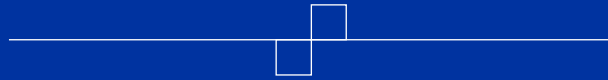


Martin-Gatton College of Agriculture, Food and Environment

Records Management



Extension Business Office
FY2024

Topics

- Records Management Overview
- Records Retention
- Records Destruction
- Office Filing



Records Management

Records are fundamental to office operations, and retaining vital and historical records is necessary for day-to-day work, strategic and long-range planning and assessment, and for celebrating important milestones. However, the uncontrolled proliferation of records leads to serious impairment of our effectiveness and ability to do our work as well as significant increases in operating costs, risk, and liability.

As a state agency, the University of Kentucky is - *and by extension all university employees are* - legally bound to treat records created, used, and/or in its possession as public records that must be managed according to Kentucky statutes.

Records Management

Extension District Board (EDB) forms/files tend to trend towards the *Local Government* retention schedule requirements and programming.

Staff related files trend more to the *State University Model* retention schedule in our current draft matrix.

Kentucky Department for Libraries and Archives

<https://kdla.ky.gov/records>





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



[KDLA Local Governments](#)



State University Model

Records Retention Schedule

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



[KDLA State University Model](#)

Which records schedule applies?

How to determine who *owns* the records.



At this time, best practice dictates following the more stringent guideline between the *Local Government* and *State University* retention models.

What are considered Public Records?

[KRS 171.410](#)

The term “public record” includes emails, databases, and other records electronically generated and/or stored. This also includes cell phones paid for with public funds and social media records. “Public records” includes all such records even if they are not subject to inspection under an exemption and therefore not “open records.”

Because it is a state agency, all records of the University of Kentucky are classified as “public records,” and thus are subject to inspection pursuant to the terms of the Open Records Act unless a specific exemption in the Act applies. The provisions of the Act are contained in KRS 61.870 to 61.884. <https://legal.uky.edu/open-records>

KRS 171.710

Safeguarding agency records

Such safeguards shall include making it known to all officials and employees of the agency that no records are to be alienated or destroyed except in accordance with law and calling their attention to the penalties provided by law for the unlawful removal or destruction of records.



October 2023

Opinion issued by Kentucky Court of Appeals

Messages on personal cell phones are public records when they are created or used by government officials for government business.

This decision came from a lawsuit filed by the non-profit Kentucky Open Government Coalition against the Kentucky Department of Fish and Wildlife Resources Commission. In 2021, the coalition requested emails and text messages from current and former members of the commissions.

In its opinion, the Court of Appeals held “that text messages related to Commission business and stored on personal cell phones of its members are public records generally subject to disclosure under the Open Records Act.”



Records Retention

File Format Considerations

When considering whether to keep your records physically or electronically you may be surprised to learn that digital files require more maintenance than physical files.

Hardware and software become obsolete over time which may become problematic when trying to access outdated formats.

Additionally, after 15-20 years is anyone going to understand the way Sofia named her files? Will that match how Max organized his folders 10 years ago?

Electronic Files

Naming mechanisms





Electronic records would include, but not be limited to, email messages, word documents, PDFs, digital photos, video, audio, agency websites and social media accounts.

- ✓ Be consistent
- ✓ Keep folder and filenames short
- ✓ Avoid spaces, underscores, and special characters
- ✓ When using a date use this format: YYYYMMDD
- ✓ Include *Destruction Date*

Electronic Files

Naming mechanism example

Folder path: > This PC > Shares (\\odin.ad.uky.edu) (Z:) > Ext-Central > Business > Admin Affairs

<input type="checkbox"/> Name	Date modified	Type	Size
 Amsler, Rebecca - FCS, Garrard Destroy Jan 2027	1/15/2024 7:47 AM	File folder	
 Martin, Ryan - 4H, Jessamine Destroy Jan 2025	1/15/2024 7:48 AM	File folder	
 Poore, Lindsay - Hort, Fayette Destroy Jan 2027	1/15/2024 7:48 AM	File folder	
 Waller, Zach - ANR, Anderson Destroy Jan 2029	1/15/2024 7:49 AM	File folder	

Permanent vs. Non-Permanent Records *Electronic or Hard Copy?*

Non-permanent records can be maintained in whatever format the organization deems most useful.

Permanent records must remain in their original format. An organization may choose to create copies in a digital format or vice versa, but the physical original must be retained.

A record has the same retention period whether it is in hard copy or electronic format.

QuickBooks Online (QBO)

QBO keeps data secure by:

- ✓ Saving to two hard drives whenever there are changes to the company file
- ✓ Periodically saving to a third-party hard drive
- ✓ Automatic backups are performed every night

Off-site storage & document scanning guidance



Contact KY Underground Storage, Inc. (KUSI),
UK's off-site storage vendor at
customerservice@kentuckyunderground.com

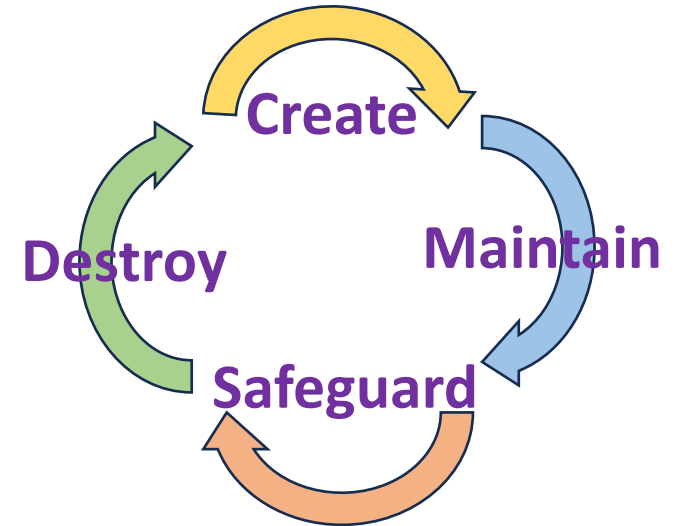


Current Records Retention Schedule

CES-Manuals Chapter: [Filing Procedure for County Offices](#)

The current schedule follows this format:

- I. Administrative Affairs
- II. Affirmative Action Plan
- III. Correspondence
- IV. Reports and Personnel
- V. Soil Test Results (Individual)
- VI. Reference Files
- VII. Publications
- VIII. Organizations
- IX. Miscellaneous



Current Records Retention Matrix

Under Construction
Release May 1, 2024

1	Record Series Number	Record to be Filed	Local Government Schedule	State University Schedule	Retention Requirements
2	Administrative Affairs				
3	L4956	Equipment manuals & warranties			As long as equipment is owned
4	L4958	Minutes of meetings	Permanent	Transfer 1 copy to University Archives for permanent retention. Retain 1 copy in the creating unit permanently.	Retain Permanently
5	U0130	Minutes - Staff Meetings		Retain for 3 years, then destroy	Retain 3 years, then destroy
6	L4966	Meeting Notices/Agendas/Iteneraries/Schedules	Retain 1 year, then destroy		Retain 1 year, then destroy
7	U0646	Attendance Rosters			Retain Permanently
8	L4957	Annual & 4-Year Plan of Work			Retain one copy permanently
9	L4969	Telephone Record/Log	Retain 1 year, then destroy		Retain 1 year, then destroy
10	L5821	Vehicle Information File	Destroy when vehicle is no longer owned		Destroy when vehicle is no longer owned
11	L5364	Surveillance Video/Audio Recordings	Retain 30 days, then destroy or re-use if no litigation is pending		Retain 30 days, then destroy or re-use if no litigation is pending
12	L4968	Press Releases	Retain 1 year, then destroy	Retain 1 copy of each release permanently in University Archives.	Retain 1 year, then destroy
13	U0111	Mailing Lists (gender and race)			Update every 90 days
14	U0140	Membership Lists (gender and race)			Retain Permanently
15	U0111	News Articles			Current + 1 year
16	L4956	Newsletters, circular letters			Current + 1 year
17	L6648	Accident Report File	Retain 5 years for adults. For minors retain until age 18 plus 5 years or until litigation is complete, whichever is longest.		Retain 5 years for adults. For minors retain until age 18 plus 5 years or until litigation is complete, whichever is longest.
18	L6648	Incident Forms/Notes	Retain 5 years for adults. For minors retain until age 18 plus 5 years or until litigation is complete, whichever is longest.		Retain 5 years for adults. For minors retain until age 18 plus 5 years or until litigation is complete, whichever is longest.

A large stack of papers and folders is shown on the left side of the image. A prominent white sheet of paper is in the foreground, partially covering the stack. The stack behind it consists of many thin, light-colored pages and several thicker folders in various colors, including orange, yellow, and teal. The background is a plain, light color.

Records Destruction

Records Destruction

Retention requirements have been met and ready to be destroyed.

The Kentucky Department for Libraries and Archives (KDLA) provides all state agencies with a Records Destruction Certificate (RDC) template. UK employees should use the [UK-specific RDC template \(pdf\)](#) to document any set of records that have reached their retention and that need to be destroyed.

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: University of Kentucky _____

Department/Local Government Office: _____

Division: _____

Branch/Unit: _____

Schedule Date: 6/9/2022 Destruction Date: _____ Destruction Method: Shred

For records destroyed at agency only, per approved retention schedules

Series No.	Title of Records	Date Span	Volume	
			<input checked="" type="radio"/> Cubic Feet	<input type="radio"/> Gigabytes
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 Libraries, Archives, and Records Commission.

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

 Records Officer/Custodian

 Date

Records Destruction

The key pieces of information you'll need to record are:

- Record series number and name from the Model Records Retention Schedule
- Date span of records destroyed for each series
- Volume of records destroyed for each series
 - cubic feet, gigabytes, or number of electronic files
- **Date of destruction**
- Method of destruction (typically shred or recycle)
- The name of your University of Kentucky unit(s)
- You may include more than one record series on one certificate
 - Each record series must include the date span and volume

Example:

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:

For records destroyed at agency only, per approved retention schedules

Series No.	Title of Records	Date Span	Volume <input checked="" type="radio"/> Cubic Feet <input type="radio"/> Gigabytes
U0130	Minutes - Staff Meetings	7/1/20-6/30/23	1 bx = 1 cu ft
U0239	Travel Authorizations (FY audit completed '22)	7/1/17-6/30/20	3 bx = 3 cu ft
Total Volume of Records Destroyed			4 cubic feet

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 Libraries, Archives, and Records Commission.

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

Records Officer/Custodian Date



Just as important to document
DESTROY DATE
on hard copy documents as it
is for electronic documents.

Records Destruction - State

When complete, the Records Destruction Certificate should be emailed to uarp@lsv.uky.edu.

Once you receive the signed certificate back from the Records Officer, records may be discarded, either through recycling (for non-confidential records) or through a locked recycling bin. For assistance with shredding and recycling, contact [UK Recycling](#) (859-257-8788 or recycle@uky.edu).

Records Destruction - County

Counties should follow guidance outlined in their County Ethics Ordinances, which should be on file in each county office.

When complete, the Records Destruction Certificate should be maintained permanently for your files.

Electronic Device Clearing

The Regional Extension Information Technology Contact (REITC) team is responsible for managing and supporting the use of IT resources with the CES.

<https://reitc.ca.uky.edu/>

Keith O'Hair - C2, E5, E6, E7, E8

Amy Holbrook - E2, E3, E4, E5

Chris McKenzie - C5, C6, C7, C8

Rick Hayes - C1, C2, C3, C4

Chuck Marz - W5, W6, C5, E1, E2

Mark Machek - W4, W5, W7, W8

Nathan Wynn - W1, W2, W3, W4

Natural Disaster Impact Records Recovery

How can we deal with natural disasters for record recovery?

Ideally, keep your data in at least two separate copies on different computers or storage units; that way, the redundant copy or backup becomes your go-to recovery option. Also, avoid saving essential files to locations that might be difficult to access during recovery.

Contact: Nicole Bryan Nicole.Bryan@ky.gov

Contact: Jeff Young (UK) jeffrey.young@uky.edu



Office Filing

Components of Extension Filing System

The system incorporates two basic components

- **Manual**
- **Electronic**

The system allows for the same coding and categories for both forms of communication and records.

Using the same naming and coding conventions for both systems will aid in storing and retrieving documents.

Components of Extension Filing System

Payment Card Industry Data Security Standards (PCI DSS)

- ✓ Protect/redact stored cardholder data
- ✓ Full credit card data should never be filed and should be properly destroyed when no longer needed.
- ✓ Under **no** circumstances should credit card information be obtained or transmitted via email.

Components of Extension Filing System

Electronic File Setup

Your electronic filing system needs to be set up under a separate individual drive (such as a Z Drive).

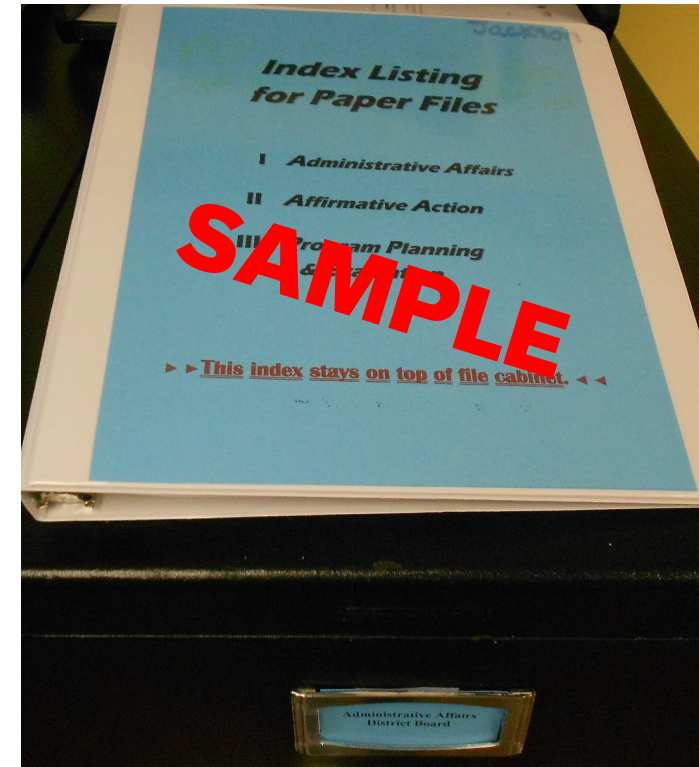
The key take away is these files should be on a separate filing system from your other shared computers files (typically on a C Drive).

- This allows an additional level of security for those that need access to the county file.

Components of Extension Filing System

Maintain a Filing Index

- For ease in retrieval of files, manual indexes may be developed.
- A notebook-type index could also be printed from the electronic file's list.
- This additional component could be used to cross-reference items as well as allow others to easily find items in the manual file.



Components of *Extension Filing System* should align with the *Records Retention Schedule*

- I. Administrative Affairs
- II. Affirmative Action Plan
- III. Correspondence
- IV. Reports and Personnel
- V. Soil Test Results (Individual)
- VI. Reference Files
- VII. Publications
- VIII. Organizations
- IX. Miscellaneous

Components of Extension Filing System

Counties should color code folder labels under each subheading for ease in retrieval of files, i.e.:

- Red labels for files under Administrative Affairs
- Blue labels for files under Affirmative Action
- Green labels for files under Reports
- Etc.

Files should also fall in line alphabetically behind each subheading.

Consistency is key!

Components of Extension Filing System

**ADMINISTRATIVE
AFFAIRS**

(red)



**AFFIRMATIVE
ACTION**

(blue)



REPORTS

(green)





**Dedicate 1-2 days
each fiscal year to
organize your files.**

Extension Business Operations Team

<https://cafebusinesscenter.ca.uky.edu/extension-business-operations>

Rebecca Amsler, Director Extension Business Operations

Zach Waller, Western Region Budget Analyst

Ryan Martin, Central Region Budget Analyst

Lindsay Poore, Eastern Region Budget Analyst

Tina Ward, Budget Analyst

Natalie Simpson, Administrative Assistant





In accordance with Federal law and U.S. Department of Agriculture (USDA) civil rights regulations and policies, this institution is prohibited from discriminating on the basis of race, color, national origin, sex, age, disability, and reprisal or retaliation for prior civil rights activity. (Not all prohibited bases apply to all programs.)

Program information may be made available in languages other than English. Persons with disabilities who require alternative means of communication for program information (e.g., Braille, large print, audiotape, and American Sign Language) should contact the responsible State or local Agency that administers the program or USDA's TARGET Center at (202) 720-2600 (voice and TTY) or contact USDA through the Federal Relay Service at (800) 877-8339.

To file a program discrimination complaint, a complainant should complete a Form AD-3027, USDA Program Discrimination Complaint Form, which can be obtained online, at www.usda.gov/sites/default/files/documents/usda-program-discrimination-complaint-form.pdf, from any USDA office, by calling (866) 632-9992, or by writing a letter addressed to USDA. The letter must contain the complainant's name, address, telephone number, and a written description of the alleged discriminatory action in sufficient detail to inform the Assistant Secretary for Civil Rights (ASCR) about the nature and date of an alleged civil rights violation. The completed AD-3027 form or letter must be submitted to USDA by:

mail:
U.S. Department of Agriculture
Office of the Assistant Secretary for Civil Rights
1400 Independence Avenue, SW
Washington, D.C. 20250-9410; or

fax:
(833) 256-1665 or (202) 690-7442;

email:
program.intake@usda.gov.

This institution is an equal opportunity provider.

Conforme a la ley federal y las políticas y regulaciones de derechos civiles del Departamento de Agricultura de los Estados Unidos (USDA), esta institución tiene prohibido discriminar por motivos de raza, color, origen nacional, sexo, edad, discapacidad, venganza o represalia por actividades realizadas en el pasado relacionadas con los derechos civiles (no todos los principios de prohibición aplican a todos los programas).

La información del programa puede estar disponible en otros idiomas además del inglés. Las personas con discapacidades que requieran medios de comunicación alternativos para obtener información sobre el programa (por ejemplo, Braille, letra agrandada, grabación de audio y lenguaje de señas americano) deben comunicarse con la agencia estatal o local responsable que administra el programa o con el TARGET Center del USDA al (202) 720-2600 (voz y TTY) o comunicarse con el USDA a través del Servicio Federal de Transmisión de Información al (800) 877-8339.

Para presentar una queja por discriminación en el programa, el reclamante debe completar un formulario AD-3027, Formulario de queja por discriminación del programa del USDA, que se puede obtener en línea, en www.usda.gov/sites/default/files/documents/usda-program-discrimination-complaint-form.pdf, en cualquier oficina del USDA, llamando al (866) 632-9992, o escribiendo una carta dirigida al USDA. La carta debe contener el nombre, la dirección y el número de teléfono del reclamante, y una descripción escrita de la supuesta acción discriminatoria con suficiente detalle para informar al Subsecretario de Derechos Civiles (ASCR, por sus siglas en inglés) sobre la naturaleza y la fecha de la presunta violación de los derechos civiles. La carta o el formulario AD-3027 completado debe enviarse al USDA por medio de:

correo postal:
U.S. Department of Agriculture
Office of the Assistant Secretary for Civil Rights
1400 Independence Avenue, SW
Washington, D.C. 20250-9410; o'

fax:
(833) 256-1665 o' (202) 690-7442;

correo electrónico:
program.intake@usda.gov.

Esta institución ofrece igualdad de oportunidades.

The Martin-Gatton College of Agriculture, Food and Environment is an **Equal Opportunity Organization** with respect to education and employment and authorization to provide research, education information and other services only to individuals and institutions that function without regard to economic or social status and will not discriminate on the basis of race, color, ethnic origin, national origin, creed, religion, political belief, sex, sexual orientation, gender identity, gender expression, pregnancy, marital status, genetic information, age, veteran status, physical or mental disability or reprisal or retaliation for prior civil rights activity.

Reasonable accommodation of disability may be available with prior notice.

Program information may be made available in languages other than English.

Inquiries regarding compliance with Title VI and Title VII of the Civil Rights Act of 1964, Title IX of the Educational Amendments, Section 504 of the Rehabilitation Act and other related matter should be directed to:

- Equal Opportunity Office, Martin-Gatton College of Agriculture, Food and Environment, University of Kentucky, Room S-105, Agriculture Science Building Lexington, Kentucky 40546
- UK Office of Institutional Equity and Equal Opportunity, 13 Main Building, University of Kentucky, Lexington, KY 40506-0032
- US Department of Agriculture, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, SW, Washington, D.C. 20250-9410