

10 Tips for Electronic Records Compliance

KY DEPARTMENT FOR LIBRARIES AND ARCHIVES

1

Know Your Legal Foundations

- Understand the laws that govern records management.
- KRS 171.410, 725 KAR 1:020, 725 KAR 1:030.
- Each record, regardless of format, must follow the retention schedules.

2

Manage Records - Not Just Storage

- Digital files aren't compliant just because they are saved online!
- Label, review, and dispose of electronic records according to the retention schedules - don't store indefinitely!

3

Design for Retention from the Start

- Before launching new databases, collaboration tools, or platforms, confirm they: capture metadata, allow records to be exported in accessible formats, & support retention and deletion requirements.

4

Capture Records at the Point of Creation

- Email, chat, text, and Teams messages can all be public records.
- Adopt tools/processes to capture these communications at creation.
- Work with IT to automate capture wherever possible.

5

Keep Metadata Intact

- Metadata shows who, what, & when a record was created or changed.
- Avoid renaming, moving, or converting files in ways that strip this info.
- Good file naming, folder structure, and metadata improve discoverability.



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Maintain Authenticity and Integrity

- Digital records are legally defensible when they are trustworthy, unaltered, and verifiable.
- Implement: version control, access restrictions, and audit trails.

7

Manage Shared Drives and Cloud Systems

- Can become digital “junk drawers.”
- Establish folder naming, review retention, and regular clean up times.
- If using a vendor’s system, confirm agency retains record ownership!

8

Plan for Migration and Preservation

- Technology changes faster than retention periods.
- Create a migration plan for long-term records to ensure continued accessibility and prevent format obsolescence.

9

Train Continuously!

- Compliance isn’t a one-time project.
- Routinely train staff on public records responsibilities, email management, retention schedules, and secure information handling.

10

Dispose Responsibly

- When retention ends, delete/destroy records securely and consistently.
- Document every disposal action - it is your proof of compliance!
- Record destruction by using the KDLA [Destruction Certificate Form](#).

Bonus Tip: Collaborate Early and Often

- Build partnerships between records officers, IT, legal counsel, and KDLA!
- Compliance is strongest when all teams shape digital systems and policies together.



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