Records Management
An Expanded Overview
DOJCT
June 2021

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

Kentucky Department for Libraries and Archives
Presentation Overview

- Why Records Management?
- Local Records Branch
- Records
- Who is Responsible?
- Records Management Overview
- Electronic Records
- Email
- Social Media
- Records Retention Schedules
- Schedule Updates
- Destruction of Records
- Further Information and Training
- Questions?
Why Records Management?

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
Local Records Branch

Local Records Branch

Local Records Branch Services
The Local Records Branch is split into FOUR regions and assists more than 2,900 local government agencies within the Commonwealth.

- Clerks
- Municipalities
- Judge/Executives
- Libraries
- Sheriffs
- County Attorneys
- County Treasurers
- Jailers
- Public Schools
- Area Development Districts
- Health Departments
- Coroners
- Police Departments
- Special Purpose Governmental Entities (SPGE)

https://kdla.ky.gov/records/recgmmts-services/Pages/LocalGovernmentRecordsServices.aspx
Local Records Branch Services

➔ Assist with Records Retention Schedules and destruction of obsolete records;
➔ Provide records management education training;
➔ Provide guidance for the creation of local government records management programs;
➔ Provide records management consultative services, including new technologies;
➔ Administer and assist with the Local Records Grant Program;
➔ Prepare records for microfilming (title targets);
➔ Provide 24 hour service for records disaster recovery assistance.

Branch Manager
Nicole Bryan

West Region
Becca Halbmaier

North Central Region
Beth Williams

South Central Region
Larry Barnett

East Region
Robert Belen
Records

- What are Public Records?
- Lifecycle of a Record
- Records Formats
- Format Neutrality
- Common Records Formats
- Temporary vs Permanent Records
What are Public Records?

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.
Lifecycle of a Record

- Creation/Receipt
- Disposition
- Maintenance/Use
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
A record is considered the same record regardless of how it is kept (format). Content determines record series and retention, NOT format.

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.
### Common Records Formats

<table>
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<tr>
<th>Eye Readable</th>
<th>Machine Readable</th>
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<td>Microfilm</td>
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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
- Permanent Retention
  - Must Retain Record Permanently. Choose best format for agency needs. Create microfilm for security.

Eye Readable
- Non-Permanent Retention
  - You have a choice! Retain in the best format for your needs. **Must remain useable and accessible throughout retention period**
- Permanent Retention
  - Must retain record permanently in original format. Create microfilm and/or digital image for security.
Who is Responsible?

Overview

Agencies

Records Officer

State Libraries, Archives, and Records Commission

KDLA

Employee Responsibilities
Overview

Responsible for establishing a records management program. KRS 171.680

Serves as the official liaison with KDLA on records management issues and coordinates records management within the agency. 725 KAR 1:010

Reviews and approves all records retention. KRS 171.420 & 171.670

Establishes standards and procedures for recording, managing, and preserving public records. KRS 171.450

Agencies

Records Officer

State Libraries, Archives, and Records Commission

Kentucky Department for Libraries and Archives
Agencies

Responsible for:

- Adequate and proper documentation of agency functions, policies, decisions, and essential transactions. KRS 171.640
- Responding to open records requests. KRS 61.872
- Creation of records that protect the rights of agencies and citizens. KRS 171.640
- Partner with KDLA in areas of mutual interest and responsibility. KRS 171.680
Inventory, analyze, and advise your staff on records management procedures.

Coordinate with your agency staff and KDLA regional administrator to compile or update Retention Schedules in draft form.

Maintains a record of public records destructions.
State Libraries, Archives, and Records Commission

Responsible for:

- Reviewing and approving records retention schedules.
- Deciding questions that relate to the destruction or retention of public records.
- Advising KDLA on matters relating to archives and records management.
  KRS 171.420
Responsible for:

- Providing guidance and resources for creation of records management program.
- Providing records management consultant services.
Records retention is agency-wide. Every person who creates, receives, or maintains records is responsible for records management and retention.

Generally assume if you created it, you are responsible for maintaining it in accordance with the retention schedule.
Records Management Overview

- Principles of Records Management
- Fundamentals
- Starting a Records Management Program
- Records Management Programs
- Effective Records Management
- Benefits
• 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.
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.
Starting a Records Management Program

1. Locate everything to be saved
2. Organize the files
3. Move to secure storage and set permission levels of access
4. Maintain backups
5. Follow retention schedules
Records Management Programs

**KNOW WHAT YOU HAVE**
- records inventory
- records retention schedule

**KNOW WHERE IT IS. BE ABLE TO ACCESS IT**
- active records management
- electronic records management
- inactive records management

**GET RID OF WHAT YOU DON’T NEED WHEN YOU DON’T NEED IT**
- records disposition
- records destruction
- archival records management

**PROTECT WHAT YOU DO NEED**
- vital records protection
- disaster recovery planning
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.

Recordkeeping rules and naming conventions make it easier and faster to find records, such as:
- Consistent naming
- Indexing
- Chronological filing

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.
Effective Records Management

- 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.
## Benefits of Records Management Program

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<th>Details</th>
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| Implement a process to decide which records to keep and which to destroy | ● Control over records creation  
● Records that have met retention will be destroyed  
● Destruction is accurate and scheduled |
| Ensure adequate documentary record of an agency’s functions, policies, decisions, procedures, and essential transactions |                                                                         |
| Allow identification and proper control of records with continuing or archival value |                                                                         |
| Operate effectively, economically, and efficiently                     |                                                                         |
| Provide the right information to the right person, at the right time, at the lowest possible cost | ● Increased retrieval efficiency |
Electronic Records
Format Considerations
Why Choose Electronic Records?
Electronic or Paper?
Telework Records
KRS 369.102 - defines electronic records as: “a record created, generated, sent, communicated, received, or stored by electronic means.”
Format Considerations

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?
Electronic or Paper?

- Neglect
- Storage Media
- Security
- Long-term vs Short-term
- Active vs Inactive
- Access
- Frequency of Use
- Money
Staff working remotely should continue to manage all records in accordance with their agency policies and procedures and follow all appropriate state statutes and regulations.

Reminder: A record is considered the same record regardless of how it is kept/created (format). Content determines record series and retention, NOT format.
Tip: Email/text/chat/social media are formats not classes or types of records. Each of these types or records have different retention periods based on the applicable retention schedule.

Records created in remote locations will follow the same retention as those created in agency offices. Standardized policies and procedures should be created and followed for how those records will be managed and preserved, including who is responsible for creating, which version will be considered the record (versus a use or reference copy) and how they will be transferred (i.e. email).
Email

You’ve Got Mail...And You’ve Gotta Manage it

Email as Records

Email Issues

Email Retention

Common Types of Email Records

Who is Responsible?

Deleting Email
YOU’VE GOT MAIL... AND YOU’VE GOTTA MANAGE IT

Many of us here within the Commonwealth of Kentucky keep our emails for an eternity or delete them before the digital ink has time to dry. Neither of these approaches are effective. Yes, we realize cake and coupons in the breakroom emails are not necessary emails to retain, but many of us do...forever. Those types of emails are not going to have an effect on the agency’s day-to-day operations, however, the content inside emails does have to be retained for a certain amount of time, and you as a Kentucky employee are responsible for managing your emails.

Email messages are public records (KRS 171.410) and can be subject to open records requests (KRS 61.670-61.884) that are discoverable in a lawsuit. A unique issue with email is that the contents become a record that is no longer static; it can be forwarded to anyone, and can easily be altered or deleted by the recipient. Once an email is sent, it is out of your hands, and your copy is all you can rely on to ensure its retention and disposition.

As government employees, we receive all types of emails: spam, phishing attempts, jokes, articles, agency policies, projects, and procedures. Deleting these messages can seem like its own job at times. The goal is viewing the content as it pertains to the agency, and following the retention schedule regarding that email.

- Official Correspondence emails contain agency policies, projects, and procedures, most often sent out from the agency head, and the retention on these are permanent, but must be maintained by the originator.
- Routine Correspondence emails are non-policy in nature but do document agency business. Most of your email likely falls into this series such as scheduling meetings, “hey, send me that file,” “I will be out of the office on Friday”. These types of emails can have a retention period of up to 2 years.
- Informational and Reference Material supports official agency business, but is not critical to operations, and can be destroyed when no longer needed. These include transitory messages: announcements of office events such as holiday parties, baby showers, or group lunches.
- Non-Business Related Messages can be destroyed immediately, including: spam, personal messages, jokes and articles, and non-work related messages.

You can always check retention requirements online in the state and local general schedules here: https://kdia.ky.gov/records/recruitment/schedules/Pages/default.aspx

We all receive lots of emails on a daily basis, and it can seem daunting to get on top of such a constant stream of information. There are a number of strategies that you can use to organize messages right in your inbox. By creating inbox folders based on retention, activity, or chronology (the dates of projects/tasks) you can more easily structure your files with retention in mind. When you get an email, ask yourself is it related to the agency? If not, delete it. If so, then determine the record type and file accordingly, or delete it based on the retention schedule. This practice is encouraged to help you and your agency meet mandatory retention requirements and protect your legal obligation to manage records.

Visit https://kdia.ky.gov/records/recruitmentguidance/Pages/electronicmtr.aspx for more assistance with managing your electronic records.
Email* Messages

- Are public records
- Are discoverable in legal proceedings
- Are subject to open records requests
Many legal difficulties stem from personal use

Assumption that email messages are private and not subject to open records requirements

Encourages “conversational atmosphere” as opposed to more formal, business-like communication

Record is no longer a static document

Disposal can be difficult

Commonly considered to be the riskiest form of business communication
Email Retention

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!
Common Types of Email Records

- **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
Email is RECEIVED

Is it Agency Business?

NO

Delete as Soon as Possible

YES

DETERMINE CATEGORY OF RECORD

- Information and Reference
  - DELETE When no Longer Needed

- Non-Permanent Record
  - File and Delete According to Retention Schedule

- Permanent Record
  - Retain in Permanent File
Maintaining Email: Who Is Responsible?

Because email messages can be forwarded and routed to multiple addresses, copies of the messages may exist in many areas of the agency. In most cases, the author, or originator, of the email message is responsible for maintaining the “record” copy. However, in cases in which the recipient has altered the message (made changes, added attachments, etc.) or when the message is coming from outside the agency (and therefore not documented anywhere within the agency), the recipient is the one responsible for retaining the message.

**Email is Received**
- Determine Category of Record
- Did the email come from inside the agency?
  - Yes: Did you reply or make any additions?
    - Yes: Were you the last person to do so?
      - Yes: You are responsible for retention.
      - No: Do you think you have the most complete version of the exchange?
        - Yes: Person with most complete record is responsible for retention.
        - No: Person who made last reply or addition responsible for retention.
    - No: Originator responsible for retention. (You and other recipients can delete.)
- No: You are responsible for retention.
DELETE Messages that are NOT needed!

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

Social Media as a Public Record
Challenges
Social Media and Retention
Schedules
Reminders
Social media refers to the various activities integrating web technology, social interaction, and user-generated content. Social media includes blogs, wikis, microblogs (Twitter), social networks (Facebook), photo libraries (Flickr, Instagram), location-based services (Foursquare), and video sharing sites (YouTube, Vimeo).

The Public Records Act (KRS 171.410-171.740) defines public records as, “...documentary materials, regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by a public agency.” Social media content meets this definition and must be managed in accordance with all applicable laws and regulations.
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.

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.
A list of questions to determine whether a social media post is/contains a public record and should be preserved and captured:

- Does it contain evidence of an agency’s policies, business, or mission?
- Is the information only available on the social media site?
- Is this tool being used in relation to the agency’s work?
- Does the agency use the tool to convey official agency information?
- Is the agency directly communicating with the public through the use of social media?
Agencies may discontinue use of social media platforms at any time. This does not relieve the agency of it’s 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.
Retention Schedules

What is a Retention Schedule
What does a Retention Schedule do?
Types of Retention Schedules
Development Process
I Can’t Find My Series!
Types of Records Not Kept
Non-Scheduled Records
Schedule Updates
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
What does a Retention Schedule do?

★ Schedules are used to categorize records
★ Schedules describe records
★ Schedules provide instruction on records maintenance
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/recretainingschedules/Pages/default.aspx
Development Process

A current and accurate records retention schedule represents a comprehensive inventory of the information holdings of a government agency and is the basis for an agency’s records management program.

Series/Schedule is developed by KDLA in cooperation with public agencies

Agency determines there is a need for new or revised series/schedule

Revisions/Additions are reviewed and approved by the Archives and Records Management Advisory Committee

Approved by SLARC

Retention schedules apply to all public agencies in the Commonwealth - separate for State and Local Agencies.
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
Local Government General Records Retention Schedule

This retention schedule may be used by all local governments and their agencies and offices. It lists those records that any local agency may create or receive in the course of daily business. For a local agency to have an effective records management program this retention schedule should be used on regular basis, along with the agency specific schedule for that agency. For example: If you are a sheriff or a city you would use the County Sheriff Records Retention Schedule or the Municipal Government Records Retention Schedule and the Local Government General Records Retention Schedule respectively. This retention schedule has been approved by the State Libraries, Archives, and Records Commission in accordance with KRS 171.410 – 740. This approval provides the legal basis for local agencies to apply this schedule to their records management needs.

This retention schedule also includes record series listings for

- police departments
- fire departments
- emergency medical services
- 911

We have included these because they may be part of county governments, city governments or special districts.
<table>
<thead>
<tr>
<th>Terms</th>
<th>Description</th>
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<tr>
<td>Permanent (P)</td>
<td>Denotes records appraised as having historical, informational or evidential value that warrants preserving them permanently (forever) beyond the time needed for their intended administrative, legal or fiscal functions. These records may be destroyed only after the written permission is given by the State Archivist and after they are microfilmed according to specifications published by the Department for Libraries and Archives.</td>
</tr>
<tr>
<td>Confidential (C)</td>
<td>Records deemed unavailable for review by the public after applying the state’s Open Records Law (KRS 61.878) and other state and federal statutes and regulations with specific restrictions. The (C) is added to appropriate record series descriptions as a reminder to agency personnel and does not bear any legal status. It is important to note that the local government head has the responsibility of knowing all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained in their office and to see that they are enforced. Even though a record series may or may not be marked confidential on a records retention schedule, contradictory laws or regulations that are approved after the retention schedule has been completed may not be reflected but must be honored.</td>
</tr>
<tr>
<td>Vital Record (V)</td>
<td>Records that are essential to the continued functioning of the local government during and after an emergency, as well as those records that are essential to the protection of the rights and interests of that local government and of the individuals for whose rights and interests it has a responsibility. Local Government should have a plan in place to identify those records and provide for their protection in case of a disaster (fire, flood, earthquake, etc.).</td>
</tr>
<tr>
<td>Duplicates</td>
<td>Duplicate records that have not been assigned a retention period and function solely as reference and informational material may be destroyed when no longer useful. If the duplicate is considered the “copy of record”, it must be retained according to the retention period on the schedule.</td>
</tr>
<tr>
<td>Destruction Certificate</td>
<td>A destruction certificate should be used to document the destruction of public records and may be found, along with the instructions at the Kentucky Department for Libraries and Archives website (<a href="http://www.kdla.ky.gov">www.kdla.ky.gov</a>). It should be used when destroying records according to the appropriate records retention schedule. No record created or maintained by a local government agency may be destroyed unless it is listed on the retention schedule and a destruction certificate completed and the original copy sent to the Department for Libraries and Archives (Department).</td>
</tr>
<tr>
<td>After Audit</td>
<td>A term used in the disposition instructions to denote a records series that shall only be destroyed after the retention period has expired and an official audit has been performed. Example: 3 years and audit: This means that the record series must be kept for 3 years after last activity or date in a file. The record must have gone through the annual audit before it can be destroyed.</td>
</tr>
</tbody>
</table>
RECORDS RETENTION SCHEDULE

Signature Page

Local Government General Records
Agency
Unit

June 12, 2014
Schedule Date
December 13, 2018
Change Date
December 13, 2018
Date Approved By Commission

APPROVALS

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

Agency Head

Agency Records Officer

Date of Approval

State Archivist and Records Administrator
Director, Archives and Records Management Division

Date of Approval

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:

Records Analyst/Regional Administrator

Date of Approval

Date of Approval

Appraisal Archivist

Date of Approval

State/Local Records Branch Manager

Date of Approval

The determination as set forth meets with my approval.

Auditor of Public Accounts

Date of Approval
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LOCAL GOVERNMENT GENERAL RECORDS RETENTION SCHEDULE

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<td>Retention and Disposition</td>
</tr>
<tr>
<td>L5003</td>
<td>Charitable Gaming Organization Activity Registration Form</td>
</tr>
<tr>
<td></td>
<td>Access Restrictions</td>
</tr>
<tr>
<td></td>
<td>Contents</td>
</tr>
<tr>
<td></td>
<td>Retention and Disposition</td>
</tr>
</tbody>
</table>
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”? 
Types of Records Not Kept

<table>
<thead>
<tr>
<th>01</th>
<th>Duplicates or Copies (L5045)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Distribution shared at meetings</td>
</tr>
<tr>
<td></td>
<td>Email message you were copied on but do not have to act on</td>
</tr>
<tr>
<td></td>
<td>Posted phone lists</td>
</tr>
<tr>
<td></td>
<td>Excess copies that are not recognized as the record copy</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>02</th>
<th>Information and Reference Materials (L4956)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Periodicals, brochures</td>
</tr>
<tr>
<td></td>
<td>General announcements</td>
</tr>
<tr>
<td></td>
<td>Voicemail to return call</td>
</tr>
<tr>
<td></td>
<td>These slides!</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>03</th>
<th>Non-Business Related Correspondence (L5866)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Do not document work activities</td>
</tr>
<tr>
<td></td>
<td>Spam</td>
</tr>
<tr>
<td></td>
<td>Personal messages</td>
</tr>
</tbody>
</table>
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.
A current and accurate records retention schedule represents a comprehensive inventory of the information holdings of a government agency and is the basis for an agency’s records management program.

Retention schedules apply to all public agencies in the Commonwealth - separate for State and Local Agencies.
Update Process - continued

**Determine Need**
Do you have records that are not scheduled or need a change in retention?

**Identify Schedule**
Determine appropriate schedule - General, Agency

**Consult with KDLA**
They will help identify other records officers and/or associations or advisories to provide input

**Complete D & A**
Description and Analysis completed in consultation with Local Records

**Submit Draft**
Draft will be submitted and reviewed by Archives and Records Management Advisory Committee

**Commission Meeting**
Edited (if needed) draft submitted to SLARC for review and approval
Destruction of Records

Legal Destruction
Suspension of Destruction
Destruction Guidelines
Destruction Certificate
Legal Destruction

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 58) 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:  

<table>
<thead>
<tr>
<th>Date Range</th>
<th>Date Span</th>
<th>Volume</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cubic Feet</td>
<td>Digital Files</td>
<td></td>
</tr>
</tbody>
</table>

For records destroyed at agency only, per approved retention schedules

<table>
<thead>
<tr>
<th>Series No.</th>
<th>Title of Records</th>
<th>Date Span</th>
<th>Volume</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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
# Records Destruction Certificate

**Kentucky Department for Libraries and Archives, Archives and Records Management Division**

**360 Coffee Tree Road, P.O. Box 537, Frankfort, Kentucky 40602**

**Cabinet/Local Jurisdiction:**

**Department/Local Government Office:**

**Division:**

**Branch/Unit:**

**Schedule Date:**

**Submission Date**

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.

**Amount of records destroyed for each series:**

Paper records most often recorded in 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).**

**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.

**Submit completed Destruction Certificates to KDLA. Destruction Certificates can be submitted by mail or email.** Contact your Regional Administrator with any questions.

**Series No:**

**Title of Records:**

**Date Span:**

**Volume (Cubic Feet/Digital Files):**

**Total Volume of Records Destroyed:**

**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**
Further Training and Information

Final Important Reminders
Training Opportunities
Helpful Resources
IDENTIFY

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.
The Local Records Branch at KDLA is creating training and records management guidance to assist with records management programs. There are several guidance documents available currently but if there are particular topics that are important to you, please contact your Regional Administrator.
Helpful Resources

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:

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