

Records Management Policies and Procedures: A Review

State Records Branch

Kentucky Department for Libraries and Archives




What is a
public
record?

“

KRS 171.410(1): 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.**



Non-Permanent
Records Are



**FORMAT
NEUTRAL.**

725 KAR 1:020;
Policy Memorandum
on the Storage of
Public Records as
Scanned Images.

PERMANENT PAPER RECORDS

must be maintained in an EYE-READABLE FORMAT:



PAPER




MICROFILM

What is an open record?

“

KRS 61.872(1): all public records shall be open for inspection by any person, except as otherwise provided by KRS 61.870 to 61.884, specifically 61.878.

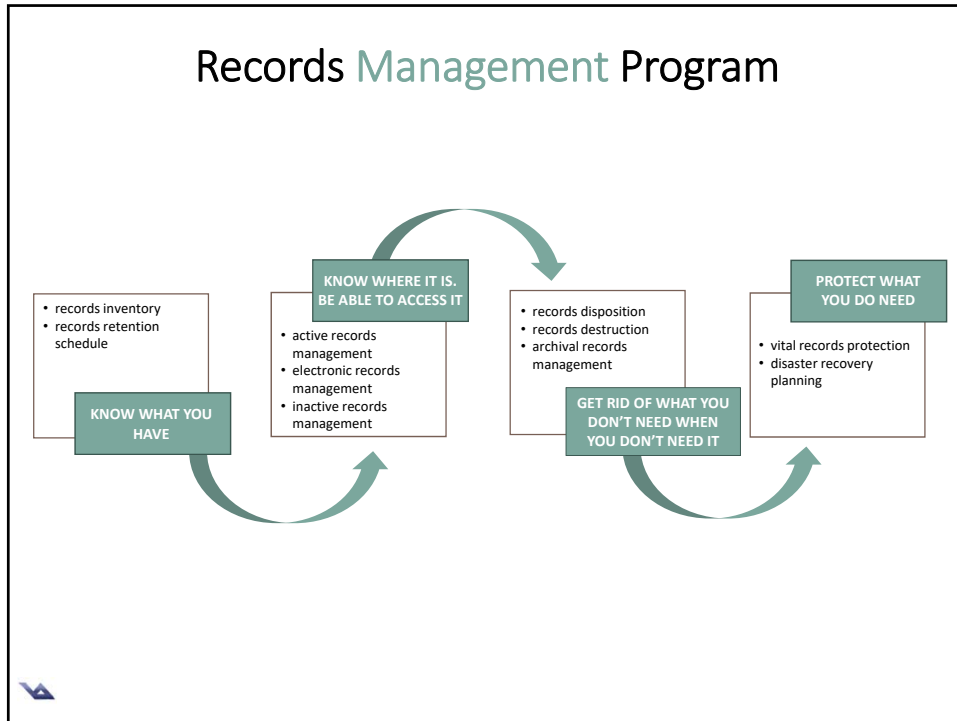
KRS 61.872(2): any person shall have the right to inspect public records.



Why Do You Need Records Management?

- It's the law**
Meet legal & regulatory responsibilities
- It saves money**
Reduce operating costs
- It's better business**
Improve efficiency, productivity, & accessibility
- It's the historical record**
Preserve records of archival value





Updating Your Schedule

Types of Retention Schedules

General

- Covers records common to all or most state agencies
- Applies to all state agencies

Agency-Specific

- Covers records produced only by your agency
- Applies only to your agency



You determine your Agency's

Schedule! It's a Living

Document that should

Reflect your records.



QUESTIONS TO ASK

Are your records covered on the General Schedule?

Does your Agency have an Agency-specific records retention schedule?

Are new records being created, and does a series need to be added?

Are existing schedule entries being used and maintained, and do they need to be updated?



Your Records Officer:

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Your Records Analyst:

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Get Rid of What You Don't Need When You Don't Need It

Are You Allowed to Destroy Records On Site?



- Complete a Destruction Certificate
- The Records Officer **signs** it
- Send it to State.Records@ky.gov

Disposition instructions are outlined in your schedule

- Consider access restrictions
- Confidential documents should be shredded or recycled in a locked bin

Agency's discretion to keep a record beyond retention period

- Do delete electronic records when they have met retention • Don't destroy records after an open records request has been made • Do complete a destruction certificate

Destruction for records stored at the Records Center


 <p>SRC staff handles destruction of records stored at the Records Center that have met their retention periods.</p>	 <p>KDLA will NOT destroy records without Agency (Records Officer) permission.</p>	 <p>Records Officer will receive a request via email for permission to destroy records.</p> <p>A prompt response is appreciated.</p>	 <p>Destruction is done by the Division of Waste Management.</p>	 <p>The agency may place a hold on destruction.</p>
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Electronic Records Management


What is a public record?

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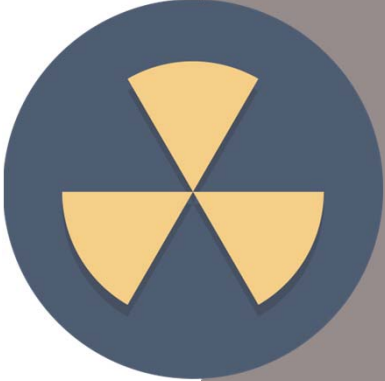
Benefits




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

Concerns

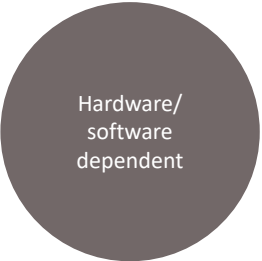
- ▶ May have thousands of disorganized, unidentified files
- ▶ May seem impossible to apply retention periods to digital files
- ▶ Why not keep electronic files forever?




Storage Considerations



Cannot store and ignore

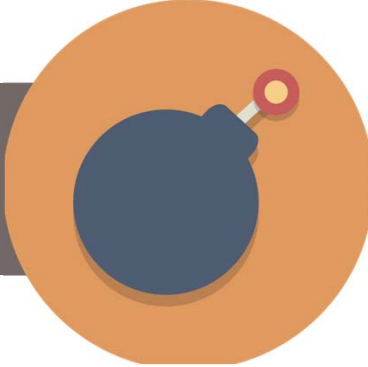



Hardware/
software
dependent



Risk of files
getting trapped

Destroy electronic records when they have met their retention.

A large orange circle containing a dark blue bomb with a lit fuse, symbolizing destruction or expiration.A small blue icon of a paper airplane or document.

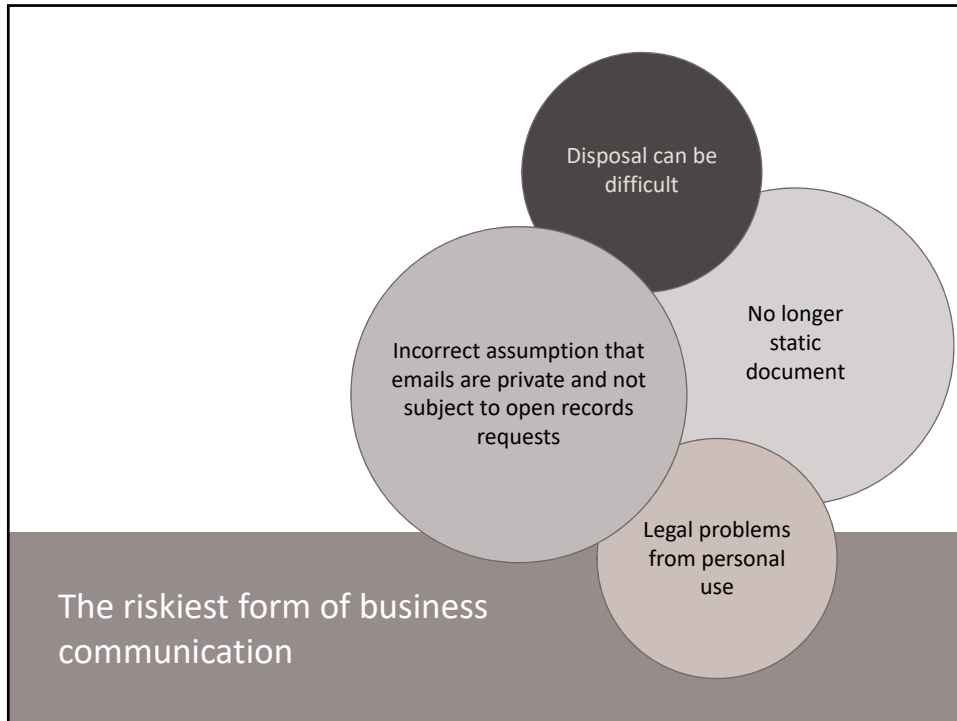
Discoverable in a lawsuit

Subject to open records requests

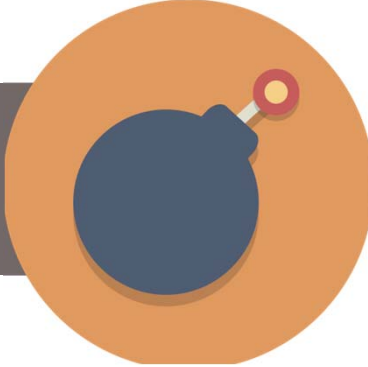
A Public Record

Email Is

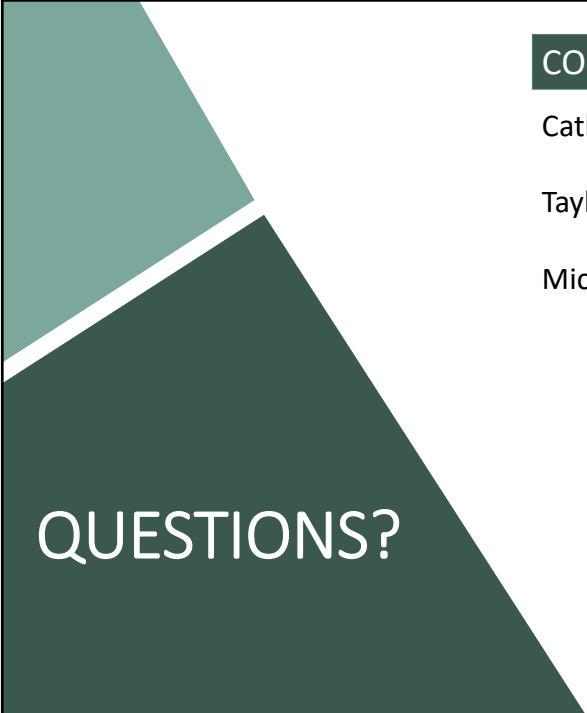

A magnifying glass icon inside an orange circle, representing discovery or search.A cloud icon inside a dark blue circle, representing open records or public access.An envelope icon inside a light blue circle, representing email or public records.



<p><u>Q</u></p> <p>How long do I keep email?</p>	<p><u>A</u></p> <p>What kind of record is it?</p>
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Destroy emails when they have met their retention.



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QUESTIONS?