

Basic Electronic Records Management

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WHAT IS A PUBLIC RECORD?

KRS 171.410 defines a public record as:

“all books, papers, maps, photographs, cards, tapes, disks, diskettes, recordings...,

which are prepared, owned, used, in the possession of or retained by a public agency.”



WHAT IS A PUBLIC RECORD?



*Future
Formats =*

KRS 171.410 defines a public record as:

“all books,
papers, maps, photographs,
cards, tapes, disks,
diskettes, recordings and
**other documentary
materials, regardless of
physical form or
characteristics,**

which are prepared, owned,
used, in the possession of or
retained by a public agency.”

Characteristics of a Record

Regardless of Format

- Paper
 - Microform
-
- Electronic Records
 - Email
 - Digital Imaging
 - Audio/Video
-
- Physical Objects (Artifacts)

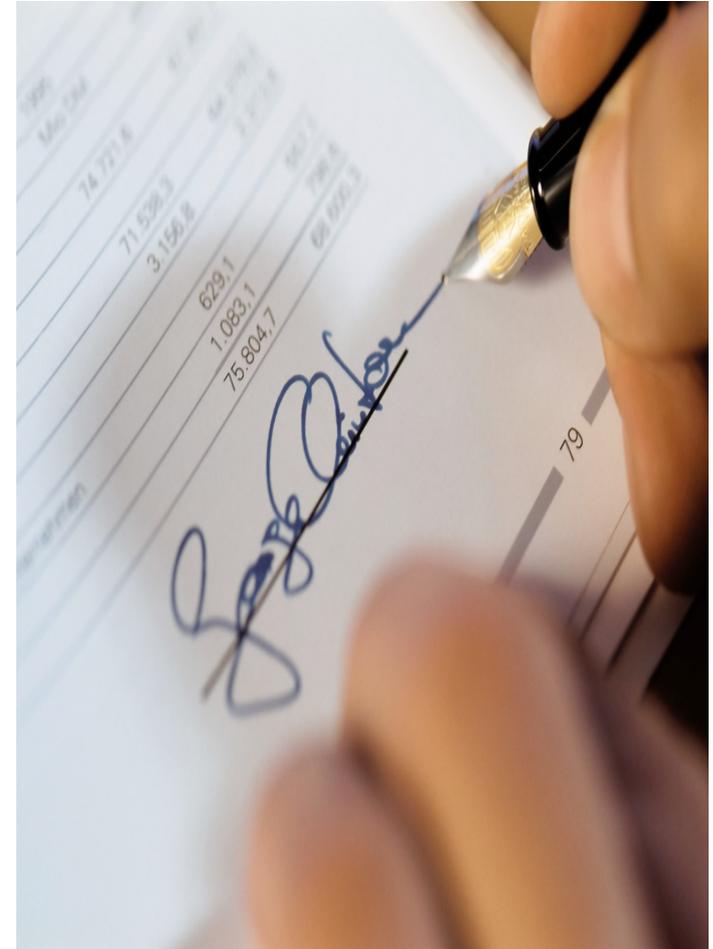
Eye Readable

*Machine
Readable*

Electronic Records & Signatures

KRS 369.101- 369.120

- Uniform Electronic Transaction Act (UETA)
- Defines electronic record as:
“a record created, generated, sent, communicated, received, or stored by electronic means.”
“Computer Record!”
- Validates the use of electronic records and electronic signatures



Characteristics of an Electronic Record

Management of Electronic Records must protect the record's:

Authenticity

- A record must be what it purports to be

Reliability

- A record must be a full and accurate representation of the transactions, activities, or facts to which it attests

Integrity

- A record must be complete and unaltered

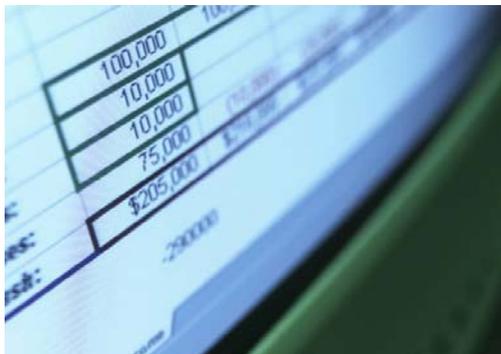
Usability

- A record must be able to be located, retrieved, presented, and interpreted

For the entire life of the record!



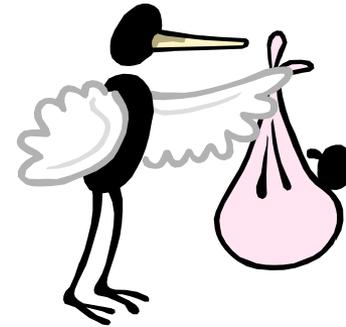
Types of Electronic Records



- Born Digital - Have always been created electronically
 - Email, Websites
- Records previously produced in paper now produced electronically
 - Forms
- Paper records that are being reformatted into an electronic form
 - Imaging

Stages in the Life Cycle of a Record

- Birth - Creation or receipt
- Working life
 - Active records – accessed more than 1/month
 - Inactive records – less than 1/month
- Death - Ultimate disposition
(destruction or transfer to an archive)



Forms of Electronic Records

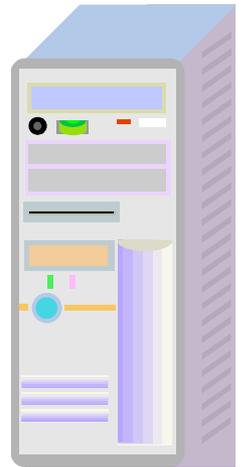
- **Complex structured data**
 - Relational database (Oracle)
 - Object oriented database (e.g. MS Access)
- **Semi-structured text records**
 - Electronic mail database
- **Unstructured files**
 - Word processing files
 - Text databases (Notes, litigation support)
- **Software dependent systems**
 - GIS
 - Imaging systems



Managing Electronic Records

Records in IT Systems

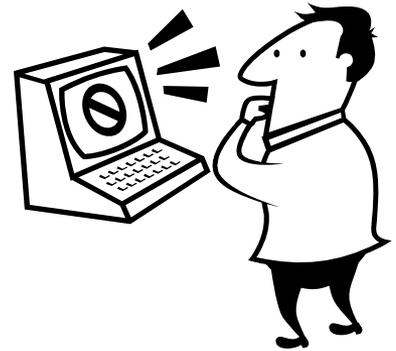
- Production applications
- Managed by IT Staff
- Usually only house “official” records
- Strict management controls
- Backed-up on regular basis



Managing Electronic Records

Access

- For the Entire Life of the Record
- **Must design electronic systems with access in mind!**
 - Internal – External
 - Formats – Media
 - Open Records Requests
 - Restricting Access
 - Incorporate retention requirements



Managing Electronic Records

Security

- Create central file repository on a network server or centralized computer
- Must be secure
 - Allow for proper access the system
 - Protect information
 - Improper access
 - Protect from data loss



Managing Electronic Records

Back-up



- On a routine basis
 - Daily, Weekly, Monthly
 - Different systems may have different back-up schedules.
- Emergency restoration only – **not for records storage/management**
- Store back-up tapes offsite

Managing Desktop Records

- Unstructured Records
 - Office applications
- “Personal” versus “Official” records
- Loosely organized
- Often not backed-up
- Need a “Desktop Records Management Policy”



Managing Desktop Records

Desktop Records Management Policy should cover:

- Purpose/User Responsibilities
- Filing instructions
 - Organization
 - Location
- Retention Instructions



Maintaining & Preserving Electronic Records

Disposing of Electronic Records

- Must have policies to control copies
 - Printed and electronic
 - Official or “Record” copy
 - Remember back-up tapes
- Importance of a central file repository
- Simply hitting “Delete” doesn’t remove records



Methods for Deleting Electronic Records

- Common utility programs
 - Relatively cheap and easy to use
- Reformat - “Erase”
- Remove drives
- Physically destroy
 - Only sure way of deleting information
- **Remember back-up tapes!**



SUSPENSION OF DESTRUCTION

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



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