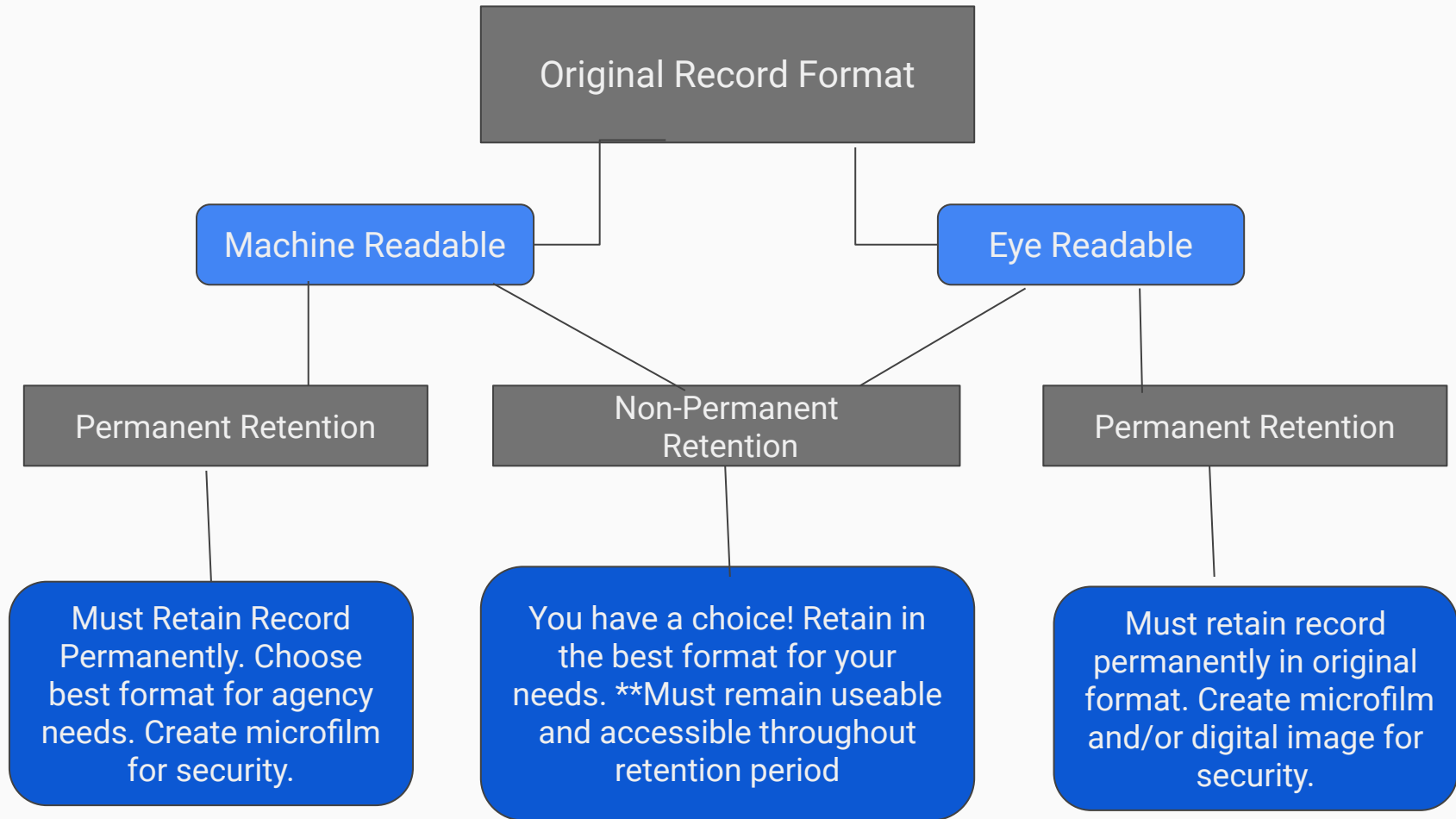
- ❑ Email
- ❑ Digital Images
- ❑ Audio/Video
- ❑ PDF

Records with a non-permanent retention may be retained electronically or in paper, regardless of how they originated.

Permanent records that were originally created in paper must be maintained in an eye-readable format per KRS 171.450. If the permanent records are born digital, they may be maintained digitally.



No local government permanent records may be destroyed without prior approval by the State Archivist/KDLA Commissioner.



Original Record Format

Machine Readable

Eye Readable

Permanent Retention

Non-Permanent Retention

Permanent Retention

Must Retain Record Permanently. Choose best format for agency needs. Create microfilm for security.

You have a choice! Retain in the best format for your needs. **Must remain useable and accessible throughout retention period

Must retain record permanently in original format. Create microfilm and/or digital image for security.



Records management is the systematic control of recorded information, regardless of format, from original creation to ultimate disposition. Every office creates records, which may be paper, microfilm, electronic, or some other format.

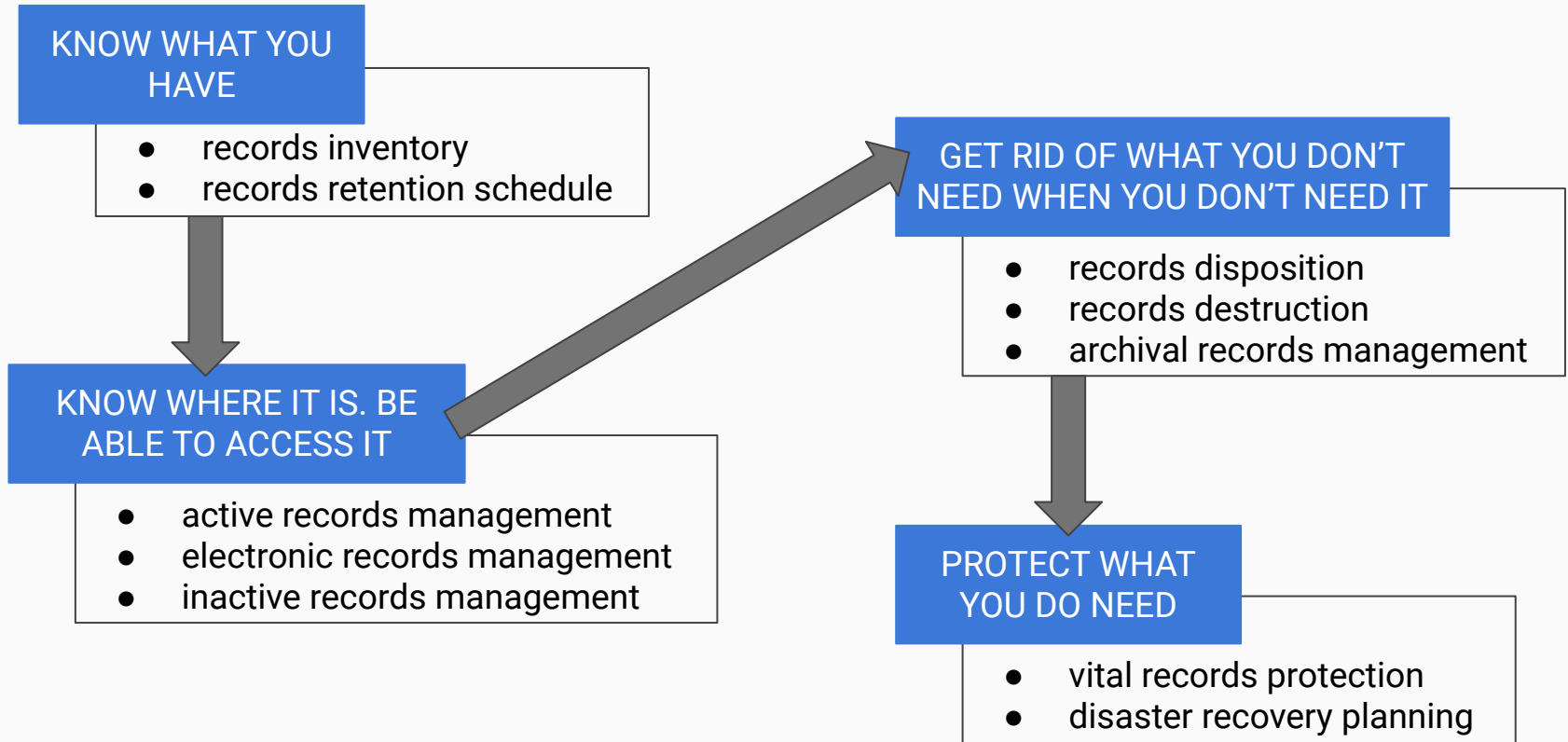
A publicly-funded agency is required to have a records management program and to work with KDLA to implement that program.



- Records must remain accessible AND usable for the entirety of appropriate retention period.
- Destruction of records must be authorized by approved retention period.
- Records retention is agency-wide. Every employee who creates, receives, or maintains records is responsible for records management and retention.

Tip #3: Train Staff to recognize the records they create and include them in the records management process. Also see previous tip: Records officers!

Records Management Programs





A program should include a filing system which should be maintained and used consistently. Established policies, such as naming conventions and procedures, are best practice.

Tip #4: Recordkeeping rules and naming conventions make it easier and faster to find records, such as:

- Consistent naming
- Indexing
- Chronological filing

This applies to all formats!

Tip #5: Records clean-out are faster and easier if done regularly. It is suggested to designate a time to clean up paper and electronic filing systems. This could be at the end of each month, at the end of each calendar or fiscal year, or as projects or cases close.



Normality: records management should be systematic and regularly followed

Timely destruction: records should be destroyed as needed but must also follow legal holds (suspension of destruction)

Proper documentation: complete destruction certificates

Review: review regularly how records management practices are implemented and update as needed



Tip #6: Electronic Records Branch is available for technical questions regarding electronic records. Guidance is available.

Physical Items

Can be “stored and ignored” under optimized conditions with the *expectation* that you can go back and access them again at any time.

Digital Items

Cannot “store and ignore.”

Dependent on hardware/software, which becomes obsolete over time.

Files stored on obsolete hardware or in obsolete formats are essentially “trapped”.

Why choose electronic records?



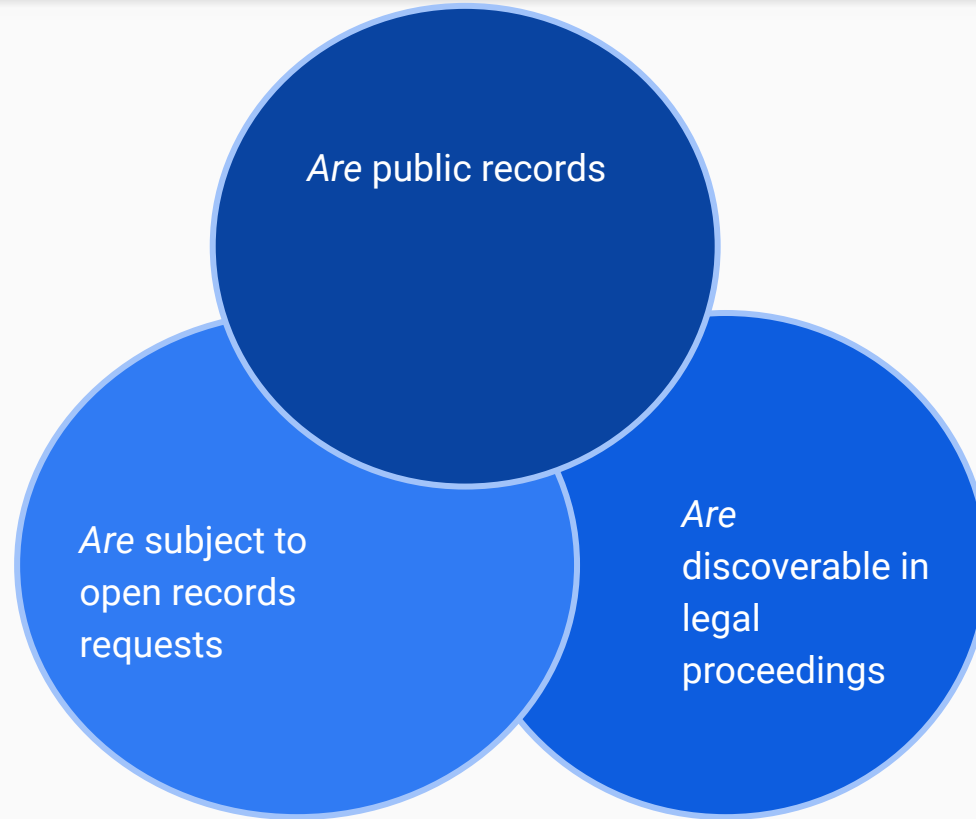
Benefits

- ❑ More easily accessible
- ❑ Well-organized records simplify open records requests
- ❑ Secure digital storage and backups are good disaster prevention plans

Concerns

- ❑ May have thousands of disorganized, unidentified files
- ❑ May seem impossible to apply retention periods to digital files
- ❑ Why not keep electronic records forever?

Tip #7: Inventory Electronic Records and include electronic records on any agency destruction timeline or calendar



Tip #8: Do not ignore email



Tip #9: Recognize that most “Delete” folders are holding folders

Tip #10: Email deletion should match retention schedule

▼ rebecca.naidmaier@ky...

Inbox

Drafts [13]

Sent Items

▼ Deleted Items

Destroy 2021 (M0002)

› Destroy 2022 (M0002)

References

› Admin

› Agency Inquiries

▼ Archive

Destroy 2023 (M0002)

Destroy 2024 (M0002)

Destroy 2025 (M0002)

Conversation History

› Counties

Disaster Resources

In Progress - DC





What type of record is it?

- Email is a communications medium, not a class/type of record (see it as an ENVELOPE)
- An infinite number of record types are sent via email
- Each of these types of records have different retention periods based on the applicable retention schedule

FOLLOW YOUR RETENTION SCHEDULE!



- ❑ **Official Correspondence** (L4954 - Retain Permanently): documents agency policy and procedures, history, functions, etc.
- ❑ **Routine Correspondence** (L4955 - Retain 2 years): Non-policy in nature, business related, but not critical to the agency's operations
- ❑ **Information and Reference Material** (L4956 - Destroy when no longer needed)
- ❑ **Non-Business Related Messages** (L5866 - Destroy Immediately)

Non-Business Related Email (L5866)

- ❑ Personal Messages - needs to be a balance between use and abuse. Could create a risk (viruses, legal liability, embarrassment)
- ❑ Spam - problems with volume, viruses, offensive nature
- ❑ Unsolicited Email - unwanted email not work related, considered a type of spam
 - ❑ Advertising from vendors
 - ❑ Non-work related email from co-workers
 - ❑ Jokes
 - ❑ News articles
 - ❑ General (not-work related) announcements



DELETE Messages that are NOT needed!

- ✘ Transitory Messages
- ✘ Information and Reference Material
- ✘ “Spam” and other non-business messages



The dynamic and collaborative nature of social media may lead to the following challenges:

- ❑ Recordkeeping in a collaborative environment;
- ❑ Content located in multiple places;
- ❑ Identification of record series;
- ❑ Implementation of records schedules, including the ability to transfer and permanently delete records or perform other records management functions;
- ❑ Capture of frequently updated records;
- ❑ Handling of records containing personally identifiable information.

Tip #11: To address these challenges, agencies should articulate clear processes, policies, and recordkeeping roles and responsibilities to ensure social media records are identified, managed, and captured.



Agencies may discontinue use of social media platforms at any time. This does not relieve the agency of its records management duties and requirements.

Social media may include comments or other postings which are inconsistent with an agency's policies and may require removal from the site. Problematic comments or posts to social media that are threatening or seriously offensive can be removed per your agency's policy.

This does *not* mean they have to remain publicly viewable as long as they are retained securely.



A records retention schedule is a list of each record type, termed a “RECORD SERIES”.

A record series is either a document or set of documents maintained together because they relate to a particular subject or function, result from the same activity, take the same form, or because of some other relationship arising out of their creation, receipt or use.

Schedules Include:

- Title of Record
- Record Series Number (local agency series L####)
- Description of record series and contents
- Disposition instructions which explain how long to maintain the record and what to do once retention period has ended

Types of Records Retention Schedules



General

Covers records common to all or most agencies

Local Government General Records

- Personnel
- Legislative
- Administrative
- Financial
- Payroll
- Planning and Zoning
- Law Enforcement
- Fire Department
- EMS
- 911
- Utilities

Agency Specific

Covers records specific to an agency

- Municipal
- County Judge Executive
- County Clerk
- Sheriff
- County Attorney
- Jailer
- Coroner
- Area Development District
- Health Department
- Public School
- Library

ALL LOCAL AGENCY SCHEDULES CAN BE FOUND ON KDLA WEBSITE:

<https://kdla.ky.gov/records/recretentionschedules/Pages/default.aspx>



Local Governments

General Records Retention Schedule

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



RECORDS RETENTION SCHEDULE

Signature Page

| | |
|----------------------------------|-----------------------------|
| Local Government General Records | June 12, 2014 |
| Agency | Schedule Date |
| Personnel | June 10, 2021 |
| Unit | Change Date |
| | June 10, 2021 |
| | Date Approved By Commission |

APPROVALS

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

| | |
|-------------|------------------|
| Agency Head | Date of Approval |
|-------------|------------------|

| | |
|---|------------------|
| Agency Records Officer | Date of Approval |
| <i>Terry Manuel</i> | 6/14/2021 |
| State Archivist and Chairman, State Libraries, Archives, and Records Commission | Date of Approval |

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

| | |
|--|------------------|
| <i>[Signature]</i> | 5/19/2021 |
| Records Analyst/Regional Administrator | Date of Approval |
| <i>[Signature]</i> | 6/3/2021 |
| Assistant Archivist | Date of Approval |
| <i>Nick Bryan</i> | 5/19/2021 |
| Staff/CSS Records Branch Manager | Date of Approval |

The disposition as set forth meets with my approval.

| | |
|----------------------------|------------------|
| <i>Farrak Pitter</i> | 6/14/2021 |
| Auditor of Public Accounts | Date of Approval |

**LOCAL AGENCY RECORDS
RETENTION SCHEDULE**

LOCAL GOVERNMENTS
Public Safety
Fire Department/District

Record Group
Number

| Series | Records Title and Description | Function and Use |
|--------|-----------------------------------|---|
| L4816 | Basic Fire Incident Report | This records series documents what happens when a fire alarm is issued and a run is made. The information is entered after each run per KRS 304.13-380. These reports are used by the insurance companies for rating purposes and by the local fire department as a reference to their activities and to document all aspects of a particular fire. This report also be used when there is a suspicious fire and to determine whether the state fire marshal should be called. These basic reports shall be compiled into a monthly statistical report for the state fire marshal. These are sent electronically to that office every 3 months. |
| | Access Restrictions | None |
| | Contents | This record series may contain: Name of the fire department, fire district #, date of fire run, day of the week, alarm time, arrival time, in service time, type of situation found, type of action taken, fixed property use, address of fire, occupant name, telephone and address, owner name, method of alarm from public, inspection district shift, no. of alarms, number of fire personnel, number of engines responding, aerials responded, other vehicles, number of injuries, number of fatalities, complex, no complex, mobile property type, mobile property-not applicable, area of fire origin, equipment involved in ignition, form of heat of ignition, type of material ignited, form of material, method of extinguishment, level of fire origin, number of stories, construction type, extent of flame damage, extent of smoke damage, detector performance, sprinkler performance, type of material generating smoke, mobile property description, equipment involved in ignition, officer in charge, member making report and date of report. |
| | Retention and Disposition | Retain for five (5) years, then destroy. |
| L4817 | Dispatch Calls | This record series documents calls received from citizens reporting a fire. This documents the time of the call and other pertinent information. In some instances the fire and emergency medical service are on the same system. This dispatch may also be on tape or electronic. |
| | Access Restrictions | None |
| | Contents | This record series may contain: Name of the fire department, the engine responding, time recorded, time arrived, time cleared, type of incident, the address of the run, name and location of caller. |
| | Retention and Disposition | Retain for two (2) years, then destroy. |
| L4818 | Station Log Book | This record series documents all daily activities in the fire station. This may include fire runs, duty assignments, duties completed, committee meetings and any personnel actions. Used to document the whereabouts of staff and verify results. |
| | Access Restrictions | None |
| | Contents | This record series may contain: Date, time, account of activity, weather information. This may be broken down into platoon. |
| | Retention and Disposition | Retain for two (2) years, then destroy. |
| L4819 | Training Records File (V) | This record series documents the on going training necessary for certification as a firefighter. Training and education standards is the responsibility of the State Fire Commission. There are minimum requirements for the certification of fire fighters and for participation in the Professional Fire Fighters Foundation Program Fund. Incentive pay comes from this fund and is contingent upon completion of additional training each year. Part of the requirements is 400 hours of basic training during the first year and an additional 100 hours of certified training every year of employment. The Fire Commission distributes the training material which is taught by a Level II certified instructor. A copy is sent to the Fire Commission every 3 months where it is maintained. Under 815 KAR 45.035 the local fire department or district shall maintain records to document that each participant devotes sufficient hours performing fire service training to qualify for incentive pay. These records may be audited by the Fire Commission for compliance purposes. |
| | Access Restrictions | KRS 61.878 (1)(a) |
| | Contents | This record series may contain: Name of person receiving training, social security number, date of training, kinds of training, training roster, a copy of high school diploma, certificate from fire schools, fire training tests, emergency medical testing, standardized tests, test scores, score sheets, street and hydrant test, list of training completed (individual training list). |
| | Retention and Disposition | Transfer training verification data to the Master Personnel File. Destroy remainder of file when obsolete, or updated. |



If you cannot find the series you are looking for or cannot seem to find a good fit, you can contact your Regional Administrator for assistance. Be prepared, since each agency keeps their records according to their own needs, your RA will most likely ask you several questions to find the best fit for your records. Those questions may include:

- ★ What is this record used for?
- ★ Did it originate in your agency?
- ★ Do other agencies use/keep it? Are they required to keep it?
- ★ Is it subject to Audit?
- ★ How have you managed the record in the past?
- ★ How long do you think it should be kept?
- ★ Is this the only copy? Do you have the “record copy”?



Tip #12: Not everything is a Record!

Types of Records Not Kept



| | | |
|----|---|--|
| 01 | Duplicates or Copies (L5045) | <ul style="list-style-type: none">• Distribution shared at meetings• Email message you were copied on but do not have to act on• Posted phone lists• Excess copies that are not recognized as the record copy |
| 02 | Information and Reference Materials (L4956) | <ul style="list-style-type: none">• Periodicals, brochures• General announcements• Voicemail to return call• These slides! |
| 03 | Non-Business Related Correspondence (L5866) | <ul style="list-style-type: none">• Do not document work activities• Spam• Personal messages |

Tip #13: Include these types of records in regular destructions - they add up and can quickly overwhelm space and time

Records cannot legally be destroyed without the authorization of a schedule. The default retention period for records not listed on a schedule is permanent, because there is no authorization to destroy them.



Destructions are determined by the Records Retention Schedule

The Agency must designate one copy as the “record copy” to meet retention requirements. Other copies can be considered duplicate

Use KDLA Destruction Certificates (links at end)

Destruction Certificates are Permanent Records for your agency (L4967). A copy should be forwarded to KDLA.

Destructions should always be part of the “normal course of business”



**DESTRUCTION OF RECORDS MUST BE
SUSPENDED IN CASE OF LITIGATION,
PENDING LITIGATION, OR AN ONGOING
OPEN RECORDS DISPUTE.**



- ❑ Confidential documents should be shredded or recycled in a locked bin. When in doubt, treat as confidential.
- ❑ Other Records can be disposed of in a Landfill.
- ❑ Recycling Vendors should be Bonded and Licensed.

Guidelines are available on KDLA website:

<https://kdla.ky.gov/records/Documents/Destruction%20Guidelines.PDF>

CONSIDER ACCESS RESTRICTIONS

RECORDS DESTRUCTION CERTIFICATE INSTRUCTIONS

The Records Destruction Certificate is a fielded Microsoft Word form that should be used by Records Officers to document destruction of records at an agency. A printed copy of the completed and signed form should be sent to the Archives and Records Management Division.

Fill in the data on the Records Destruction Certificate (form ARM 50) as follows:

- **Date:** Enter the month, day, year the Certificate is prepared.
- **Cabinet/Local Jurisdiction:** Enter your agency's cabinet or local jurisdiction.
- **Department/Local Government Office:** Enter the name of department or local government office which falls under the entity listed above.
- **Division:** Name of division which falls under entity listed above.
- **Branch/Unit:** Name of branch or unit which falls under entity listed above.
- **Schedule Date:** The month and year the current Records Retention Schedule for your agency was approved by the State Archives and Records Commission. This information can be found on the signature page which accompanies the retention schedule or the top right-hand side of the first schedule page.
- **Destruction Date:** Indicate the date the records were disposed of.
- **Destruction Method:** Indicate the method used to dispose of the records, i.e., landfill, trash, recycle, shred, etc. using the drop-down menu.
- **Series No.:** Enter the series number from your agency's Records Retention Schedule or applicable general schedules for the record(s) you are destroying. Multiple series can be recorded on the Destruction Certificate.
- **Title of Records:** Enter the title of the record(s) exactly as shown in your agency's Records Retention Schedule, or the appropriate general schedule.
- **Date Span:** Give the inclusive (oldest and most recent) dates of the records destroyed.
- **Volume:** Indicate the amount of each series of records destroyed. This may be in cubic feet (if the records are in paper format), megabytes (if the records are in digital format), or some other unit of measure (for other formats). If the records are in other formats, click the box next to the empty field and complete that field.
- **Total Volume of Records Destroyed:** Enter the total volume of records destroyed.
- **Approvals and Certifications:** Agency Records Officer or records custodian signs and dates the form, certifying destruction of records.

Forward the original signed copy of the Records Destruction Certificate, plus one photocopy, to either the State Records Branch (if it is a state record) or the Local Records branch (if it is a local record) of the Archives and Records Management Division, 300 Coffee Tree Road, P.O. Box 537, Frankfort, Kentucky, 40602. Retain one paper or electronic copy for your agency's files.

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

Date:

Cabinet/Local Jurisdiction:

Department/Local Government Office:

Division:

Branch/Unit:

Schedule Date: Destruction Date: Destruction Method: Recycle

For records destroyed at agency only, per approved retention schedules

| Series No. | Title of Records | Date Span | Volume <input type="checkbox"/> Cubic Feet <input type="checkbox"/> Digital Files <input type="checkbox"/> |
|-----------------------------------|------------------|-----------|---|
| | | | |
| Total Volume of Records Destroyed | | | |

Approvals and Certifications

Before destroying records not listed on the agency's retention schedule or applicable general schedules, approval must be obtained from the State Archives and Records Commission.

I hereby certify that the records described above have been destroyed.

 Records Officer/Custodian Date

ARM USE ONLY

I D EM L S C

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

Date:

Cabinet/Local Jurisdiction: _____
 Department/Local Government Office: _____
 Division: _____
 Branch/Unit: _____
 Schedule Date: _____ Destruction Date: _____ Destruction Method: Recycle

Be as detailed as you need. Please include at minimum **County** and **Local Agency Name**

Drop Down Menu. **Reminder:** Destroy with same level of security and confidentiality as maintained.

Located on Retention Schedule Signature Page. **Reminder:** Schedules may be updated multiple times per year. Please make sure to use the most current version.

Series Number from applicable retention schedule. Each agency can use General Schedule and/or Agency Specific Schedule. **Note:** All Local Agencies have Series Numbers that begin with "L"

Multiple Series and Titles can be recorded on one Destruction Certificate.

For records destroyed at agency only, per approved retention schedules

| Series No. | Title of Records | Date Span | Volume <input type="checkbox"/> Cubic Feet <input type="checkbox"/> Digital Files |
|---|------------------|-----------|---|
| <p>Enter title of the records from appropriate Records Retention Schedule. Reminder: You can also include alternate or specific titles of records in this section for your needs and future reference.</p> <p>*Submit completed Destruction Certificates to KDLA. Destruction Certificates can be submitted by mail or email. Contact your Regional Administrator with any questions.</p> | | | |
| Total Volume of Records Destroyed | | | |

Amount of records destroyed for each series. Paper records most often recorded as cubic feet (1 paper box = approximately 2 cubic feet). Electronic records most often use MB or KB.

Use inclusive dates for records destroyed (both oldest and most recent)

Agency Records Officer or Records Custodian signs and dates. ***Please include printed name for legibility if needed***

Approvals and Certifications

Before destroying records not listed on the agency's retention schedule or applicable general schedules, approval must be obtained from the State Archives and Records Commission.

I hereby certify that the records described above have been destroyed.

Records Officer/Custodian _____ Date _____

ARM USE ONLY

J D EM L S C

Tip #14: Use previous versions as templates.

Tip #15:

IDENTIFY

```
graph TD; A[IDENTIFY] --> B[THEN]; B --> C[CATEGORIZE];
```

THEN

CATEGORIZE

GET RID OF WHAT YOU DON'T
NEED WHEN YOU DON'T NEED IT

REMINDER: PERMANENT
RECORDS CANNOT BE
DESTROYED WITHOUT PRIOR
WRITTEN APPROVAL.



KDLA has many resources to help manage records in all formats. Don't hesitate to contact KDLA with any questions or concerns about records management issues. We want to help!

KDLA website:

<https://kdla.ky.gov/Pages/default.aspx>

Retention Schedules and Destruction Certificates:

<https://kdla.ky.gov/records/recretentionschedules/pages/default.aspx>

Local Records Grant Program:

<https://kdla.ky.gov/records/recmgmtservices/Pages/LocalRecordsProgramGrants.aspx>

Local Records:

<https://kdla.ky.gov/records/recmgmtservices/Pages/LocalGovernmentRecordsServices.aspx>

Records Management:

<https://kdla.ky.gov/records/recmgmtguidance/Pages/default.aspx>

KDLA LOCAL RECORDS REGIONS

Regional Administrator Map

Archives and Records Management Division

KDLA

502.564.1745

North Central Region

Beth Williams

502.750.1913

East Region

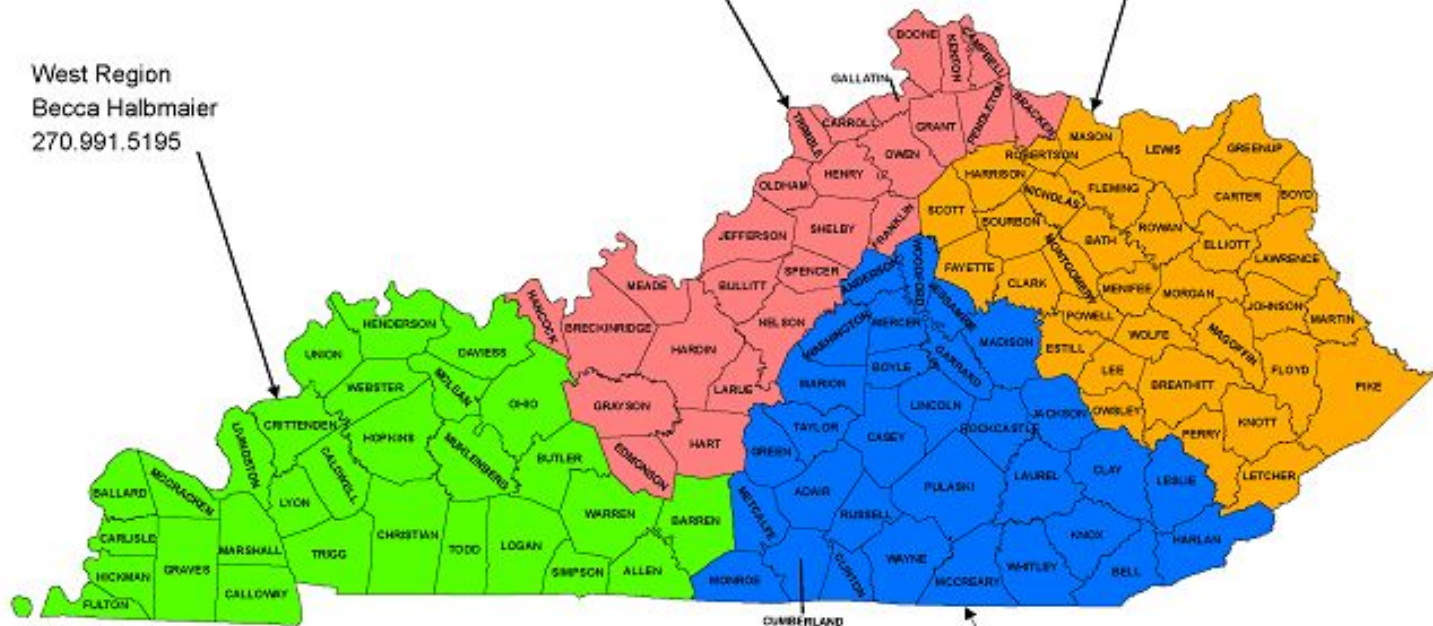
David Atha

502.234.4292

West Region

Becca Halbmaier

270.991.5195



South Central Region

Drew Preston

502.330.4986



**Thank you to the
Institute of Museum and Library Services (IMLS)
for sponsorship of this webinar.**

Thank you for attending!

KDLA.Certification@ky.gov

[KDLA Online Learning Portal](#)



Kentucky Department for Libraries and Archives