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December 4, 2025

Senator Stephen West
Representative Derek Lewis
Legislative Research Commission
083 Capitol Annex
702 Capitol Avenue
Frankfort, Kentucky 40601

Dear Co-Chairs,

After consideration of the issues raised by 725 KAR 1:050, the Division of Archives and Records Management proposes the attached suggested substitute to this regulation.

Sincerely,

Rusty Heckaman

Rusty Heckaman
State Archivist
300 Coffee Tree Rd.
Frankfort, Kentucky 40601

SUGGESTED SUBSTITUTE

**Education and Labor Cabinet
Department for Libraries and Archives
Archives and Records Management Division
(Amendment)**

725 KAR 1:050. Records management program.

RELATES TO: KRS 13B.140, Chapter 171

STATUTORY AUTHORITY: KRS 171.450(2), 171.520

[CERTIFICATION STATEMENT:]

NECESSITY, FUNCTION, AND CONFORMITY: KRS 171.450(2) requires ~~[that]~~ the department ~~to~~**[shall]** enforce the provisions of KRS 171.410 ~~to~~**[through]** 171.740 by appropriate **rules**~~rule~~ and ~~[promulgation of]~~ administrative regulations. KRS 171.520 requires the department to prescribe~~[establish]~~ the policies and principles to be followed by state and local agencies in the conduct of their records management programs; ~~to~~ ensure the maintenance and security of records deemed appropriate for preservation; ~~to~~ **and** to facilitate the segregation and disposal of records of temporary value and to promote the effective and economical use of space, equipment, and supplies needed for the purpose of creating, maintaining, and servicing records. KRS 171.520 authorizes the department to administer and grant any money appropriated to it for providing and improving records management programs of state and local agencies. This administrative regulation establishes uniform policies ~~in~~**[for]** the administration of grants to local governments for the improvement of records management programs.

Section 1. Eligibility of Applicants. Any local government office interested in improving the management and preservation of its public records may apply for a grant under the local records program by completing application forms available through the department~~[the Local Records Program Grant Application]~~. For the purposes of this program, a local government office shall **mean a**~~mean~~ **conform to the definition of**~~[constitute a]~~ "public agency" as defined by KRS 171.410(4)~~[61.870(1)]~~.

Section 2. Application Procedures. All applications shall be submitted on the Local Records Program Grant Application **portal** and include a detailed project description, plan of work, and budget request. Additional guidance is~~[Supporting documentation, such as the Invitation for Bid Proposal are]~~ established in the Local Records Program Grant Guidelines. Entries on the application form and any required supporting documents shall be ~~typed and~~ completed as fully as possible, with additional sheets attached if necessary. In signing the application and in accepting a grant award, applicants agree, in carrying out their projects, to abide by the criteria established in this administrative regulation.

Section 3. Categories for Funding. Any project to improve the management and preservation of local public records shall be considered. Categories for funding include **[, for example]**:

(1) Security microfilming permanent, vital, ~~or~~**[and/or]** archival records. Security microfilms created with Local Records Program Grant (LRPG) funds **shall**~~[must]~~ adhere to the standards and procedures defined in Microfilming and Digital Imaging of Public Records: A Procedural Guide. A certified micrographics laboratory or vendor **shall**~~[must]~~ be used. A list of currently certified laboratories may be obtained from the department's website;

- (2) Creating digital counterparts or[and/or] digital indexes of born-analog permanent, vital, or[and/or] archival records. Digital images or indexes created with LRPG funds shall[must] adhere to standards and procedures described in Microfilming and Digital Imaging of Public Records: A Procedural Guide;
- (3) Records preservation, conservation, or restoration projects for at risk or affected permanent, vital, or[and/or] archival records. These projects shall[should] adhere to current archival best practice and standards. These projects may[can] include~~[- but are not limited to,]~~ services to preserve at-risk records or mitigation of existing damage;
- (4) Purchasing supplies and equipment that promote preservation, conservation, or restoration of permanent, vital, or[and/or] archival records~~[- including but not limited to, archival quality boxes and folders, shelving, cabinets, and microfilm readers/scanners];~~
- (5) Establishing a local government records management program or archives. This may include salary for hiring new staff. These funds shall[are] not be designed for ongoing support, and they shall not[cannot] be used to replace salary funds already being expended by a local government. Salary support shall[can] only be used for compensation of wages up to forty (40) hours per week, and shall not[cannot] be used for overtime, taxes, or any other fringe benefits;
- (6) Arranging and describing permanent, vital, or[and/or] archival records, according to generally accepted professional standards of records management and archival theory and practice;
- (7) Codification of ordinances, orders, resolutions, motions, and other government documents[etc.] for cities and counties. Codification projects shall[will] adhere to Policy Memorandum on Approved Codification Services Vendors and Codification Grant Applicants/Recipients (PM 2021-01); and
- (8) Limited records management for records with less than permanent retention[retention(s)] to assist in maintaining usability and accessibility for the entirety of the defined retention period[period(s)]. Records management tasks for these records may include purchase of storage, projects to provide for long-term storage, or access of records with multiple retentions. These projects shall[should] have clearly defined, specific, and time-limited parameters and be recognizable as part of established records management policies, procedures, and goals for the public[local] agency. These funds shall not be used for ongoing records management support.

[(1)] [Security microfilming vital (critical for the functioning of the office) or historically significant records following the standards and procedures in Microfilming and Digital Imaging of Public Records: A Procedural Guide. Security microfilming carried out with local records grant funds must be done through a micrographics laboratory or vendor certified according to the criteria established in the Microfilming and Digital Imaging of Public Records: A Procedural Guide and officially recognized by the State Libraries, Archives, and Records Commission. A list of the names of currently certified laboratories or vendors may be obtained from the department's web site (<https://kdla.ky.gov/records/recmgmtservices/Pages/LocalRecordsProgramGrants.aspx>);]

[(2)] [Rerecording projects, for rerecording damaged records or records now losing their image, using archivally acceptable methods of recording on paper or microfilm;]

[(3)] [Document preservation projects, to carry out preservation or conservation measures on endangered records of major historical significance;]

[(4)] [Purchasing document conservation supplies;]

[(5)] [Establishing a local government records management program or archives. This may include hiring or partially subsidizing the salary of a qualified archivist who will work with department personnel in initiating a specific, time-limited project. Requests for salary support shall be evaluated based on this administrative regulation. These funds are not designed for ongoing support, and they shall not be used to replace salary funds already being expended by the local government. They may be used as short-term salary supplements;]

~~[(6)] [Arranging and describing archival holdings, according to generally accepted professional standards of records management and archival theory and practice;]~~

~~[(7)] [Purchasing supplies and equipment that promote preservation of or access to archival materials, including acid-free boxes and folders, shelving, and cabinets; and]~~

~~[(8)] [Codification of ordinances for cities and counties, according to procedures in Policy Memorandum on Approved Codification Services Vendors and Codification Grant Applicants/Recipients. Funds shall be available for production of initial codes but not for code supplements.]~~

Section 4. Grant Award Periods. Grants shall be awarded ~~throughout~~~~[on]~~ a state fiscal year~~[basis]~~ on a quarterly schedule as **established[set forth]** in Section 5 of this administrative regulation.

Section 5. Grant Application Review and Evaluation. All applications shall be reviewed by KDLA staff to ensure compliance with the application requirements **established[set forth]** in this administrative regulation. All qualified applications shall be reviewed by an Advisory Group of the State Libraries, Archives, and Records Commission using the criteria **established[set forth]** in this administrative regulation. Applications shall be submitted by March 15, June 15, September 15, and December 31. Ranked recommendations shall be presented to the State Libraries, Archives, and Records Commission at the next regular meeting, or special meeting called to reschedule a regular meeting.~~[Applications shall be reviewed by the Local Records Grant Review Committee and ranked recommendations shall be presented to the State Libraries, Archives, and Records Commission.]~~ The State Libraries, Archives, and Records Commission shall make the final decision on grant awards using the criteria established in Section ~~6~~~~[5]~~ of this administrative regulation.

Section 6. Grant Review Criteria. In reviewing applications and recommending the funding of specific projects, reviewers ~~shall consider~~~~[judge the projects by criteria, which includes]~~:

~~(1) If the category for funding fits within the scope of projects outlined in Section 3 of this administrative regulation;[.]~~

~~(2) Urgency of the problem, such as significance and age of the records. Precedence shall be given to local government applicants with critical records problems, those with older records, and those with chronologically complete groupings of records;[.]~~

~~(3) Value and equity in the distribution of grants. The program shall include various types and sizes of local governments, and provide geographic distribution of grants;[.]~~

~~(4) Alignment of the proposed methods with accepted professional standards of records management and archival theories and practices;[.]~~

~~(5) Adequate security and protection of records. Local governments **shall[should]** house records in fire-resistant facilities, or state how the proposed project **shall[will]** safeguard the records in question **pursuant to[. (See) KRS 171.710;[regarding the safeguarding of public records.]**~~

~~(6) Compliance with all legal requirements regarding custody and public access. This shall include complying with the requirements of the state's Open Records Law **pursuant to [(KRS 61.870-876)]** and providing access to the public in an area with proper security and supervision;[.]~~

~~(7) Commitment by the local government to a comprehensive records management program. This shall include regular legal disposition of records in accordance with the records retention schedules covering the records of a local government agency, and may also include files control, segregation of inactive or noncurrent material from active files, selective microfilming **if[(where) appropriate[]]**, and training of records personnel in records management standards;[.]~~

~~(8) Ninety (90) percent of the grant funds shall be awarded to county clerks unless insufficient qualified applications are received from county clerks; **and[.]**~~

(9) If the proposed project was ~~[not]~~ previously funded by LRPG.

~~[(1)] [Urgency of the problem, such as significance and age of the records. The commission and other evaluation groups shall consider first local government applicants with critical records problems and to those with older records and with chronologically complete groupings of records;]~~

~~[(2)] [Value as a model and type for size and geographical location of the local government. The program shall promote equity in the geographic distribution of grant projects. The program shall include projects in various types and sizes of local governments, with a major goal to provide model projects in all areas of the state;]~~

~~[(3)] [Soundness of the proposed methods. The methods of handling the records shall conform to generally accepted professional standards of records management and archival theory and practice;]~~

~~[(4)] [Commitment of local government resources to the project. The commission and other evaluation groups shall give preference to local governments that commit some local resources to the proposed projects. Support may take the form of adequate office, storage, or working space; personnel; supplies; equipment; or a monetary contribution. Evidence of previous concern or commitment of support to improved local records management and preservation shall also be important factors in the reviewers' evaluation;]~~

~~[(5)] [Commitment by the local government to maintain the program or the lasting benefit of a specific project. This may include provisions for maintaining the accuracy and currency of a grant-funded code of ordinances with annual supplements, providing adequate storage space, designating of a person or persons responsible for maintaining and adding to a local archives, adhering to all standards for archival microfilming, or being willing to assume the cost of future security microfilming of relevant records;]~~

~~[(6)] [Adequate security and protection of records. Local governments shall:]~~

~~[(a)]~~

~~[1.] [House records in secure, fire-resistant facilities; or]~~

~~[2.] [State how the proposed project will safeguard the records in question.]~~

~~[(b)] [Applicants shall comply with KRS 171.710 regarding the safeguarding of public records;]~~

~~[(7)] [Compliance with all legal requirements regarding custody and public access. This shall include complying with the requirements of the state's Open Records Law (KRS 61.870-876) and providing access to the general public in an area with proper security and supervision; and]~~

~~[(8)] [Commitment by the local government to a comprehensive records management program. This shall include regular legal disposition of records in accordance with the records retention schedules covering the records of a local government agency, and may also include files control, segregation of inactive or noncurrent material from active files, selective microfilming (where appropriate), and training of records personnel in records management techniques].]~~

Section 7. ~~[Informal]~~ Appeals.

(1) An applicant who believes **his or her**~~[their]~~ application was wrongly denied by~~[aggrieved by a decision of]~~ the State Libraries, Archives, and Records Commission **may**~~[shall]~~~~[may]~~ file an ~~[informal]~~ appeal with the commissioner of the department.

(2) Procedures.

(a) A formal letter of appeal shall be sent via email or postal mail to the commissioner of the department within five ~~(5)~~~~[three (3)]~~ working days of receipt of notice of rejection.

(b) The appeal shall include a brief description of why the applicant believes the decision of the State Libraries, Archives, and Records Commission is in error. The decision of~~[appeal shall be based solely upon alleged error by]~~ the State Libraries, Archives, and Records Commission shall not be overturned

unless there is clear and convincing evidence that the decision violated this administrative regulation.
New information shall not be considered in~~[submitted with]~~ the appeal.

(c) The commissioner of the department shall issue a~~[make]~~ decision within five (5)~~[two (2)]~~ working days of receipt of the letter of appeal.

(d) An applicant who is dissatisfied with the commissioner's decision may appeal to Franklin Circuit Court pursuant to KRS 13B.140.

Section 8. Local governments that are awarded grants shall enter into a grant contract with the department. The contract~~[grant]~~ shall establish performance and reporting requirements. Failure to fulfill the requirements may result in the return of the grant funds to the department and may affect future funding considerations.~~[shall result in the return of the grant to the department.]~~

~~[Section 9.] [Selection of Codification Services Vendors. The department, in approving established codification services vendors to participate in codification work funded with local records grants, shall ensure that basic criteria and professional standards are met. Criteria such as the following shall be used as essential measures to approve prospective codification services vendors:]~~

~~[(1)] [Corporate stability or a history of reliable service, preferably to client governments in Kentucky;]~~

~~[(2)] [Experienced legal and editorial staff conversant with local government law and the technical and editorial requirements to be met in producing accurate, usable codes of ordinances;]~~

~~[(3)] [Access to online statutory databases; and]~~

~~[(4)] [(5)] The ability to provide code supplement services on a continuing basis.]~~

~~[Section 10.] [Codification Services Vendor Applications from prospective codification services vendors shall be reviewed by the State Libraries, Archives, and Records Commission using the criteria established in Section 9 of this administrative regulation.]~~

Section 9.~~[Section 11.]~~ Incorporation by Reference.

(1) The following material is incorporated by reference:

(a) "Local Records Program Grant Guidelines", June 2025.~~["Local Records Program Grant Application", October 2021;]~~

(b) "Microfilming and Digital Imaging of Public Records: A Procedural Guide", June 2025;
and~~["Invitation for Bid Proposal", October 2021;]~~

(c) "Policy Memorandum on Approved Codification Services Vendors and Codification Grant Applicants/Recipients, PM 2021-11", November 2021.~~["Local Records Program Grant Guidelines", November 2021;]~~

~~[(d)] ["Microfilming and Digital Imaging of Public Records: A Procedural Guide", January 2010;]~~

~~[(e)] ["Policy Memorandum on Approved Codification Services Vendors and Codification Grant Applicants/Recipients, PM 2021-11", November 2021; and]~~

~~[(f)] ["Codification Services Vendor Application", December 2021.]~~

(2) This material may be inspected, copied, or obtained, subject to applicable copyright law, at the Kentucky Department for Libraries and Archives, 300 Coffee Tree Road, Frankfort, Kentucky 40601, Monday through Friday, 9 a.m. to 4 p.m.

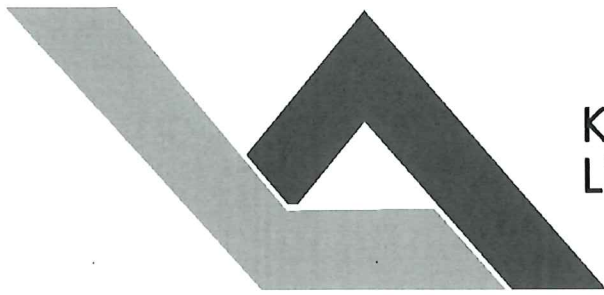
(3) This material may also be obtained on the department's website at <https://kdla.ky.gov/Policies/Pages/default.aspx>.

SUMMARY OF MATERIAL INCORPORATED BY REFERENCE

The "Local Records Program Grant Guidelines" is a guide to help Local Records Program Grant applicants navigate the application process. The "Microfilming and Digital Imaging of Public Records: A Procedural Guide" sets forth the requirements for the production of microfilm and digital imaging and their quality control by KDLA for storage in the State Archives. The "Policy Memorandum on Approved Codification Services Vendors and Codification Grant Applicants/Recipients PM 2021-11" sets forth the requirements for Local Records Program Grant recipients using funds for codification of records.

SUMMARY OF CHANGES TO MATERIAL INCORPORATED BY REFERENCE

The dates have been amended to conform to the administrative regulation.



Kentucky Department for
Libraries and Archives

Local Records Program Grant Guidelines

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Contact Information

If you are a local government agency and are considering applying for a grant, please contact your Regional Administrator (RA). If you are unsure in which region your agency is located, consult the Kentucky Department for Libraries and Archives (KDLA) website.

I. Introduction

Program Overview

The Kentucky Local Records Grant Program (LRPG) was created in 1984. Since that time, it has provided millions of dollars to local governments to support preservation of local records. This has been done primarily through grants for security microfilming, digitization, preservation, salary grants, and shelving and equipment purchases. Funding for the grant program is derived from a \$1.00 fee collected by county clerks on legal processes and instruments. In accordance with KRS 142.010(5), ninety percent (90%) of all funds allocated to the Department for Libraries and Archives for the Local Records Program Grant shall be set aside for grants to county clerks and distributed annually. If there are insufficient grant applications from county clerks to distribute 90% of all funds, the Department for Libraries and Archives may grant those funds to other agencies.

The Commissioner of KDLA distributes the grants after receiving notice of awards from the State Libraries, Archives, and Records Commission per 725 KAR 1:050. Official award status occurs with the notification of award and the receipt of the fully executed contract by KDLA. The LRPG operates within the state fiscal year, July 1 through June 30. General information about the grant program and the grant application are available on the KDLA website.

Regional Administrator (RA) Assistance

Regional Administrators are available to consult with applicants for project specification(s) RAs are able to answer questions about the grant application, but are not permitted to write LRPGs on behalf of the applicant. Applicants are encouraged to discuss their LRPG project with their RA before submitting their application for the LRPG to ensure compliance with the regulation.

Eligible Applicants and Projects

725 KAR 1:050(1) states "Any local government office interested in improving the management and preservation of its public records" is eligible to apply for a LRPG. Successful applications will clearly demonstrate how LRPG funds will be used to improve the management and preservation of local public records in accordance with 725 KAR 1:050(3) and (6). These activities include:

- (1) Security microfilming permanent, vital, and/or archival records. Security microfilm created with Local Records Program Grant (LRPG) funds must adhere to standards and procedures and be

done through a certified micrographics laboratory or vendor as defined in the *Microfilming and Digital Imaging of Public Records: A Procedural Guide*. A list of currently certified laboratories may be obtained from the department's web site;

- (2) Creating digital counterparts and/or digital indexes of born-analog permanent, vital, and/or archival records. Digital images or indexes created with LRPG funds must adhere to standards and procedures described in *Microfilming and Digital Imaging of Public Records: A Procedural Guide*;
- (3) Records preservation, conservation, or restoration projects for at risk or affected permanent, vital, and/or archival records. These projects should adhere to current archival best practice and standards. These projects can include, but are not limited to, services to preserve at-risk records or mitigation of existing damage;
- (4) Purchasing supplies and equipment that promote preservation, conservation, or restoration of permanent, vital, and/or archival records, including but not limited to, archival quality boxes and folders, shelving, cabinets, and microfilm reader/scanners;
- (5) Establishing a local government records management program or archives. This may include salary for hiring new staff. These funds are not designed for ongoing support, and they cannot be used to replace salary funds already being expended by a local government. Salary support can only be used for compensation of wages up to 40 hours per week, and cannot be used for overtime, taxes, or any other fringe benefits;
- (6) Arranging and describing permanent, vital, and/or archival records, according to generally accepted professional standards of records management and archival theory and practice;
- (7) Codification of ordinances, orders, resolutions, motions, etc. for cities and counties. Codification projects will adhere to *Policy Memorandum on Approved Codification Services Vendors and Codification Grant Applicants/Recipients* (PM 2021-01).
- (8) Limited records management for records with less than permanent retention(s) to assist in maintaining usability and accessibility for the entirety of the defined retention period(s). Records management tasks for these records may include purchase of storage, projects to provide for long-term storage, or access of records with multiple retentions. These projects should have clearly defined, specific, and time-limited parameters and be recognizable as part of established records management policies, procedures, and goals for the local agency. These funds shall not be used for ongoing records management support.

Other Eligibility Requirements

- Previous LRPG recipients with open LRPGs are not eligible to apply for additional LRPG funds or projects until all prior LRPGs are finalized and KDLA has issued the closeout letter.

- Local officials are eligible to apply for one (1) LRPG per grant cycle.
- Security Microfilming Record Cut-off Date:
To allow for the uniform preservation of permanent records, the security microfilming of permanent records adheres to a rolling ten (10) year cut-off date.

Examples:

- Calendar year 2011 and older records are eligible to be security microfilmed in FY23 grant cycles.
- Calendar year 2012 and older records are eligible to be security microfilmed in FY24 grant cycles.

For specific records questions, please contact your Regional Administrator.

Project Costs Considerations

Equipment eligible for funding should meet archival standards. This may include, but is not limited to, microfilm reader/printers or reader/scanners, hanging-file storage, microform storage cabinets, map/plat cabinets, file cabinets, and climate control and monitoring equipment.

Capital improvements, such as ground-up construction or additions to existing buildings, are not eligible project costs.

Fees for records destruction are not eligible project costs.

Upload and Link/Marry tasks are not eligible projects costs.

II. The Grant Process

All applications shall be submitted via KDLA's online application portal that includes a detailed project description, plan of work, and budget request. Any supporting documents should be completed as fully as possible with additional sheets attached if necessary. In signing the application and in accepting the LRPG award, applicants agree, in carrying out their projects, to abide by the criteria established in 725 KAR 1:050 and this guide.

Helpful Hints:

- Understand the responsibilities of all individuals involved in the grant project.
- Develop a realistic estimate of the funds, staffing, and time needed to undertake and complete the project during the grant period.
- Break the project into separate itemized sections to allow vendors to bid on each individual section.

- List the Series number for all security microfilming, scanning, and digitization project records. This information may be found in the Local Government Records Retention Schedules available on the KDLA website.
- For shelving grants, determine the per-unit cost, the number of units desired, and the total cost. Include any shipping and/or installation costs.

Requirements

All LRPG applicants shall follow their locally adopted procurement requirements and procedures, and shall be required to attest to such compliance. The Project Specifications Form shall include a description of vendor services to be provided and/or work to be completed during the proposed project. Applicants are required to submit winning quote(s) or bid(s) in their entirety to KDLA with the grant application.

The Project Specification Form are available on the KDLA website. Be sure to list the record series title(s), inclusive date(s), retention series number(s), and volume of the record(s) selected for the project on the Project Specification Form.

Vendors making proposals on security microfilming and scanning/digitizing projects must conduct an onsite visit and provide an approximate cost based on the estimated number of pages and/or images and condition of the records. These vendors are required to follow Kentucky Department for Libraries and Archives policies and procedures as outlined in *Microfilming and Digital Imaging of Public Records: A Procedural Guide*, which is available on the KDLA website.

Vendors making proposals on preservation or conservation projects must conduct an onsite visit to survey any chemical or physical deterioration, or damage to the records in order to provide an approximate cost to repair or extend the life of the record(s).

The vendor site visit date must be included in the vendor proposal.

Applications that do not include the Project Specification Form are ineligible for funding.

Salary grants are required to be completed within the fiscal year awarded. Salary grants are only awarded in the first Cycle (or Cycle 1).

Salary funds may not be combined with other funding requests within the LRPG application.

Salary grant applications require a Project Specifications Form.

Salary grants have a grant-reporting period of fifty (50) weeks at a minimum pay rate of \$15.00 per hour.

For equipment grants, maintenance/service agreements may be included as part of the initial purchase. LRPGs may fund two (2) year maintenance/service agreements, the equivalent of the eighteen (18) month grant reporting period. Once the expiration of the original maintenance/service

agreement has occurred, it is the sole responsibility of the applicant to maintain and/or upgrade equipment purchased with LRP funds.

Pre-award activities are not eligible project costs.

Vendors should include the cost of the transfer of digital images and indexes to KDLA in their bid responses and the cost shall not exceed \$250.

Grant funds must be deposited into a separate account. Funds cannot be co-mingled with other funds.

Agencies will be required to provide proof that funds were deposited into a separate account. If an agency is unable to deposit funds into a separate account, they will be asked to return the funds to KDLA. If an agency fails to deposit funds into a separate account, they will be asked to transfer funds into a separate account and provide proof of transfer, if they are unable to do so, the agency will be asked to return the funds to KDLA.

Bid proposals for micrographics services will only be considered from offerors whose laboratories are certified by the Kentucky Department for Libraries and Archives.

Work must be performed in accordance with applicable policies and regulations of the Kentucky Department for Libraries and Archives as stated in 725 KAR 1:050. Microfilm produced with grant funds must be tested and approved by the Department before authorization for payment will be given.

Roll microfilm used in this project must be polyester based.

Micrographics services offerors must indicate the roll length that will be used and provide an estimated roll count for each line item that is accurate to within one roll. Copies of digital images accompanied by the corresponding index(es) must be supplied to the Kentucky Department for Libraries and Archives upon completion of the project and must pass quality control inspection before payment is rendered.

Grant funds may be expended for initial quality control costs. Costs accrued from additional quality control services will be the sole responsibility of the offeror.

Clarification of terms, descriptions, conditions, or specifications for equipment/supplies is the sole responsibility of the offeror.

Codification bids should follow the steps outlined in the Kentucky Department for Libraries and

Archives' revised *Codification Steps Policy for Cities* memorandum, dated October 15, 2021.

Submitted bid proposals/quotes must include separate, itemized price quotes for each line item of the proposed project, or section for which the offeror is making a proposal, and a total cost of all sections bid on/quoted.

Offerors must provide services or materials within the term of the grant following the beginning of the FY and subsequent availability of state funds.

Selection of a bid proposal is contingent upon the award of the Local Records Program grant and subsequent availability of state funds.

Submits a signed contract.

Completing the Application

All applications shall be submitted via KDLA's online application portal. Applicants should supply information detailing the project summary and plan of work. Relevant supplemental information or materials may be added to support your proposal. These may include sample forms, letters of support, photographs, and/or descriptions of items or services that are part of the project and have not been noted or illustrated elsewhere in the application.

Materials to be submitted with online application include:

- 1) Project Specifications Form
- 2) Vendor quote and/or Bid
- 3) Supporting documentation as needed

Application Review

Applications will be accepted on a rolling basis, when an application is received will determine the funding cycle in which it is presented.

Cycle 1: Applications received between January 1 and March 15 will be presented for funding at the June Commission meeting. Funding decisions made in this cycle will be issued in July.

Cycle 2: Applications received between March 16 and June 15 will be presented for funding at the September Commission meeting. Funding decisions made in this cycle will be issued in October.

Cycle 3: Applications received between June 16 and September 15 will be presented for funding at the December Commission meeting. Funding decisions made in this cycle will be issued in January.

Cycle 4: Applications received between September 16 and December 31 will be presented for funding at the March Commission meeting. Funding decisions made in this cycle will be issued in April.

After each application deadline, an administrative review is conducted on all applications by KDLA staff to confirm the application meets all legal requirements set forth in 725 KAR 1:050 and these Guidelines. In the two-week period after the application deadline, KDLA staff may contact the applicant for additional information. KDLA staff complete a review for eligible projects to assess how closely the project meets the criteria defined in 725 KAR 1:050. All applications meeting the legal requirements are forwarded to an Advisory Group of the State Libraries, Archives, and Records Commission for final review and funding recommendation to the State Libraries, Archives, and Records Commission. The State Libraries, Archives, and Records Commission meets quarterly and has sole legal authority to make the grant awards.

As set forth in 725 KAR 1:050(5), grant award selection criteria are as follows:

- (1) Category for funding fits within the scope of projects outlined in Section 3.
- (2) Urgency of the problem, such as significance and age of the records. Precedence shall be given to local government applicants with critical records problems, those with older records, and those with chronologically complete groupings of records;
- (3) Value and equity in the distribution of grants. The program shall include various types and sizes of local governments, and provide geographic distribution of grants;
- (4) Alignment of the proposed methods with accepted professional standards of records management and archival theories and practices;
- (5) Adequate security and protection of records. Local governments should house records in fire-resistant facilities, or state how the proposed project will safeguard the records in question. (See KRS 171.710 regarding the safeguarding of public records.)
- (6) Compliance with all legal requirements regarding custody and public access. This shall include complying with the requirements of the state's Open Records Law (KRS 61.870-876) and providing access to the public in an area with proper security and supervision;
- (7) Commitment by the local government to a comprehensive records management program. This shall include regular legal disposition of records in accordance with the records retention schedules covering the records of a local government agency, and may also include files control, segregation of inactive or noncurrent material from active files, selective microfilming (where appropriate), and training of records personnel in records management standards.
- (8) Ninety (90) percent of the grant funds shall be awarded to county clerks unless insufficient qualified applications are received.
- (9) Proposed project was not previously funded by LRPG.

Notification and Award Process

Projects may be fully-funded, partially-funded, or denied funding based on criteria set forth in KAR (725 KAR 1:050), these guidelines, and availability of funds.

Once grant awards are determined, applicants selected for funding will receive:

- Award Letter (Notice of Award)
- Grant Award Summary
- Contract

Grantees must sign, date, and return the contract to KDLA. Once the contract is returned to KDLA, LRPG funds will be requested and mailed to the grantee. The project may begin after the contract is fully executed and funds are received. No additional funds will be provided beyond those agreed to on the LRPG contract.

Applicants not selected for funding will be provided written notification. Appeals to LRPG award decisions are outlined in 725 KAR 1:050.

III. Post Award Activities

Grant Disbursements

Grant funds are disbursed via check and mailed to LRPG[recipients after the contract has been signed and submitted to KDLA. A separate account must be established for your LRPG Project. Under no circumstances should grant funds be mixed with other fund sources.

Quality Control Inspections

Quality control inspection prevents costly and time-consuming mistakes. The inspection of microfilm and/or digital images ensures that all records are legible and meet the standards set by KDLA. Rejected film and/or digital images must be refilmed/reshot and resubmitted until it passes quality control. Accepted copies of film will be designated as the security copy and will be stored in the KDLA Security Vault. Accepted copies of digital images will be securely stored on KDLA servers.

Grantees shall require microfilm vendors adhere to the *Microfilming and Digital Imaging of Public Records: A Procedural Guide*, which includes:

1. Coordination with RA to produce Title Targets
2. Filming records
3. Develop and inspect the masters
4. Send master copies to KDLA for quality control inspection
5. Upon passing quality control inspection master copies, and any digital images and indexes will be deposited with KDLA

If grantee follow-up is necessary to reimage unacceptable products, the new microfilm and/or digital images must be approved by KDLA Quality Control. Additional costs resulting from multiple quality control evaluations will be the responsibility of the grantee.

Vendor Payments

The Department for Libraries and Archives shall receive the security microfilm and copies of digital images and indexes upon completion of the project and before grantee renders payment to the vendor. See the *Microfilming and Digital Imaging of Public Records: A Procedural Guide* and the *Digital Image Transfer Policy*.

For projects that require submission and acceptance of microfilm, digital images, and/or indexes to KDLA, payment shall not be released until all deliverables have passed quality control. Once they have passed, a Funds Release notice will be provided to the grantee to authorize payment to microfilming, scanning, and digitization vendors. For all other projects or tasks, invoices may be paid at the discretion of the grantee.

Reminders:

- Payment by grantee to microfilming vendors may not be released until the microfilm has passed KDLA Quality Control and has been accepted by KDLA.
- Payment by grantee to digitizing or scanning vendors may not be released until the digital images and indexes have passed KDLA Quality Control and have been accepted by KDLA.

Reporting Requirements

The LRPG requires the completion of Project Status Reports to monitor project activities during the grant-reporting period. Only expenditures incurred within the inclusive dates of the awarded grant and in the approved budgeted line items may be claimed. Project Status Report forms will be sent to grant recipients electronically and are completed~~[every six months]~~ for the duration of the grant project. Reports are due on the dates listed in the Grant Award Summary, which all grantees receive after notice of award. Reports must include copies of all financial and programmatic records and supporting documents. Such documentation includes, but is not limited to, paid invoices, cancelled checks, deposit receipts, bank statements, and time and attendance records.

The last Project Status Report is considered the final report and should provide written confirmation of the completion of the project as well as proof that all LRPG funds are expended. On the rare occasion when unexpended funds remain after the completion of the project, the final report should note the remaining amount. If the amount is greater than \$25.00, the unexpended funds shall be remitted to KDLA and redeposited in the LRPG fund. The grant recipient shall retain amounts less than \$25.00 to use toward records management purposes and supplies.

If a project is completed before the scheduled end date, the final report can be submitted at that time.

The LRPG project is officially closed when all project activities are complete, payment is rendered to the vendor(s), the final Project Status Report is submitted and approved, and the grant recipient receives a closeout letter from KDLA.

IV. Additional Details

Accounting and Auditing Requirements

All LRPB documentation should be retained per the appropriate retention schedules. LRPB recipients must comply with the audit requirements set forth by the Commonwealth of Kentucky. If any litigation, claim, or audit begins, the records must be retained until such proceeding is resolved. Should any adverse finding occur, a copy of the audit, finding, and a report on final resolution must be forwarded to the Local Records Branch.

Project Modifications

Grantees must submit in writing to the Local Records Branch Manager any requests for LRPB project changes that alter the scope of the project, the line-item budget, or project activities before any changes are made. Changes are not allowable until the grantee receives written approval from KDLA.

If a project is not expected to be completed within the specified timeframe, a contract amendment may be requested. This process is initiated by submitting a written request to the Local Records Branch Manager explaining the delay and requesting an extension. The Agency's Regional Administrator will complete an assessment of whether an extension is of merit and present their findings to the Local Records Branch and KDLA Commissioner or their designee. If approved, a contract amendment defining the new terms of the grant is forwarded to the grantee for signature.

Withdrawal of Awarded Grant Funds

LRPB recipients can voluntarily withdraw from the project with thirty (30) days written notice to KDLA. After giving reasonable notification of unsatisfactory performance of conditions of the project and allowing thirty (30) days for the vendor to achieve compliance, KDLA has the right to terminate and cancel the LRPB contract. Such cancellation will be by written notice served on the grantee by certified or registered mail with return receipt requested. However, failure to complete a project due to early withdrawal may require return of funds advanced under the contract or return all unobligated/unexpended grant funds.

Glossary

Advisory Group

A body appointed by the State Libraries, Archives, and Records Commission to serve as assigned on behalf of SLARC.

Appraisal

Process of determining the value and then the disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; their arrangement; and their relationship to other records.

Backfile Conversion

The process of scanning, indexing, and storing a large backlog of documents on an imaging system.

Codification

The systematic arrangement and organization of laws (ordinances and resolutions).

Confidential Information

Information or data exempted from public disclosure under Kentucky's Open Records Act (KRS 61.878), and other state and federal statutes and regulations with specific restrictions. Local government agencies have 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.

Conservation

Refers specifically to the physical treatment of individual damaged items. The repair or stabilization of materials through chemical or physical treatment to ensure that they survive in their original form as long as possible. Conservation counters existing damage, as distinguished from preservation, which attempts to prevent damage. Conservation does not always eliminate evidence of damage; restoration includes techniques to return materials to their original appearances (which may include fabrication of missing pieces). [Society of American Archivists]

Custody

The guardianship of records and manuscripts which may include both physical possession (protective responsibility) and legal title (legal responsibility) [Glossary of Terms (utah.gov)]

Digitize/Digitization

Creating a digital image that can be manipulated. For local records and preservation, digitizing allows images to be manipulated and indexed. Often used interchangeably with scanning (see below).

Disposition

Refers to what is done with records when those records are no longer needed for current business.

Digital Index

Metadata (similar to keywords) located within digital images that allows for searching and manipulation.

Electronic Record

"A record created, generated, sent, communicated, received, or stored by electronic means." [KRS 369.102]. Any information recorded in a form that only a computer or other electronic device can process and that satisfies a state or jurisdiction's definition of a record.

Format

How a record is kept, often called "medium." Records exist in many formats and can include paper, microfilm, email, photographs, microforms, photographs, audio and video recordings, and electronic records, etc. [ARMA]

Link and Marry

The act of establishing a connection between one or more items within an agency's data system.

Medium

A general term referring to the material (e.g., paper disk, tape) on which business information has been recorded and may subsequently be used for business purposes.

Microfilm

Reliable, long-term, standardized image format. Transparent film containing highly reduced copies of documents. May also refer to the high-resolution, low-grain film used to make such copies. Microfilm may be created in rolls, sheets (microfiche), strips (usually in jackets), or chips (usually in aperture cards). Standard widths of roll film include 35 mm and 16 mm. Microfilm may use gelatin silver, diazo, or vesicular processes to form the images. [SAA]

Permanent Record

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.

Preservation

The activity that reduces or prevents damage to extend the life expectancy of collections through practical management. Protecting materials by minimizing chemical and physical deterioration and damage to minimize the loss of information and to extend the life of cultural property. The act of keeping from harm, injury, decay, or destruction, especially through noninvasive treatment. [SAA]

Public Record

"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.” (KRS 171.410 (1). Public records are recorded information that is created or received by a state or local government agency in any format, which documents a transaction or activity by or with any public official or employee of that agency.

Public Agency

“Every state or local office, state department, division, bureau, board, commission, and authority; every legislative board, commission, committee and officer; every county and city governing body, council, school district board, special district board, municipal corporation, and any board, department, commission, committee, subcommittee, ad hoc committee, council or agency thereof; and any other body which is created by state or local authority and which derives at least twenty-five percent (25%) of its funds from a state or local authority.” [KRS 171.410]

Regional Administrator (RA)

Administrator of the local records program to local governments within a given region of the state, performing complex professional, administrative and consultative work.

Records Destruction Certificate

Used by records officers to document the destruction of public records. The Records Destruction Certificate is provided by KDLA.

Records Inventory

List identifying the location, name, and description of each records series, held by a state or local government agency. A completed inventory provides information essential to preparing a records retention schedule, with appropriate retention and disposition instructions, for records created and maintained by a state or local government agency.

Records Management

The administrative and managerial activities related to managing records throughout their life cycle—from creation to their final stage of disposition, in which they are either destroyed or permanently preserved. May also refer to the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. [ARMA]

Records Management Program

An effective program usually includes the following elements: obtaining strong policy and financial support from the governing or supervisory authority; developing policies and procedures for managing records and information; putting in place filing and indexing systems and tools; conducting an inventory of records; establishing and following records retention schedules; identifying and using technology appropriately to create, store, and retrieve materials; storing inactive records in a cost-effective and secure manner; destroying obsolete records in a timely and systematic manner and documenting their destruction; and identifying and preserving essential records. [CoSA]

Records Officer

Person designated by the agency to serve as the official liaison with KDLA on records management issues and to coordinate records management within the agency. [725 KAR 1:010]

Records Retention Schedule

The documents governing the retention and disposition of records series of a state or local public agency, and lists each record type, termed a “record series,” and each electronic records system created by a public agency. The documents that authorize the period of time that records are kept before they are destroyed or kept permanently. Records retention schedules are also sometimes used to identify essential records and to plan for their protection in an emergency. Most government agencies, from the federal level to the local level and the territorial and tribal levels, have mandated records retention and management requirements, governed by laws, rules, and regulations. Typically, there are two types of records retention schedules: General Records Retention Schedules, which cover commonly occurring cross-agency records, and Agency-Specific Records Retention Schedules, which list program records unique to a particular agency.

Records Series or Series Number

A group of related records that are filed and/or used together as a unit and therefore are evaluated as a unit for retention purposes, e.g., a personnel file consisting of an application, reference letters, benefit forms, etc. [ARMA]

Retention Period

Minimum length of time a record is to be maintained in an accessible format for administrative, legal, fiscal, historical, or other purposes.

Scanning

Creation of digital image from physical record (paper, photograph, etc.). Often used interchangeably with digitize (see above).

Section

An area in the grant application to list the plan of work or specific project activities.

Record Series

A document or a set of documents maintained together because they relate to a particular subject or function, resulting from the same activity, taking the same form, or because of some other relationship arising out of their creation, receipt, or use.

Vital Record

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.

Upload

The act of or process of transferring data into an agency’s data system.

Appendix

Applicants are encouraged to visit the KDLA website for any updated information concerning the grant program prior to submitting their applications.

Online Resources

Local Records Program Grants

[Local Records Program Grants Kentucky Department for Libraries and Archives](#)

Local Government Records Retention Schedules

[Local Government Records Schedules Kentucky Department for Libraries and Archives](#)

Microfilming and Digital Imaging of Public Records: A Procedural Guide

<https://kdla.ky.gov/records/recmgmtguidance/Documents/MicrofilmingandDigitalImagingofPublicRecords-012616.pdf>

Policy Memorandum PM 2010-01: Storage of Public Records as Scanned Images

https://kdla.ky.gov/records/Documents/PM2010-01_November%202021.pdf

Ensuring Long-term Accessibility and Usability of Textual Records Stored as Digital Images: Guidelines for State and Local Government Officials

https://kdla.ky.gov/records/Documents/Imaging%20Guidelines_November%202021.pdf

Transfer of Public Records: A Procedural Guide

<https://kdla.ky.gov/records/Documents/Records%20Transfer%20Procedures,January,%202010.PDF>

Digital Image Transfer Policy

[Digital Image Transfer Policy.pdf \(ky.gov\)](#)

Records Retention Scheduling: A Procedural Guide

https://kdla.ky.gov/records/Documents/Retention_Scheduling_Guidelines-March-2016.pdf

Destruction of Public Records: A Procedural Guide

<https://kdla.ky.gov/records/Documents/Destruction%20Guidelines.PDF>

KDLA Certified Micrographics Vendors List

[Certified Micrographics Vendors.pdf \(ky.gov\)](#)

Policy Memorandum on Approved Codification Services Vendors and Codification Grant Applicants/Recipients (PM 2021-01).

<https://kdla.ky.gov/records/recmgmtservices/Documents/PM%202021-01%20Codification%20Steps.pdf>

Grant Forms

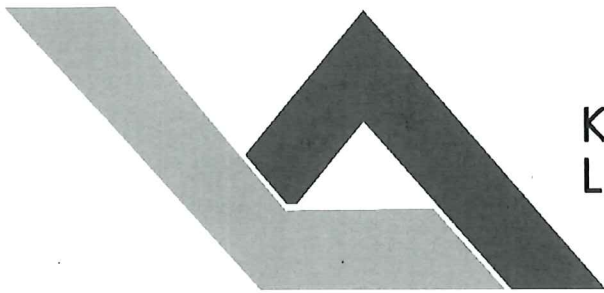
Local Records Program Grants forms are available on the KDLA website:

<https://kdla.ky.gov/records/recmgmtservices/Pages/LocalRecordsProgramGrants.aspx>.

Sample Applicant Timeline:

1. Develop project and create itemized specifications (consult RAs)
2. Follow local procurement requirements to obtain/select bids/quotes
3. Complete Local Records Program Grant Application
4. Submit application package

Additional information regarding records management for Local Government Agencies is available from the Local Records Branch at Kentucky Department for Libraries and Archives: www.kdla.ky.gov.



Kentucky Department for
Libraries and Archives

**[~~Kentucky Department for Libraries and Archives~~]
Local Records Program
Grant Guidelines**

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Contact Information

If you are a local government agency and are considering applying for a grant, please contact your Regional Administrator (RA). If you are unsure in which region your agency is located, consult the Kentucky Department for Libraries and Archives (KDLA) website.

[For general information about the Local Records Program or the grant process, please contact the Local Records Branch at 502-564-1745 or Nicole.Bryan@ky.gov. If you are a local government agency and are considering applying for a grant, please contact your Regional Administrator. If you are unsure in which region your agency is located, consult the chart below.]

I. Introduction

Program Overview

The Kentucky Local Records Grant Program (LRPG) was created in 1984. Since that time, it has provided millions of dollars to local governments to support preservation of local records. This has been done primarily through grants for security microfilming, digitization, preservation, salary grants, and shelving and equipment purchases. Funding for the grant program is derived from a \$1.00 fee collected by county clerks on legal processes and instruments.^[7] In accordance with KRS 142.010(5), ninety percent (90%) of all funds allocated to the Department for Libraries and Archives for the Local Records Program Grant shall be set aside for grants to county clerks and distributed annually. If there are insufficient grant applications from county clerks, the Department for Libraries and Archives may grant those funds to other agencies.[KRS 142.010 (5)]

The Commissioner of KDLA distributes the [the Department for Libraries and Archives awards] grants after receiving notice of awards[recommendations] from the State Libraries, Archives, and Records Commission per 725 KAR 1:050. Official award status occurs with the notification of award and the receipt of the fully executed contract[signing of a contract by the grant recipient] by KDLA. The LRPG[grant program] operates within the state fiscal year, July 1 through June 30. General information about the grant program and the grant application are available on the KDLA website[here: [Local Records Program Grants Kentucky Department for Libraries and Archives](#)].

Regional Administrator (RA) Assistance

Regional Administrators are available to consult with applicants for project specification(s)[specification and Invitation to Bid Proposal Attachment development]. RAs are able to answer questions about the grant application but are not permitted to write applications on behalf of the applicant. Applicants are encouraged to discuss their LRPG project with their RA before submitting their application to ensure compliance with the regulation.[Please retain a copy of these instructions, as they will be useful in answering many of the questions you may encounter as the process advances.]

Eligible Applicants and Projects

725 KAR 1:050(1) ~~states~~~~[maintains that]~~“Any local government office interested in improving the management and preservation of its public records” is eligible to apply for a LRPG ~~[grant]~~. Successful applications will clearly demonstrate how LRPG~~[the grant]~~ funds will be used to ~~[ensure the maintenance and security of records deemed appropriate for ; and]~~used to promote the effective and economical use of space, equipment and supplies needed for the purpose of creating, maintaining, and servicing records]improve the management and preservation of local public records in accordance with 725 KAR 1:050(3) and (6). These activities ~~[are defined in state regulations as “any project which seeks to improve the management and preservation of local public records,” including but are not limited to]~~include:

- (1) Security microfilming permanent, vital, and/or archival records. Security microfilm created with Local Records Program Grant (LRPG) funds must adhere to standards and procedures and be done through a certified micrographics laboratory or vendor as defined in the *Microfilming and Digital Imaging of Public Records: A Procedural Guide*. A list of currently certified laboratories may be obtained from the department's web site;
- (2) Creating digital counterparts and/or digital indexes of born-analog permanent, vital, and/or archival records. Digital images or indexes created with LRPG funds must adhere to standards and procedures described in *Microfilming and Digital Imaging of Public Records: A Procedural Guide*;
- (3) Records preservation, conservation, or restoration projects for at risk or affected permanent, vital, and/or archival records. These projects should adhere to current archival best practice and standards. These projects can include, but are not limited to, services to preserve at-risk records or mitigation of existing damage;
- (4) Purchasing supplies and equipment that promote preservation, conservation, or restoration of permanent, vital, and/or archival records, including but not limited to, archival quality boxes and folders, shelving, cabinets, and microfilm reader/scanners;
- (5) Establishing a local government records management program or archives. This may include salary for hiring new staff. These funds are not designed for ongoing support, and they cannot be used to replace salary funds already being expended by a local government. Salary support can only be used for compensation of wages up to 40 hours per week, and cannot be used for overtime, taxes, or any other fringe benefits;
- (6) Arranging and describing permanent, vital, and/or archival records, according to generally accepted professional standards of records management and archival theory and practice;
- (7) Codification of ordinances, orders, resolutions, motions, etc. for cities and counties. Codification projects will adhere to *Policy Memorandum on Approved Codification Services Vendors and Codification Grant Applicants/Recipients* (PM 2021-01).

- (8) Limited records management for records with less than permanent retention(s) to assist in maintaining usability and accessibility for the entirety of the defined retention period(s). Records management tasks for these records may include purchase of storage, projects to provide for long-term storage, or access of records with multiple retentions. These projects should have clearly defined, specific, and time-limited parameters and be recognizable as part of established records management policies, procedures, and goals for the local agency. These funds shall not be used for ongoing records management support.

Other Eligibility Requirements

- Previous LRPG recipients with open LRPGs are not eligible to apply for additional LRPG funds or projects until all prior LRPGs are finalized and KDLA has issued the closeout letter.
- Local officials are eligible to apply for one (1) LRPG per grant cycle.
- Security Microfilming Record Cut-off Date:
To allow for the uniform preservation of permanent records, the security microfilming of permanent records adheres to a rolling ten (10) year cut-off date.

Examples:

- Calendar year 2011 and older records are eligible to be security microfilmed in FY23 grant cycles.
- Calendar year 2012 and older records are eligible to be security microfilmed in FY24 grant cycles.

For specific records questions, please contact your Regional Administrator.

~~[(1) Security microfilming vital records (critical for the functioning of the office) or historically significant records following the standards and procedures in the *Microfilming and Digital Imaging of Public Records: A Procedural Guide*. Security microfilming carried out with local records grant funds must be done through a micrographics laboratory or vendor as defined in the *Microfilming and Digital Imaging of Public Records: A Procedural Guide* and officially recognized by the State Libraries, Archives, and Records Commission. A list of currently certified laboratories may be obtained from the department and is available here: [Certified Micrographics Vendors.pdf \(ky.gov\)](#).~~

~~(2) Rerecording projects, for rerecording damaged records or records originally recorded with a nonpermanent process and now losing their image, using archivally acceptable methods of recording on paper or microfilm.~~

~~(3) Document preservation projects, to carry out preservation or conservation measures on endangered records of historical significance.~~

~~(4) Purchasing document conservation supplies.~~

~~(5) Establishing a local government records management program or archives. This may include hiring or partially subsidizing the salary of a qualified archivist who will work with department personnel in initiating a specific, time-limited project according to department standards. Requests for salary support shall be evaluated based on 725 KAR 1:050. These funds are not designed for ongoing support, and they shall not be used to replace salary funds already being expended by the local government. They may be used as short-term salary supplements.~~

~~(6) Arranging and describing archival holdings, according to generally accepted professional standards of records management and archival theory and practice.~~

~~(7) Purchasing supplies and equipment that promote preservation of or access to archival materials, including acid-free boxes and folders, shelving, cabinets, and equipment to read microfilm.~~

~~(8) Codification of ordinances for cities and counties. Funds shall be available for production of initial codes but not for code supplements.~~

- ~~• Note: Grant applicants with open Local Records Program grants are not eligible to apply for additional grant funds or projects until all prior grants are officially closed.~~

- ~~• Note: Grant applicants are eligible to apply for one (1) Local Records Program Grant per grant cycle.~~

- ~~• Note: Grant applicants that have previously received Local Records grant funds for Codification may apply for a second codification grant, but not for the same codes.~~

- ~~• Security Microfilming Record Cut-off Date:~~

~~To allow for the uniform preservation of permanent records, the security microfilming of permanent records shall adhere to a rolling ten (10) year cut-off date.~~

~~Examples:~~

- ~~○ Calendar year 2011 and older records are eligible to be security microfilmed in FY23 grant cycles.~~

- ~~○ Calendar year 2012 and older records are eligible to be security microfilmed in FY24 grant cycles.~~

~~For specific records questions, please contact your Regional Administrator.]~~

Project Costs Considerations~~[Eligible Project Costs]~~

Equipment eligible for funding should meet archival standards. This may include, but is not limited to, ~~[includes]~~ microfilm reader/printers or reader/scanners, hanging-file storage, microform storage cabinets, map/plat cabinets, file cabinets, and climate control and monitoring equipment.~~[portable air conditioning units and humidity control items.]~~

~~[Wood or plastic shelving are not eligible for funding. Due to the variety of shelving options on the market, it is important to check with your Regional Administrator to ensure that the shelving you have selected meets archival and grant program standards.]~~

Capital improvements, such as ground-up construction or additions to existing buildings, are not eligible project costs.

Fees for records destruction are not eligible project costs.

Upload and Link/Marry tasks are not eligible projects costs.

II. The Grant Process

All applications shall be submitted via KDLA's online application portal that~~[on current Local Records Program Grants Application forms and]~~ includes a detailed project description, plan of work, and budget request. Any~~[Entries on the application form and any required]~~ supporting documents should be~~[shall be typed and]~~ completed as fully as possible with additional sheets attached if necessary. In signing the application and in accepting the LRPB award, applicants agree, in carrying out their projects, to abide by the criteria established in 725 KAR 1:050 and this guide.

Helpful Hints:

- Understand the responsibilities of all individuals involved in the grant project.
- Develop a realistic estimate of the funds, staffing, and time needed to undertake and complete the project during the grant period.
- Break the project into separate itemized sections to allow vendors to bid on each individual section.
- List the Series number for all security microfilming, scanning, and digitization project records. This information may be found in the Local Government Records Retention Schedules available on the KDLA website.~~[Local Government Records Schedules Kentucky Department for Libraries and Archives.]~~
- For shelving grants, determine the per-unit cost, the number of units desired, and the total cost. Include any shipping and/or installation costs.

~~[Local Records Program Grants Kentucky Department for Libraries and Archives.]~~

[Invitation for Bid Proposal and Invitation for Bid Proposal Attachment] Requirements

All LRPB applicants shall follow their locally adopted procurement requirements and procedures and shall be required to attest to such compliance. The Project Specifications Form shall include a description of vendor services to be provided and/or work to be completed during the proposed project. Applicants are required to submit winning quote(s) or bid(s) in their entirety to KDLA with the grant application.

The Project Specification Form is available on the KDLA website. Applicants must list the record series title(s), inclusive date(s), retention series number(s), and volume of the record(s) selected for the project on the Project Specification Form.

Vendors making proposals on security microfilming and scanning/digitizing projects must conduct an onsite visit and provide an approximate cost based on the estimated number of pages and/or images and condition of the records. These vendors are required to follow KDLA policies and procedures as outlined in *Microfilming and Digital Imaging of Public Records: A Procedural Guide*, which is available on the KDLA website.

Vendors making proposals on preservation or conservation projects must conduct an onsite visit to survey any chemical or physical deterioration, or damage to the records in order to provide an approximate cost to repair or extend the life of the record(s).

Applicants shall document the vendor site visit date in the vendor proposal.
Applications that do not include the Project Specification Form are ineligible for funding.

Salary grants are required to be completed within the fiscal year awarded. Salary grants are only awarded in the first Cycle (or Cycle 1).

Salary funds may not be combined with other funding requests within the LRP application.

Salary grant applications require a Project Specification Form.

Salary grants have a grant-reporting period of fifty (50) weeks at a minimum pay rate of \$15.00 per hour.

For equipment grants, maintenance/service agreements may be included as part of the initial purchase. LRP applications may fund two (2) year maintenance/service agreements, the equivalent of the eighteen (18) month grant reporting period. Once the expiration of the original maintenance/service agreement has occurred, it is the sole responsibility of the applicant to maintain and/or upgrade equipment purchased with LRP funds.

Pre-award activities are not eligible project costs.

Vendors should include the cost of the transfer of digital images and indexes to KDLA in their bid responses and the cost shall not exceed \$250.

Grant funds must be deposited into a separate account. Funds cannot be co-mingled with other funds.

Agencies will be required to provide proof that funds were deposited into a separate account. If an agency is unable to deposit funds into a separate account, they will be asked to return the funds to KDLA. If an agency fails to deposit funds into a separate account, they will be asked to transfer funds

into a separate account and provide proof of transfer, if they are unable to do so, the agency will be asked to return the funds to KDLA.

Bid proposals for micrographics services will only be considered from offerors whose laboratories are certified by KDLA.

Work must be performed in accordance with KDLA's applicable policies and regulations as stated in 725 KAR 1:050. Microfilm produced with grant funds must be tested and approved by the Department before authorization for payment will be given.

Roll microfilm used in this project must be polyester based.

Micrographics services offerors must indicate the roll length that will be used and provide an estimated roll count for each line item that is accurate to within one roll. Copies of digital images accompanied by the corresponding index(es) must be supplied to KDLA upon completion of the project and must pass quality control inspection before payment is rendered.

Grant funds may be expended for initial quality control costs. Costs accrued from additional quality control services will be the sole responsibility of the offeror.

Clarification of terms, descriptions, conditions, or specifications for equipment/supplies is the sole responsibility of the offeror.

Codification bids should follow the steps outlined in KDLA's *Codification Steps Policy for Cities* memorandum, dated October 15, 2021.

Submitted bid proposals/quotes must include separate, itemized price quotes for each line item of the proposed project, or section for which the offeror is making a proposal, and a total cost of all sections bid on/quoted.

Offerors must provide services or materials within the term of the grant. Selection of a bid proposal is contingent upon the award of the Local Records Program grant and subsequent availability of state funds.

Grant recipients shall execute a contract with KDLA.

~~[All Local Records Grants applicants must comply with state and local procurement requirements to obtain bids as part of the grants process. Project costs are necessary to complete the grant application and to provide a basis for the grant budget. As a result, formal bids are required. Applicants must~~

submit a minimum of three (3) eligible bid responses for each itemized Section within the application from a responsible bidder or offeror, as defined by statute. The Invitation for Bid Proposal Attachment shall include a description of vendor services to be provided and/or work to be completed during the proposed project.

Pursuant to ~~KRS 45A.070 (6) of the Kentucky Model Procurement Code~~, “responsible bidder or offeror” means “a person who has the capability in all respects to perform fully the contract requirements, and the integrity and reliability which will assure good faith performance.”

Competitive Sealed Bidding and Soliciting Bids

~~In conformance with KRS 45A.080 (3), the Invitation for Bid must be advertised. A copy of this advertisement must be submitted to KDLA with the grant application. KRS 45A.080 (3) stipulates that responsible bidders shall be given adequate public notice of the invitation for bids. The notice may be posted on the Internet or publication in the newspaper or newspapers of general circulation in the state as determined by the Secretary of the Finance and Administration Cabinet not less than seven (7) days before the date set for opening of the bids. All bid responses, in their entirety, received by your office must be submitted to KDLA with the grant application.~~

~~KRS 45A.070 (4) Invitation for Bids means all documents, whether attached or incorporated by reference, utilized for soliciting bids in accordance with the procedures set forth in KRS 45A.080 of the Kentucky Model Procurement code. The Invitation for Bid Proposal is available on the KDLA website: Local Records Program Grants Kentucky Department for Libraries and Archives. A bid proposal attachment is required and must be itemized by Section and include a detailed written description of the project that describes the type of work to be completed, as well as any equipment specifications. Be sure to list the record series title(s), inclusive date(s), retention series number(s), and volume of the record(s) selected for the project.~~

~~Vendors bidding on security microfilming and scanning/digitizing projects must conduct an onsite visit and provide an approximate cost based on the estimated number of pages and/or images and condition of the records. These vendors are required to follow Kentucky Department for Libraries and Archives policies and procedures as outlined in *Microfilming and Digital Imaging of Public Records: A Procedural Guide*, which is available on the KDLA website:~~

~~<https://kdl.ky.gov/records/recmgmtguidance/Documents/MicrofilmingandDigitalImagingofPublicRecords-012616.pdf>. For security microfilming projects, the Invitation for Bid Proposal may only be distributed to KDLA certified micrographics laboratories. A list of certified laboratories is available on the KDLA website: Certified Micrographics Vendors.pdf (ky.gov).~~

~~Vendors bidding on preservation or conservation projects must conduct an onsite visit to survey any chemical or physical deterioration, or damage to the records in order to provide an approximate cost to repair or extend the life of the record(s).~~

~~Because of the limited number of vendors available for some projects, solicitation of bids is allowed. Solicitation is acceptable as long as three (3) qualified bidders reply. Eligible vendors may reply with~~

a bid, or with a "no bid" letter and the reason for the "no bid." Written documentation of bid solicitation may be accepted if the documentation shows date of vendor contact, name of vendor and vendor contact, and a copy of all vendor communication regarding the project.

Helpful Hints:

- ~~Applications that do not include the Request for Proposal Requirements and Project Specification Form [Invitation for Bid Proposal and Invitation for Bid Proposal Attachment] are ineligible for funding.~~
- ~~Bid proposals/quotes should not be signed because funding is not guaranteed. [Applications that contain contractually signed (applicant/vendor) bid proposals are ineligible for funding]~~
- ~~Salary grants are required to be completed within the fiscal year awarded. [Salary grants are only awarded in the first Cycle (or Cycle 1)]~~
- ~~Salary funds may not be combined with other funding requests within the LRP application.~~
- ~~Salary grant applications do not require a completed Request for Proposal Requirements but do require a Project Specifications Form. [Invitation for Bid Proposal or Invitation for Bid Proposal Attachment]~~
- ~~The vendor site visit date must be included in the vendor proposal.~~
- ~~[Bid responses must be itemized by Section]~~
- ~~Pre-award activities are not eligible project costs. [If the vendor charges for time spent evaluating the project, the activity is considered a pre-award expenditure and is an ineligible project cost]~~
- ~~Per diem/travel expenses are not eligible project costs]~~
- ~~Vendors should include the cost of the transfer of digital images and indexes to KDLA in their bid responses and the cost shall not exceed \$500.]~~

Completing the Application

All applications shall be submitted via KDLA's online application portal. Applicants should supply information detailing the project summary and plan of work. Relevant supplemental information or materials may be added to support your proposal. These may include sample forms, letters of support, photographs, and/or descriptions of items or services that are part of the project and have not been noted or illustrated elsewhere in the application.

~~{Once all bid responses are received, the lowest bid vendor(s) information and bid total(s) shall be included in the applicable Sections within the application. The application is available on the KDLA website: Local Records Program Grants Kentucky Department for Libraries and Archives. Applicants should supply information detailing a plan of work, goals, and outcomes. Relevant supplemental information or materials may be added to support your proposal. These may include sample forms, letters of support, photographs, and/or descriptions of items or services that are part of the project and have not been noted or illustrated elsewhere in the application. When completing the application:~~

- ~~For salary LRPGs, show the estimated work hours and pay rate for grant-funded individual(s). Salary grants have a grant-reporting period of fifty (50) weeks at a minimum pay rate of \$15.00 per hour.~~

- ~~For equipment grants, maintenance/service agreements may be included as part of the initial purchase. LRPGs may fund two (2) year maintenance/service agreements, the equivalent of the eighteen (18) month grant reporting period. Once the expiration of the original maintenance/service agreement has occurred, it is the sole responsibility of the applicant to maintain and/or upgrade equipment purchased with LRPG funds.]~~

Materials to be submitted with online application include:

- 1) Project Specifications Form
- 2) Vendor quote and/or Bid
- 3) Supporting documentation as needed

[To Do's:

- ~~Contact RA to review project specifications (Invitation for Bid Proposal Attachment)~~
- ~~Advertise~~
- ~~Complete all application questions~~
- ~~Confirm who can sign the application and make sure it is signed~~
- ~~Double check that all application materials are included~~
- **Applications shall be submitted in this order:**
 - 1) ~~Local Records Program Grants Application~~
 - 2) ~~Invitation for Bid Proposal~~
 - 3) ~~Invitation for Bid Proposal Attachment~~
 - 4) ~~Advertisement~~
 - 5) ~~Bids (alphabetical order by vendor name)~~
 - 6) ~~Supporting documentation]~~

Application Review

Applications will be accepted on a rolling basis, and grants will be awarded in accordance with the following schedule.

Cycle 1: Applications received between January 1 and March 15 will be presented for funding at the June Commission meeting. Funding decisions made in this cycle will be issued in July.

Cycle 2: Applications received between March 16 and June 15 will be presented for funding at the September Commission meeting. Funding decisions made in this cycle will be issued in October.

Cycle 3: Applications received between June 16 and September 15 will be presented for funding at the December Commission meeting. Funding decisions made in this cycle will be issued in January.

Cycle 4: Applications received between September 16 and December 31 will be presented for funding at the March Commission meeting. Funding decisions made in this cycle will be issued in April.

After ~~each[the]~~ application deadline, an administrative review is conducted on all applications by KDLA staff to confirm the application meets all legal requirements set forth in 725 KAR 1:050 and these Guidelines. ~~[This review checks the application for completeness (signatures, current forms, number of bids, procurement infractions, etc.)]~~ In the two-week period after the application deadline, KDLA staff may contact the applicant for additional information. ~~KDLA staff~~[After administrative review, Regional Administrators] complete a review for eligible projects to assess how closely the project meets the criteria defined in 725 KAR 1:050. All applications meeting the legal requirements ~~[Applications that pass the initial review]~~ are forwarded to an Advisory Group of the State Libraries, Archives, and Records Commission~~[the Local Records Grant Review Committee]~~ for final review and funding recommendation to the State Libraries, Archives, and Records Commission. The State Libraries, Archives, and Records Commission meets quarterly and~~[is the final]~~ has sole legal authority ~~[and makes]~~to make the grant awards.

As set forth in 725 KAR 1:050(5), grant award selection criteria are as follows:

- (1) Category for funding fits within the scope of projects outlined in 725 KAR 1:050(3).
- (2) Urgency of the problem, such as significance and age of the records. Precedence shall be given to local government applicants with critical records problems, those with older records, and those with chronologically complete groupings of records;
- (3) Value and equity in the distribution of grants. The program shall include various types and sizes of local governments, and provide geographic distribution of grants;
- (4) Alignment of the proposed methods with accepted professional standards of records management and archival theories and practices;
- (5) Adequate security and protection of records. Local governments should house records in fire-resistant facilities, or state how the proposed project will safeguard the records in question. (See KRS 171.710 regarding the safeguarding of public records.)
- (6) Compliance with all legal requirements regarding custody and public access. This shall include complying with the requirements of the state's Open Records Law (KRS 61.870-876) and providing access to the public in an area with proper security and supervision;
- (7) Commitment by the local government to a comprehensive records management program. This shall include regular legal disposition of records in accordance with the records retention schedules covering the records of a local government agency, and may also include files control, segregation of inactive or noncurrent material from active files, selective microfilming (where appropriate), and training of records personnel in records management standards.
- (8) Ninety (90) percent of the grant funds shall be awarded to county clerks unless insufficient qualified applications are received.
- (9) Proposed project was not previously funded by LRPG.

~~[The criteria are:~~

- ~~(1) Urgency of the problem, such as significance and age of the records. The Commission and other groups shall consider first local government applicants with critical records problems and to those with older records and with chronologically complete groupings of records.~~

~~(2) Value as a model and type for size and geographical location of the local government. The program shall promote equity in the geographic distribution of grant projects. The program shall include projects in various types and sizes of local governments, with a major goal is to provide model projects in all areas of the state.~~

~~(3) Soundness of the proposed methods. The methods of handling the records shall conform to generally accepted professional standards of records management and archival theory and practice.~~

~~(4) Commitment of local government resources to the project and commitment to maintain the program for the lasting benefit of a specific project. The Commission and other evaluation groups shall give preference to local governments that commit some local resources to the proposed projects. Support may include provisions for maintaining the accuracy and currency of a grant funded code of ordinances with annual supplements, take the form of adequate office, storage, or working space, designating a person or persons for maintaining and adding to a local archives, supplies, equipment, or a monetary contribution, or adhering to standards for archival microfilming. Evidence of previous concern or commitment of support to improved local records management and preservation shall also be important factors in the reviewers' evaluation.~~

~~(5) Adequate security and protection of records. Local governments should house records in fire resistant facilities, or state how the proposed project will safeguard the records in question. (See KRS 171.710 regarding the safeguarding of public records.)~~

~~(6) Compliance with all legal requirements regarding custody and public access. This shall include complying with the requirements of the state's Open Records Law (KRS 61.870-876) and providing access to the public in an area with proper security and supervision.~~

~~(7) Commitment by the local government to a comprehensive records management program. This shall include regular legal disposition of records in accordance with the records retention schedules covering the records of a local government agency, and may also include files control, segregation of inactive or noncurrent material from active files, selective microfilming (where appropriate), and training of records personnel in records management techniques.]~~

Notification and Award Process

Projects may be fully-funded, partially-funded, or denied funding based on criteria set forth in KAR 725 KAR 1:050, these guidelines, and availability of funds.

Once grant awards are determined, applicants selected for funding will receive:

- Award Letter (Notice of Award)
- Grant Award Summary
- Contract

~~[Both the Vendor Obligation Statement and the Vendor Notification Letter shall be sent to vendor(s) explaining that their bid was selected. These documents are available on the KDLA website: Local~~

~~Records Program Grants Kentucky Department for Libraries and Archives]. Grantees [You] must sign, date, and return the contract to KDLA. Once the contract is returned to KDLA[with the Vendor Notification Letter(s) and signed Vendor Obligation Statement(s), LRPB[grant] funds will be requested and mailed to the grantee. The project may begin after the contract is fully executed and funds are received. No additional funds will be provided beyond those agreed to on the LRPB contract. [Grant funds may not be used for expenditures incurred prior to the official start of the grant period or incurred after the conclusion of the grant period.~~

~~Exception: Grantees with salary grants may incur payroll expenses prior to receipt of LRPB funds.]~~

Applicants not selected for funding will be provided written notification. Appeals to LRPB award decisions are outlined in 725 KAR 1:050.

~~[Applicants not selected for funding will be notified by letter. Grant award decisions are final; however, denied applicants may appeal. A formal letter of appeal shall be forwarded to the KDLA Commissioner within three (3) working days of receipt of notice of award. The KDLA Commissioner shall render a decision within two (2) working days of receipt of letter of appeal.]~~

III. Post Award Activities

~~[KDLA will prepare a media release for Local Records Program Grants project awards that may be shared with local area media outlets.~~

~~Grantees should begin organizing their records for the project and note their location. A Regional Administrator must review the records for proper preparation, which includes the creation of Title Targets for security microfilming and digitization projects. Please see the *Microfilming and Digital Imaging of Public Records: A Procedural Guide*.]~~

Grant Disbursements

Grant funds are disbursed via check and mailed to LRPB[grant] recipients after the contract has been signed and submitted to KDLA~~[along with the completed Vendor Notification Letter(s) and Vendor Obligation Statement(s)]~~. A separate~~[grant (bank)]~~ account must be established for your LRPB[Local Records Grant Program] Project. Under no circumstances should grant funds be mixed ~~[co-mingled]~~ with other fund sources.

Quality Control Inspections ~~[Working with Certified Microfilm Vendors]~~

Quality control inspection prevents costly and time-consuming mistakes. The inspection of microfilm and/or digital images ensures that all records are legible and meet the standards set by KDLA[the Department]. Rejected film and/or digital images must be refilmed/reshot and resubmitted until it passes quality control. Accepted copies of~~[silver]~~ film will be designated as the security[official] copy and will be stored in the KDLA Security Vault. Accepted copies of digital images will be securely stored on KDLA servers.~~[Rejected silver film must be reshot and resubmitted until it passes Quality Control.]~~

Grantees shall require microfilm vendors to adhere to the *Microfilming and Digital Imaging of Public Records: A Procedural Guide*, which includes:

1. Coordination with RA to produce Title Targets
2. Filming records
3. Develop and inspect the masters
4. Send master copies to KDLA for quality control inspection
5. Upon passing quality control inspection master copies, and any digital images and indexes will be deposited with KDLA

~~[Vendors should:~~

- ~~I. submit a test roll of microfilm to KDLA for quality control inspection~~
- ~~II. film remaining records~~
- ~~III. develop and inspect the silver masters~~
- ~~IV. send silver master copies to KDLA for quality control inspection~~
- ~~V. deposit silver master copies, and any digital images and indexes with KDLA]~~

If grantee~~and~~ vendor follow-up is necessary to reimage unacceptable products, the new microfilm and/or digital images must be approved by KDLA Quality Control. Additional costs resulting from multiple quality control evaluations will be the responsibility of the grantee.

Vendor Payments~~[Funds Release (Vendor Payments)]~~

~~[The Department for Libraries and Archives]~~ KDLA shall receive the security microfilm and copies of digital images and indexes upon completion of the project and before grantee renders payment to the vendor. ~~[Please]~~See the *Microfilming and Digital Imaging of Public Records: A Procedural Guide* and the *Digital Image Transfer Policy*.

For projects that require submission and acceptance of microfilm, digital images, and/or indexes to KDLA, payment shall not be released until all deliverables have passed quality control. Once they have passed, a Funds Release notice will be provided to the grantee to authorize payment to microfilming, scanning, and digitization vendors. For all other projects or tasks, invoices may be paid at the discretion of the grantee.

Reminders:

- Payment by grantee to microfilming vendors may not be released until the microfilm has passed KDLA Quality Control and has been accepted by KDLA.
- Payment by grantee to digitizing or scanning vendors may not be released until the digital images and indexes have passed KDLA Quality Control and have been accepted by KDLA.

Reporting Requirements

The ~~LRPG[Local Records Program Grant]~~ requires the completion of Project Status Reports to monitor project activities during the grant-reporting period. Only expenditures incurred within the inclusive dates of the awarded grant and in the approved budgeted line items may be claimed. Project Status Report forms will be sent to grant recipients electronically~~[Local Records Program Grants Kentucky Department for Libraries and Archives]~~ and are completed~~[every six months]~~ for the duration of the grant project. Reports are due on the dates listed in the Grant Award Summary, which all grantees receive after notice of award. Reports must~~[should]~~ include copies of all financial and programmatic records and supporting documents. Such documentation includes, but is not limited to, paid invoices, cancelled checks, deposit receipts, bank statements, and time and attendance records.

The last Project Status Report is considered the final report and should provide written confirmation of the completion of the project as well as proof that all ~~LRPG[grant]~~ funds are expended. On the rare occasion when unexpended funds remain after the completion of the project, the final report should note the remaining amount. If the amount is greater than \$25.00, the unexpended funds shall be~~[are]~~ remitted to KDLA and redeposited in the ~~LRPG[Local Records Program Grant]~~ fund. The grant recipient shall retain amounts less than \$25.00 to use toward records management purposes and supplies.

If a project is completed before the scheduled end date, the final report can be submitted at that time.

The ~~LRPG[grant]~~ project is officially closed when all project activities are complete, payment is rendered to the vendor(s), the final Project Status Report is submitted and approved, and the grant recipient receives a closeout letter from ~~[the] KDLA [Commissioner]~~.

IV. Additional Details

Accounting and Auditing Requirements

All ~~LRPG[grant]~~ documentation should be retained per the appropriate retention schedules. ~~LRPG[Grant]~~ recipients must comply with the audit requirements set forth by the Commonwealth of Kentucky. If any litigation, claim, or audit begins, the records must be retained until such proceeding is resolved. Should any adverse finding occur, a copy of the audit, finding, and a report on final resolution must be forwarded to the Local Records Branch.

Project Modifications

Grantees must submit in writing to the Local Records Branch Manager any requests for ~~LRPG[grant]~~ project changes that alter the scope of the project, the line-item budget, or project activities before any changes are made. Changes are not allowable until the grantee receives written approval from KDLA.

If a project is not expected to be completed within the specified timeframe, a contract amendment may be requested. This process is initiated by submitting a written request~~[letter]~~ to the Local Records Branch Manager explaining the delay and requesting an extension. The Agency's ~~[Your]~~

Regional Administrator will complete an assessment of whether an extension is of merit and present their findings to the Local Records Branch and KDLA Commissioner or their designee. If approved, a contract amendment defining the new terms of the grant is forwarded to the grantee for signature.

Withdrawal of Awarded Grant Funds

LRPG[Grant] recipients can voluntarily withdraw from the project with thirty (30) days written notice to KDLA. After giving reasonable notification of unsatisfactory performance of conditions of the project and allowing thirty (30) days for the vendor to achieve compliance, KDLA has the right to terminate and cancel the LRP[grant] contract. Such cancellation will be by written notice served on the grantee by certified or registered mail with return receipt requested. However, failure to complete a project due to early withdrawal may require ~~to~~ return of funds advanced under the contract or return all unobligated/unexpended grant funds.

Glossary

Advisory Group

A body appointed by the State Libraries, Archives, and Records Commission to serve as assigned on behalf of SLARC.

Appraisal

Process of determining the value and then the disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; their arrangement; and their relationship to other records.

Backfile Conversion

The process of scanning, indexing, and storing a large backlog of documents on an imaging system.

Codification

The systematic arrangement and organization of laws (ordinances and resolutions).

Confidential Information

Information or data exempted from public disclosure under Kentucky's Open Records Act (KRS 61.878), and other state and federal statutes and regulations with specific restrictions. Local government agencies have 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.

Conservation

Refers specifically to the physical treatment of individual damaged items. The repair or stabilization of materials through chemical or physical treatment to ensure that they survive in their original form as long as possible. Conservation counters existing damage, as distinguished from preservation, which attempts to prevent damage. Conservation does not always eliminate evidence of damage; restoration includes techniques to return materials to their original appearances (which may include fabrication of missing pieces). [Society of American Archivists]

Custody

The guardianship of records and manuscripts which may include both physical possession (protective responsibility) and legal title (legal responsibility) [Glossary of Terms (utah.gov)]

Digitize/Digitization

Creating a digital image that can be manipulated. For local records and preservation, digitizing allows images to be manipulated and indexed. Often used interchangeably with scanning (see below).

Disposition

Refers to what is done with records when those records are no longer needed for current business.

Digital Index

Metadata (similar to keywords) located within digital images that allows for searching and manipulation.

Electronic Record

"A record created, generated, sent, communicated, received, or stored by electronic means." [KRS 369.102]. Any information recorded in a form that only a computer or other electronic device can process and that satisfies a state or jurisdiction's definition of a record.

Format

How a record is kept, often called "medium." Records exist in many formats and can include paper, microfilm, email, photographs, microforms, photographs, audio and video recordings, and electronic records, etc. [ARMA]

Link and Marry

The act of establishing a connection between one or more items within an agency's data system.

Medium

A general term referring to the material (e.g., paper disk, tape) on which business information has been recorded and may subsequently be used for business purposes.

Microfilm

Reliable, long-term, standardized image format. Transparent film containing highly reduced copies of documents. May also refer to the high-resolution, low-grain film used to make such copies. Microfilm may be created in rolls, sheets (microfiche), strips (usually in jackets), or chips (usually in aperture cards). Standard widths of roll film include 35 mm and 16 mm. Microfilm may use gelatin silver, diazo, or vesicular processes to form the images. [SAA]

Permanent Record

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.

Preservation

The activity that reduces or prevents damage to extend the life expectancy of collections through practical management. Protecting materials by minimizing chemical and physical deterioration and damage to minimize the loss of information and to extend the life of cultural property. The act of keeping from harm, injury, decay, or destruction, especially through noninvasive treatment. [SAA]

Public Record

"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.” (KRS 171.410 (1). Public records are recorded information that is created or received by a state or local government agency in any format, which documents a transaction or activity by or with any public official or employee of that agency.

Public Agency

“Every state or local office, state department, division, bureau, board, commission, and authority; every legislative board, commission, committee and officer; every county and city governing body, council, school district board, special district board, municipal corporation, and any board, department, commission, committee, subcommittee, ad hoc committee, council or agency thereof; and any other body which is created by state or local authority and which derives at least twenty-five percent (25%) of its funds from a state or local authority.” [KRS 171.410]

Regional Administrator (RA)

Administrator of the local records program to local governments within a given region of the state, performing complex professional, administrative and consultative work.

Records Destruction Certificate

Used by records officers to document the destruction of public records. The Records Destruction Certificate is provided by KDLA.

Records Inventory

List identifying the location, name, and description of each records series, held by a state or local government agency. A completed inventory provides information essential to preparing a records retention schedule, with appropriate retention and disposition instructions, for records created and maintained by a state or local government agency.

Records Management

The administrative and managerial activities related to managing records throughout their life cycle—from creation to their final stage of disposition, in which they are either destroyed or permanently preserved. May also refer to the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. [ARMA]

Records Management Program

An effective program usually includes the following elements: obtaining strong policy and financial support from the governing or supervisory authority; developing policies and procedures for managing records and information; putting in place filing and indexing systems and tools; conducting an inventory of records; establishing and following records retention schedules; identifying and using technology appropriately to create, store, and retrieve materials; storing inactive records in a cost-effective and secure manner; destroying obsolete records in a timely and systematic manner and documenting their destruction; and identifying and preserving essential records. [CoSA]

Records Officer

Person designated by the agency to serve as the official liaison with KDLA on records management issues and to coordinate records management within the agency. [725 KAR 1:010]

Records Retention Schedule

The documents governing the retention and disposition of records series of a state or local public agency, and lists each record type, termed a “record series,” and each electronic records system created by a public agency. The documents that authorize the period of time that records are kept before they are destroyed or kept permanently. Records retention schedules are also sometimes used to identify essential records and to plan for their protection in an emergency. Most government agencies, from the federal level to the local level and the territorial and tribal levels, have mandated records retention and management requirements, governed by laws, rules, and regulations. Typically, there are two types of records retention schedules: General Records Retention Schedules, which cover commonly occurring cross-agency records, and Agency-Specific Records Retention Schedules, which list program records unique to a particular agency.

Records Series or Series Number

A group of related records that are filed and/or used together as a unit and therefore are evaluated as a unit for retention purposes, e.g., a personnel file consisting of an application, reference letters, benefit forms, etc. [ARMA]

Retention Period

Minimum length of time a record is to be maintained in an accessible format for administrative, legal, fiscal, historical, or other purposes.

Scanning

Creation of digital image from physical record (paper, photograph, etc.). Often used interchangeably with digitize (see above).

Section

An area in the grant application to list the plan of work or specific project activities.

Record Series

A document or a set of documents maintained together because they relate to a particular subject or function, resulting from the same activity, taking the same form, or because of some other relationship arising out of their creation, receipt, or use.

Vital Record

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.

Upload

The act of or process of transferring data into an agency’s data system.

Appendix

Applicants are encouraged to visit the KDLA website for any updated information concerning the grant program prior to submitting their applications.

Online Resources

Local Records Program Grants

[Local Records Program Grants Kentucky Department for Libraries and Archives](#)

Local Government Records Retention Schedules

[Local Government Records Schedules Kentucky Department for Libraries and Archives](#)

Microfilming and Digital Imaging of Public Records: A Procedural Guide

<https://kdla.ky.gov/records/recmgmtguidance/Documents/MicrofilmingandDigitalImagingofPublicRecords-012616.pdf>

Policy Memorandum PM 2010-01: Storage of Public Records as Scanned Images

https://kdla.ky.gov/records/Documents/PM2010-01_November%202021.pdf

Ensuring Long-term Accessibility and Usability of Textual Records Stored as Digital Images: Guidelines for State and Local Government Officials

https://kdla.ky.gov/records/Documents/Imaging%20Guidelines_November%202021.pdf

Transfer of Public Records: A Procedural Guide

<https://kdla.ky.gov/records/Documents/Records%20Transfer%20Procedures,January,%202010.PDF>

Digital Image Transfer Policy

[Digital Image Transfer Policy.pdf \(ky.gov\)](#)

Records Retention Scheduling: A Procedural Guide

https://kdla.ky.gov/records/Documents/Retention_Scheduling_Guidelines-March-2016.pdf

Destruction of Public Records: A Procedural Guide

<https://kdla.ky.gov/records/Documents/Destruction%20Guidelines.PDF>

KDLA Certified Micrographics Vendors List

[Certified Micrographics Vendors.pdf \(ky.gov\)](#)

Policy Memorandum on Approved Codification Services Vendors and Codification Grant Applicants/Recipients (PM 2021-01).

<https://kdla.ky.gov/records/recmgmtservices/Documents/PM%202021-01%20Codification%20Steps.pdf>

Grant Forms

Local Records Program Grants forms are available on the KDLA website:

<https://kdla.ky.gov/records/recmgmtservices/Pages/LocalRecordsProgramGrants.aspx>.

Sample Applicant Timeline:

1. Develop project and create itemized specifications (consult RAs)
2. Follow local procurement requirements to obtain/select bids/quotes
3. Complete Local Records Program Grant Application
4. Submit application package]

- ~~1. Develop project and create itemized specifications~~
- ~~2. Advertise specifications/Invitation for Bid to potential vendors~~
- ~~3. Select lowest bid vendor~~
- ~~4. Complete application text~~
- ~~5. Submit application package]~~

Additional information regarding records management for Local Government Agencies is available from the Local Records Branch at Kentucky Department for Libraries and Archives: www.kdla.ky.gov.

Microfilming and Digital Imaging of Public Records: A Procedural Guide

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Appendix A: Sample Targets

1.0 Introduction

The Kentucky Department for Libraries and Archives (KDLA), through its Archives and Records Management Division (ARM), is required by KRS 171.450 (1)(c) to establish standards and procedures for recording public records and for the reproduction of those records. Under KRS 171.410-740, KDLA is specifically charged with the management and preservation of public records, regardless of format.

As part of an efficient records management program and for reasons of security, many public agencies choose to convert paper records to a microform or digitized optical image format.

Quality Assurance Specialists from ARM's Local Records Branch inspect the silver halide master of all microfilmed Kentucky public records submitted for secure storage at KDLA. Once approved, these silver halide masters will be stored in KDLA's secure and environmentally controlled vault. Microfilm that fails to meet an acceptable standard will be rejected, and the material must be refiled until it meets that standard.

1.1 Definitions

Agency: Kentucky state or local government body that produces and manages public records according to state law outlined in the retention schedules.

Aperture Card: A card with a rectangular opening(s) specifically prepared for the mounting or insertion of microfilm. It is a machine-processable card of standard dimensions into which microfilm frames can be inserted.

Blip: Image mark placed under an image; can be one of three different sizes.

Certification: Authorization by KDLA and as recognized by the State Libraries, Archives, and Records Commission to create microfilm of Kentucky public records.

Density: The measure of film opacity or degree of gray.

Density Target: Blank pages used to test that the density of a roll of microfilm meets the standardized range.

Filing Unit: The logical grouping of a set of similar records in the same series, such as case files, deed books, bundles, etc.

Film Format:

Cine Mode: Images arranged on microfilm with bottom of one image above the top of the next.

Comic Mode: Images arranged on microfilm from left to right, as in a comic strip.

Film Type:

16mm: Microfilm which is 16mm in width is commonly used to film documents up to 8½ x 14.

35mm: Microfilm which is 35mm in width is commonly used to film documents larger than 8½ x 14.

Flow Camera: Rotary camera.

Microfilm: Transparent film in roll format that contains highly reduced micro-images in a linear arrangement. A reliable, long-term, standardized form of preserving public records.

Microfiche: A transparent sheet of film on which micro-images are arranged in a grid pattern. A heading and number large enough to be read without magnification normally appear at the top of the microfiche in a space reserved for this purpose.

Planetary Camera: One in which the film plane and base are stationary.

Quality Control: The act of checking microfilm to ensure that it conforms to standards in this procedural guide.

Technical: Reading of density, resolution, residual thiosulfate, and checking for any other abnormalities apparent on the film.

Informational: Checking to ensure that information on the title target matches the record filmed and that the

records transmittal is accurate.

Records Retention Schedule: A schedule is a list of each record type, or "record series," created by a public agency, representing a comprehensive inventory of the information holdings of a publicly funded agency.

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.

Reduction ratio: The number of times a document is reduced in size during microfilming.

Regional Administrator (RA): An employee of KDLA's Local Records Branch, who provides professional records management guidance and consultation to local public agencies.

Resolution: The clarity or clearness of film, used to determine the ability of the micro-photographic system to record fine detail.

Resolution Target/Test Chart: Used to read resolution of each roll of microfilm.

Rotary Camera: One in which the microfilm and documents are in motion when the image is captured.

Splice: A joint made by welding two pieces of microfilm together so they will function as a single piece when passing through a microfilm reader. Splicing is used to correct errors and should only be done in the clear leader at the beginning of the roll of microfilm.

Targets: Used to identify and clearly convey descriptive information to the user about the roll and record microfilmed.

Thiosulfate: A chemical used in developing microfilm.

Transmittal: A transfer document that contains information about what was filmed, where the records are from, and where and for how long the film is stored.

Vendor: any creator of security microfilm copies, digital scans, and/or indexes of public records.

2.0 Micrographics Laboratory Certification Requirements

Microfilm vendors who consistently adhere to state requirements and strict national standards from the Association for Information and Image Management (AIIM), the National Institute of Standards and Technology (NIST), and the American National Standards Institute (ANSI) are certified each year by KDLA and recognized by the State Libraries, Archives, and Records Commission. Certification is for a one-year period and is automatically renewed annually as long as vendors remain in compliance with the following requirements. ARM evaluates each certified laboratory in the following areas:

1. Compliance with ARM standards for film formatting, including the proper use of microfilm targets and splicing.
2. Compliance with ARM requirements that the original silver halide master of all microfilm produced be deposited with ARM.
3. Compliance with appropriate procedures to ensure microfilm quality evaluation, including:
 - A. Compliance with accepted standards for film resolution and density.
 - B. Compliance with accepted standards assuring minimal thiosulfate.
 - C. Compliance with ARM procedures for the transfer and evaluation of public records.

To receive certification, a vendor must consistently produce microfilm of an archival standard and adhere to the following requirements:

The vendor's laboratory must send a formal letter applying for Certification to the KDLA Local Records Branch to:

300 Coffee Tree Rd,

Frankfort, KY 40601
attn: Local Records Branch.

This letter should include the name of the laboratory the date the laboratory will begin to send testing proofs, and the name of a laboratory contact person.

Microfilm strips must be sent and must pass all tests for six consecutive months before certification will be awarded:

Microfilm strips submitted for testing include:

- A. One 8-inch film strip clear of images or fog
- B. One film strip with the following images appearing:
 - Resolution chart
 - Density Target
 - Camera operator's target or laboratory letterhead sheet providing laboratory name, date film was processed, reduction ratio used to film the test strip, and name of laboratory contact person
- C. Test results verifying that the testing proofs have been processed so that the residual thiosulfate ion concentration does not exceed 1.4 grams per square centimeter in a clear area when using methylene blue test methods.

The test strips and thiosulfate results should be mailed as soon as possible, after processing occurs.

The testing proofs must be sent to the ARM Division by the 15th of each month or the next business day.

The film strips must pass the following three tests in order to meet certification requirements:

2.1 Thiosulfate residue content

When thiosulfate residue is not completely removed by washing during processing, such residue can consume the film's emulsion and result in permanent damage. Archival microfilm must be free of this harmful chemical residue to ensure the microfilm's longevity and to avoid deterioration of the microfilm. Microfilms shall be processed so that the residual thiosulfate ion concentration will not exceed 1.4 grams per square centimeter in a clear area when using methylene blue test methods. This test is performed at the laboratory, and the results are sent to KDLA with the test strips.

2.2 Density

Measurements are taken to ensure proper densities of micro-images in readers or for making subsequent generations of microfilm. If the image density is too light or too dark, the microfilm cannot be duplicated at a readable level. Background density is tested on the resolution chart and white clear area of targets. The acceptable density range for this test is from .70 to 1.30. A reading outside of this range is unable to be viewed on a standard microfilm reader and will not meet ARM requirements.

2.3 Resolution

The original microfilm must meet resolution standards, because microfilm loses at least 12% of its clarity with each duplication. Resolution tests shall be performed using the NIST "1010a Microcopy Resolution Test Chart" or equivalent. Resolution Test Charts degrade over time and must be replaced. If the Quality Assurance Specialist encounters a degraded chart in the course of quality assurance procedures, the specialist will advise certified laboratories that their charts need to be replaced. The resolution reading is obtained using the line direction method with a 100x magnification microscope after distinguishing the smallest pattern block that can be resolved for each pattern on the chart. All readings are added together, the total divided by the number of patterns, then multiplied by the camera reduction used. The acceptable minimum is 100 lines per millimeter (lpm).

When all requirements listed above are met, the laboratory's official certification will be presented at the next quarterly meeting of the Commission. If certification is completed prior to the scheduled Commission meeting, a formal letter will be sent to the laboratory stating that it has met all requirements and is certified.

To maintain certification, the test strips must be sent each month and must pass the thiosulfate, density, and resolution tests. If a laboratory, once certified, will be inactive for one month, a letter stating that the laboratory was not active for that particular month must be sent to the ARM Division. This must be done each month the laboratory is inactive.

Revocation of a laboratory's certification will occur under any of the following conditions:

- Laboratory is inactive for more than 90 consecutive days.
- Laboratory submits two consecutive failures of any of the test criteria.
- Laboratory submits three failed test strips in any 12-month period.
- Laboratory fails to submit any strips for testing over any 60 consecutive days.
- ARM reserves the right to revoke certification for failure to comply with any portion of this procedure guide.

Under these conditions ARM will rescind the certification of the laboratory and notify the State Libraries, Archives, and Records Commission. Written notification will be mailed to the laboratory.

After 30 days a laboratory may start the certification process anew.

3.0 Security Storage of Microfilm

ARM provides free storage in its specially equipped, climate-controlled vault to ensure that information contained on archival film will remain permanently preserved.

The original silver halide master microfilm (negative or positive) must be provided to ARM at no cost for security storage. Only wet process silver halide film will be accepted for storage.

ARM will test the security copy of the film for resolution and density. If the film is in microfiche format, it must be provided in archival storage boxes; if filmed in 35mm or 16mm roll format, it must be provided in inert plastic boxes, with labels affixed to the outside. ARM will randomly inspect security film every two years for mold, spots, or other evidence of deterioration.

The preservation microfilm will not be used as an access copy. An access copy may be produced from the microfilm if an agency grants permission. Preservation microfilm might also be used for duplication when an access ~~[a-work]~~ copy is lost or damaged. In cases where duplicate copies of the same microfilm are required more than once, a master silver halide duplicate will be made and all subsequent copies will be made from this version ~~[duping-master]~~.

In testing microfilm stored in the security vault, ARM will follow ANSI standards.

4.0 Micrographics Procedural Requirements

Microfilm submitted to KDLA is evaluated for quality in density, resolution, chemical residue, and format. A random check of the density is made throughout each roll of film. Images that do not meet the density requirement may cause the entire roll to fail quality evaluation or to require retakes. The resolution, as read from both the front and end charts, should meet the 100 lpm requirement.

4.1 Targeting

Proper identification targets must appear on each roll of film. Standard targets ensure ready access to information contained on the film and that filmed information is reliable.

Responsibilities for targets are as follows:

1. All title targets must be completed and provided by ARM personnel and are not available without contacting ARM. Use of title targets that have not been provided by ARM will be cause for automatic rejection.
2. All resolution test chart targets must be obtained by the Vendors, at their own expense.
3. Remaining targets may be found on the KDLA website. They should not be altered in any way.

Target 1 – Resolution Test Chart

The Resolution Test Chart can be purchased from AIIM.

Target 2 – Density Target

Blank pages used to test that the density of a roll of microfilm meets the standardized range.

Target 3 – Camera Operator's Certificate and Certificate of Authenticity

Identifies the agency for which filming is being done, the certified laboratory doing the filming, date of filming, reduction ratio, and camera operator's printed name and signature, which certifies that the micro-photographs on the film are true and accurate reproductions of the original records.

Target 3 – Title Target

All title targets must be completed and provided by ARM personnel and are not available without contacting ARM. Use of title targets that have not been provided by ARM will be cause for automatic rejection. Title target will include name of agency whose records are being filmed, exact title of record (with any variant title on second line) as listed in the agency's Records Retention Schedule, series number, inclusive dates, index information, and filming arrangement (information on the sequence in which materials were filmed, i.e., chronological, numerical, alphabetical by first letter of last name, etc.). The Comments section should include notes on anything unusual or different about the record being filmed, or anything that might set it apart and that needs to be brought to the attention of the reader of the film.

Target 4 – Begin and Roll No.

The roll number is assigned by the camera operator.

Target 5 – Continued and Roll No.

Used instead of the Begin and Roll No. Target (Target 5) when a roll begins in the middle of a case file. The roll number is assigned by the camera operator.

Target 6 – End of Book

Used at the end of each book filmed.

Target 7 – End of Roll

Used at the end of each roll filmed.

Target 8 – To be Continued

Used when a file or book is not completed on one roll. The End of Roll Target (Target 8) is filmed after this target.

NOTE: If retakes, records additions, or corrections are necessary, the following ARM targets must be used:

Target 9 – Start of Retake

Includes roll number, title of record series, date, signature of camera operator, and laboratory doing filming.

Target 10 – End of Retake

Used at the end of the retake.

Target 11 – Start of Records Additions

Includes roll number, title of records being added to roll, date, signature of camera operator, and laboratory doing filming.

Target 12 – End of Records Addition

Used at the end of the records addition.

Target 13 – Correction

This target should be filmed immediately following a filming mistake or a possible filming mistake, followed by the proper filming. (See Section 4 – 4.1 – C Additional Targets)

A. Required targets

The following targets are always necessary on each roll. Additional targets may be necessary in filming some records. These targets must be in the proper order (although they may be filmed side by side, two to a frame, on 35mm film). Each is followed by the page number of the sample target.

1. Resolution Test Chart – Planetary or Rotary
2. Density Target – blank pages for a density test to be performed.
3. Camera Operator's Certificate and Certificate of Authenticity
4. Title Target
5. Begin and Roll No. or Continued and Roll No., if appropriate

6. End of Roll or To be Continued, if appropriate
7. Density Target – blank pages for a density test to be performed.
8. Resolution Test Chart – Planetary or Rotary

B. Local Records targets

For Local Records Program_Grant projects, roll numbers are assigned by the vendor and should begin with number 1 and continue sequentially through the project. (Do not start over with number 1 when the series changes.) more than one book is contained on a roll, additional Title Targets (Target 4) and End of Book Targets (Target 7) are necessary for each book; no other targets should be repeated.

The required targets for more than one book on a roll or filming loose documents are:

Bound Book Filming	Loose Document / Case File Filming
1. Resolution Test Chart	1. Resolution Test Chart
2. Density Target	2. Density Target
3. Camera Operator's Certificate and Certificate of Authenticity	3. Camera Operator's Certificate and Certificate of Authenticity
4. Begin and Roll No. Target	4. Begin and Roll No. Target
5. Title Target	5. Title Target
6. End of Book	6. End of Roll
7. Title Target	7. Density Target
8. End of Book	8. Resolution Test Chart
9. Title Target	
10. End of Book	
11. End of Roll	
12. Density Target	
13. Resolution Test Chart	

C. Additional Targets

The only other targets that may be used are Correction Targets, Side Targets or Filming Notes, Retake Targets, Records Additions Targets, and Continuation Targets. Every use of an additional target requires corresponding notation on the transmittal.

Correction Target

This target should be filmed immediately following a filming mistake, or a possible filming mistake, and followed by the proper filming. The correction targets should not be filmed on top of the original documents. Either remove the original or use white paper to cover the original. For example, this target should be used when:

- an object covered the item to be filmed in whole or in part
- the wrong page was filmed
- a page was filmed out of focus, or
- a page was filmed upside down

Side Targets or Filming Notes

These targets are used to explain any abnormality on any specific page in the record being filmed. They should only be used on a page where a particular problem exists, not as a default target on every page. They indicate to the user that the problem is with the record, not the camera, film, or camera operator. Side targets are the responsibility of the laboratory. Laboratories may choose side target formats to best communicate irregularities. If filming on a planetary camera, a small side target (approximately 1" x 2"), or filming note reflecting the condition of the record, should be filmed on the periphery of the image containing the record on which an abnormality occurs, preferably parallel to the writing on the record. These targets should not cover any of the document itself. If records are being filmed on a rotary camera, print the target on a white sheet of paper and film it in front of the page to which it pertains. Examples of notes in these types of targets are:

Ink Spots
Blurred Record
Insert Affixed to Page

Damaged Record
Faded Record
Book Bound too Tightly

Photostatic Copy Present
Original Features Cut Text

When pages of a book are missing or numbered incorrectly, a target made by the laboratory should be filmed where the problem occurs. This target should be filmed between pages of the document (not at the bottom of a page) and may be up to the size of the record pages being filmed. For example, these targets might read:

- Pages 10 – 20 Missing
- Pages Numbered 10 – 20 Are Out of Order
- Pages 45 – 51 Misnumbered
- Pages 405 – 450 Are Blank
- Pages 25 – 26 Are Glued Together

This indicates that the pages are filmed in the order in which they appear in the book. Use of these side targets or filming notes will avert the need for ARM to request unnecessary retakes.

Continuation Targets

These targets can only be used when filming one record (book, folder, etc.) that is too long to fit on one roll of film. In such a case, the To be Continued Target (Target 9) replaces the End of Roll Target (Target 8) on the first roll and the Continued and Roll No. Target (Target 6) replaces the Begin and Roll No. Target (Target 5) on the second roll. All other targets remain the same

Records Additions Targets

These targets are used when additional information, which formed part of the original record, but was not filmed with that record, is located. For local records microfilming, the part being added must be less than one whole book. These targets, the Start of Records Additions and the End of Records Additions, are furnished by ARM and completed by the camera operator. The records additions may be filmed at the end of the corresponding roll if they are discovered before the roll is removed from the camera. It is more often the case that they are filmed on a separate roll and spliced to the original. A record addition or retake must be able to fit on the reel to which it will be spliced. Roll numbers for both records additions and retakes must be the same as the original roll to which they will be spliced. The information and target order is the same for retakes. (Note that the roll number is at the top of the target.)

Retake Targets

The Start of Retake Target and End of Retake Target are used in refilming images on the original roll, for example, illegible images or missed pages. These targets are furnished by ARM and completed by the camera operator. The following information must be entered on the Start of Retake Target:

1. Roll Number (to which the retake will be spliced)
2. Title of Record Series
3. Date
4. Signature of Camera Operator
5. Name of Micrographics Laboratory doing filming

A Resolution Chart and Density Target must follow the Start of Retake Target.

The End of Retake Target should be filmed after the last document being refilmed.

In the case of multiple books from the same roll that require retakes, all retakes must be refilmed on the same roll to eliminate multiple splices. Refilmed images should be added to the end of the original roll.

4.2 Filming Requirements

Reduction Ratio

If a reduction ratio is greater than 35X the film will not be accepted.

Photostats

All photostats require a minimum of two (2) varying exposures to compensate for inconsistencies in copy quality and to capture any information written in the margin, such as marginal releases.

Splitting Books

Records must be filmed as they are targeted. A book will not be split between rolls unless it is too long to fit on a single roll (See Continuation Targets).

Filming Order

Laboratories shall ensure that records are filmed in the proper (original) order. Any deviations from standard recording practices, filing order, arrangement, or other special conditions will be described on the Title Target as provided by ARM. These notes will be transcribed onto the catalog/transmittal documents.

Filming Inserts and Oversize Pages

All inserts and oversized pages must be filmed in their original place and sequence within a record. When possible, a plain white sheet of paper should be placed behind the insert being filmed. Anything under or on the back of inserts should also be filmed. Oversize pages and foldouts, such as maps and plats, should be filmed using multiple shots, when necessary, to capture the entire page. A slight overlap of shots should be used to aid in comprehension and reconstruction. When filming an insert, use a side target to indicate the special character of the record being filmed.

Blips or Image Location Marks

A blip, also known as an image location mark or document mark, is an optical mark, usually rectangular, within the recording area below or above the image on a roll of microfilm. It is used for counting images or frames automatically.

5.0 Microfilm Formats

The formats described in ANSI Standard ANSI/AIIM MS23-2004, Specifications for 16mm and 35mm Microfilms in Roll Form, shall be used for microfilming source documents on roll film.

5.1 Microfiche

Standards for computer output microfiche are outlined in ANSI/AIIM MS23-2004, Production, Inspection, and Quality Assurance of First-Generation, Silver Microforms of Documents and ANSI-NMA MS2-1978, Format and Coding for Computer Output Microfilm (COM).

Dry silver COM are not approved as archival and will not be accepted for security storage.

All permanent public records should be filmed on wet process, silver halide film. ARM will accept silver halide copy film produced from the original dry silver COM as a permanent record. If the processing is of the reversal type, it must be full photographic reversal, i.e., develop, bleach, expose, redevelop, fix, and wash.

For each record series being filmed, the fiche heading strip should display a consecutive fiche number. This number should be left-justified on the heading strip.

Microfiche from hardcopy records

- A. The agency may use a preferred arrangement on the eye readable title.
- B. The first frame (row one, column one) of each fiche must be the ARM supplied Title Target filled out appropriately.
- C. The second frame (row one, column two) must be a Resolution Test Chart (NB1010 or equal).
- D. The last fiche produced in a production run must have a Title Target, Camera Operator's Certificate and Certificate of Authenticity, a target attesting to the date span, and a target showing the inclusive fiche numbers of this particular run.
- E. The ARM target fiche will be filed with the original fiche in the microfilm storage vault and used to authenticate the fiche, in case of any legal question.

COM generated Microfiche

NOTE: Since there is no method for putting an ARM Title Target on this film, a target is not required to be filmed.

- A. An ARM Title Target will be filled out and shipped with the fiche when it is sent to ARM for storage.
- B. The person who requested the fiche must be the individual who signs the Microfilm Quality Evaluation form that attests that all the records were filmed in their entirety.
- C. These two forms will remain with the transmittal throughout its life.
- D. These two forms will be used to attest to the legality and completeness of the microfiche in case it would ever come into question.

Microfiche is not used in any roll format and it is not stored in ARM's security vault in a roll format. All fiche are cut into individual segments, which are normally 4" x 6" and stored in metal cabinets in the vault. No Begin and Roll No. and

End Targets are necessary on microfiche.

5.2 Aperture cards

Aperture cards in their original form are not archival. The card stock is acidic and will eventually deteriorate. The glue, which holds the film chips in the card, is also acidic. It will eventually ruin the original film, and can lose its adhesiveness, causing the film to become separated from the card, jeopardizing file integrity. The file integrity of an aperture card system is hard to maintain since a lost or stolen card destroys the validity of the file.

This medium must be reformatted before it can be stored in an archival environment. When dealing with a project involving aperture cards, please contact ARM for the latest requirements for reformatting.

5.3 Blips or image location marks

All images on 16mm film should be blipped with at least a single-level blip. Blips must conform to size and placement standards explained in ANSI/NMA MS8-1979, Revision of ANSI PH5.20-1974, NMA NS8-1974. The relative position of the blip to the document must be consistent throughout a roll.

1. Place all blips at the leading edge of the image/frame in the lower left blip channel.
2. The blip channel must be free of all other images.
3. The retrieval scheme will be explained in the agreement and must be adhered to or the film will not be accepted.

For large planetary filming (such as that done for KDLA Local Records grant projects), the second-level blip will be exactly twice as wide as the single-level blip on the film; the tri-level blip, if needed, will be three times as wide as the single-level blip. On rotary cameras and newer small tabletop planetary cameras, the equipment automatically calibrates the blip size.

Prior to filming in 16mm format, the size, number, and placement of the blips on the film will be determined according to the retrieval scheme required. Once the placement (the relative position of the blip to the document) is determined, it must be consistent throughout the roll. If the leading edge is the chosen blip position, all blips must be in that location. Operators shall not alternate blip locations between the leading and trailing edge.

6.0 Microfilm Quality Control Inspection

Every roll of film is inspected by the Micrographics Quality Assurance staff for technical and informational quality control. Film must meet all requirements listed in this section in order to pass quality inspection. Any roll that fails will result in KDLA issuing a written explanation for the failure and must be refilmed. Film is also rejected if the correct procedures for transmittals, shipping, and boxes are not followed. A written notice of acceptance will be sent from ARM after a complete project passes all tests.

Reasons for Failure to Pass Microfilm Quality Control:

****Applies only to LRPG**

FORMATING	
Density (permissible range - .70 to 1.30) <ul style="list-style-type: none">• Missing density targets• Page out of range• Extreme uneven density on a page	Resolution (minimum allowed – 100 lpm) <ul style="list-style-type: none">• Target not filmed at front and end• Front or end target below standard• Wrong resolution test chart (rotary/planetary)
Film Size and Format** <ul style="list-style-type: none">• Wrong film size according to grant• Wrong format according to grant	Blips (Image Location Marks)** <ul style="list-style-type: none">• Not as specified in grant or other instructions• Wrong size• Incorrect placement• Extra / missing blips

TARGETS

Camera Operator's Certificate and Certificate of Authenticity <ul style="list-style-type: none"> • Target missing • Missing information on target • Non-ARM target • Target filmed out of order 	Title Target <ul style="list-style-type: none"> • Missing any title target • Missing or incorrect information on title target • Non-ARM target
Begin and Roll No. / End Targets <ul style="list-style-type: none"> • Target missing • Non-ARM target • Target filmed out of order 	Continued and Roll No. / To be Continued Targets <ul style="list-style-type: none"> • Used incorrectly
Start / End of Retake Targets <ul style="list-style-type: none"> • Either target missing • Incorrect target used • Incorrect or missing information 	Start / End of Records Additions Targets <ul style="list-style-type: none"> • Either target missing • Incorrect target used • Missing or incorrect information
Side Targets or Filming Notes <ul style="list-style-type: none"> • Used incorrectly 	Correction Target <ul style="list-style-type: none"> • Used incorrectly

DOCUMENT / FILMING	
Damaged Film <ul style="list-style-type: none"> • Chemical or water spots on film • Holes, tears, severe creases • Emulsion scratches • Redox spots 	Foreign Objects Filmed (ex: dirt, hands, paper, keys, bugs, clips, etc.) <ul style="list-style-type: none"> • Objects possibly obscuring information • Not obscuring information, but excessive or distracting
Documents Filmed Contents <ul style="list-style-type: none"> • Blurred (any portion) • Not completely filmed (out of frame, covered, folded, document image cut off, wrinkled, etc.) • Illegibility as a result of scanning • Missing pages • Filmed out of order • Light / dark streaks • Upside down 	Photostat Documents <ul style="list-style-type: none"> • Less than 2 shots of each page • No exposure adjustment evident between the 2 shots • Has 2 shots but too dark / light or illegible
Grant Evaluation** <ul style="list-style-type: none"> • Doesn't match records filmed • All listed records weren't filmed 	Other <ul style="list-style-type: none"> • Not silver halide original film • More than one record series filmed on one roll • One book partially filmed on two rolls • Wrong documents filmed (according to title target) • Wrong documents filmed (according to grant)** • Books filmed out of order • Excessive duplication of content

SHIPPING AND FORMS

Transmittals <ul style="list-style-type: none"> • Missing with submission to KDLA • Not typed • Information doesn't match film • Information out of order • Information missing • Notes about abnormality of records missing (ex: no book J, etc.) • More than one record series on a page • More than one front page per record series per project 	Shipping Statement** <ul style="list-style-type: none"> • Missing with submission to KDLA • Doesn't match shipment • Missing information
Box Labels <ul style="list-style-type: none"> • Missing • Not typed • Missing information • Extra information (ex: filming date)** 	

Explanations of Reasons for Failure to Pass Microfilm:

Emulsion Scratches

Physical removal of blips using a razor blade (or other abrasive object) will render the roll unacceptable. Emulsion scratches that might call into question the information on the film will require retakes.

Miscellaneous Requirements

Foreign objects, including light streaks, other pages appearing in the frame, (especially when obscuring information), and illegible images may cause rejection of the film or require retakes. The film should be rolled on the reel with the emulsion side on the inside. When unwound, the blips should be on the inside face of the film.

Roll Boxes

All microfilm rolls must be sent in individual boxes that meet best archival practice standards.

All boxes, including those for retakes and records additions, must have labels with the following identifying information typed on them. (This information should match that on the Title Target and transmittal exactly.)

The label should include:

1. Roll Number
2. Agency Name
3. Series Title/Unit Identifiers (book numbers, letters, etc.)
4. Year Span of Records on Roll

SAMPLE TOP LABEL

Franklin County Roll No. 12345 Deed Books A - C 1850 - 1875	Appropriate size labels should be used. Labels should not exceed the size of the top of the microfilm roll box. Labels should not be used to tape the box closed or inhibit its opening. These labels must use permanent adhesive. Rolls without labels will not pass quality control inspection.
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Transmittal forms are furnished by ARM and completed by the vendor. Transmittals must be typed. For the most up to date transmittal and instruction refer to the KDLA website.

Shipping Film to ARM

All film from one project should be shipped at one time, unless ARM is notified in advance that the project is large and will be sent in partial shipments. All shipments of microfilm should be sent to ARM with a shipping statement, completed transmittals, and, when the shipment is complete, a copy of the invoice (Transmittals are not shipping statements). Rolls and transmittals should be packed in sequential order.

Shipping statements should include the following information:

1. Vendor Name
2. County or City Name (agency that created the records)
3. Total Number of Original Rolls
4. Total Number of Retake and/or Records Additions Rolls
5. Titles and Book Numbers (ex: Deed Books A-Z, Will Books A-M)
6. Partial or Complete Shipment

All projects should use the following shipping address:

Micrographics Quality Assurance
Kentucky Department for Libraries and Archives
300 Coffee Tree Rd.
Frankfort KY, 40601

Payment Release **

A written statement of approval authorizing payment for film contracted by a local government agency will be issued by the Local Records Branch, ARM, only after the security microfilm is received by ARM, passes quality control, and is accepted for storage.

7.0 Digital Imaging

These guidelines for digital imaging are based on, and supported by, Policy Memorandum 99-1, Standards for Conversion of Digital Images to Microfilm Format; and Policy Memorandum 2023-01 Storage of Public Records as Scanned Images.

State or local government agencies that use digital imaging systems to maintain records that are scheduled as permanent, according to the Commission's approved Records Retention Schedules, must comply with the KDLA Policy Memorandum on the Storage of Public Records as Scanned Images, 2023-01 This Policy Memorandum states that "public records scheduled as permanent must have manual, eye-readable counterparts" namely paper or microfilm. Note that this requirement does not apply to "born digital" images.

KDLA recommends the production of security microfilm of permanent records from local agencies for records born digitally. This microfilm must be produced according to the guidelines in this procedural guide. The silver halide master will be maintained by KDLA in security storage.

Microfilm may be produced from the paper record or from digital images.

7.1 Formatting files

The required format for the files is a standard Tagged Image File Format (.tif extension). These can be compressed using CCIT Group compression (standard fax compression) only. Multi-page tifs are not acceptable. TIFF files should be in black and white or grayscale format.

All files from one series should be segregated from other series for placement on separate rolls of film. The files should be organized (folded and in order) as they appear on film. The folder level and the file level will have blips according to their hierarchical level.

Example: The files for deed books or other logical units should be placed in separate folders by book or other unit to indicate a beginning and ending point for that unit on the film. This will facilitate retrieval from the film.

Folder names must be in lower case. If not in lower case, the sorting order will be compromised when transferring to microfilm. Example: doe, jane.tif

The tif files, particularly those produced from paper larger than 8.5 by 11, must be formatted in portrait rather than landscape orientation (vertical rather than horizontal).

Image file size that exceeds 550 KB for individual pages can impede file transfer to film.

When digitizing photostatic copies or other negative images (white text on black background), the vendor will reverse the image to a positive image (black text on white background).

Scanned images are to be 300 dpi or greater.

Enhancement technique standard

An agency may employ a digitized record enhancement technique which is commonly used in scanning software, including but not limited to deskew, despeckle, crop, and rotate. An agency may not use an enhancement technique which alters content that exists in an original record

7.2 Indexing files

All digitized images must be accompanied by the corresponding general index. This index will be sent to KDLA in the tif format.

7.3 Verification of files

The vendors are required to verify each image and inform KDLA of all poor quality (illegible) images. This includes rips, folds, missing and/or obscured text, overlaps, etc. Book and page numbers of the poor-quality documents will be provided to KDLA by the vendor on the transmittal forms.

7.4 Transfer of files

KDLA will accept image files via File Transfer Protocol (FTP) through secure link provided by the ARM upon request. KDLA will also accept portable hard-drives and jump-drives containing the images in the required format and organization detailed in the section 7.1. Further details for this transfer will be provided in the contract for the work.

Hard-drives should be labeled and include:

- Agency Name (Grant # included if applicable)
- Vendor Name
- Series Title/Unit Identifiers (book numbers, letters, etc.)

7.5 Targets and charts

The following charts and targets should be used for microfilm produced from electronic images:

- Resolution Test Chart
- Density Target
- Camera Operator's Certificate and Certificate of Authenticity
- Title Target
- Begin and Roll No.
- End of Roll

7.6 Imaging procedures

It is critical that vendors have proper scanning procedures in place in order to create an accurate and acceptable microfilmed image and to have the copies accepted as valid documentation of agency transactions. Vendors should incorporate the following elements in their imaging procedures:

A. Accuracy and completeness of records

A process of inspection must be in place to confirm that imaged documents are legible and that no corners of the original documents were folded or obscured during scanning. This process should include systematic quality control and audit procedures, as well as operational oversight by staff with detailed knowledge of the process or system used to produce the records. Resolution and use of gray scale should be appropriate to capture all needed detail within documents. Similarly, scanned images must capture all colors represented in the original documents when needed to interpret or understand the meaning of the original. The accuracy of the indexing process must also be assured through procedures that visually verify indexes after they have been keyed or created through optical character recognition.

B. Audit trails and security

Audit trails documenting who accessed or used the system, when they used it, and what the results of use were must be maintained. Security measures consistent with guidelines and standards provided in Enterprise Architecture and Kentucky Information Technology Standards (KITS) should be adopted and applied.

C. Equipment maintenance

An effective maintenance program ensuring that scanners, disks, and other storage devices are properly housed and regularly maintained must be in place. Equipment maintenance logs should be kept to document the occurrence of regular maintenance.

D. Compression algorithms

All images should be stored in or converted to compression formats identified in KITS. Currently, the standard requires use of, or an ability to convert to, (formerly CCIT) Group IV .tif.

7.7 Review of systems by ARM staff

Agencies should review imaging system requirements and contents with appropriate ARM staff. Staff will examine all elements of scanning procedures and the scheduled records series maintained in the system. Records maintained on the imaging system should follow retentions on an appropriate Commission-approved Records Retention Schedule. ARM staff will work to facilitate this review through distribution of a form to be completed by the agency on a regular basis.

7.8 Waiver of eye-readable requirement

State and local agencies may request to maintain permanent records as digital images without eye-readable backup by petitioning the State Archivist for a waiver of that requirement. The request must include a list of records series, as found on the applicable Commission approved Records Retention Schedule, for which the waiver is being sought. ARM will work with agency staff to review both the elements of the agency's image viewing system, per Policy Memorandum 2010-01, and the nature of the records in question. The State Archivist may provide written authorization if the system and the records are acceptable. This authorization will require the agency staff to review the imaging system and its contents on a regular basis with ARM.

Appendix A: Sample targets

**OPERATOR'S CERTIFICATE
&
CERTIFICATE OF AUTHENTICITY**

THESE RECORDS WERE FILMED FOR

THESE RECORDS WERE FILMED BY

DATE OF FILMING

REDUCTION

CERTIFICATE OF AUTHENTICITY

THIS IS TO CERTIFY THAT THE MICROGRAPHICS APPEARING ON THIS ROLL OF MICROFILM ARE TRUE AND ACCURATE REPRODUCTIONS OF THE ORIGINAL RECORDS.

**THESE RECORDS WERE PRODUCED FROM IMAGED FILES SCANNED BY
[Name of local government agency/vendor]**

PRINTED NAME OF SCANNER/INDEXER

SIGNATURE OF SCANNER/INDEXER

START OF RETAKE

ROLL NO.: _____

TITLE OF RECORD SERIES: _____

THE IMAGES **APPEARING** BETWEEN THIS POINT AND "END OF RETAKE" ARE MICROPHOTOGRAPHS OF RECORDS THAT WERE ILLEGIBLE OR OTHERWISE UNSATISFACTORY ON INSPECTION OF THE ORIGINAL MICROFILM.

CERTIFICATE OF AUTHENTICITY

THE SECTION OF FILM BETWEEN "START OF RETAKE" AND "END OF RETAKE" TARGETS IS A TRUE AND ACCURATE REPRODUCTION OF THE ORIGINAL RECORDS.

DATE _____

SIGNATURE OF CAMERA OPERATOR _____

NAME OF MICROGRAPHICS LABORATORY DOING FILMING _____

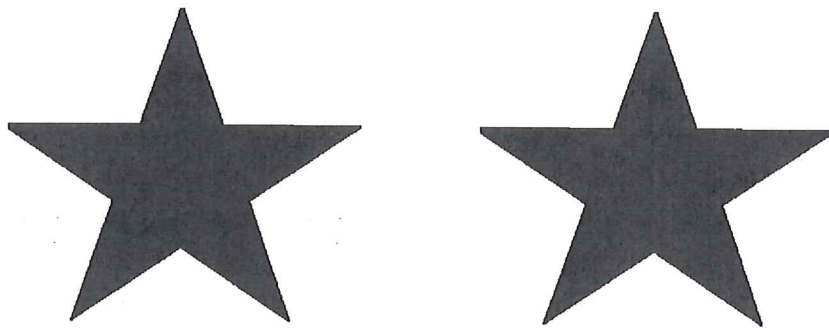
Archives and Records Management Division

CONTINUED

ROLL NO: _____

IF RETAKES ARE NECESSARY, THEY WILL BE SPLICED AT
THE END OF THIS ROLL.

CORRECTION



PRECEDING IMAGE HAS BEEN REFILMED TO
ASSURE LEGIBILITY OR TO CORRECT A
POSSIBLE ERROR

END

**END
OF
BOOK**

END OF RECORDS ADDITION

**END
OF
ROLL**

BEGIN

ROLL NO. _____

**IF RETAKES ARE NECESSARY, THEY WILL BE SPLICED
AT END OF ROLL**

Microfilming and Digital Imaging of Public Records: A Procedural Guide

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Appendix A: Sample Targets

~~[Appendix B:~~ Records Transmittal Form

~~Appendix C:~~ Microfilm Quality Evaluation form

~~Appendix D:~~ Microfilm Quality Control Possible Errors, with Correction Methods]

1.0 Introduction

The Kentucky Department for Libraries and Archives (KDLA), through its Archives and Records Management Division (ARM), is required by KRS 171.450 (1)(c) to establish standards and procedures for recording public records and for the reproduction of those records. Under KRS 171.410-740, KDLA is specifically charged with the management and preservation of public records, regardless of ~~[the medium on which the record is recorded.]~~ format.

As part of an efficient records management program and for reasons of security, many public agencies choose to convert ~~[bulky]~~ paper records to a microform or digitized optical image format. ~~[Once microfilmed according to the procedures in this guide and approved by the State Archivist, some paper records may be destroyed. The microfilm then becomes the official record.]~~ Careful steps must be taken to ensure preservation of this film and the recorded information. ~~[Public records reproduced on microfilm, when done according to standards approved by ARM, are admissible as evidence in any judicial or administrative proceeding (See KRS 422.105).]~~

Quality Assurance Specialists from ARM's Local ~~[Electronic]~~ Records Branch inspect the silver halide master of all microfilmed Kentucky public records submitted for secure storage at KDLA. ~~[microfilmed, whether produced by a public or private agency.]~~ Once approved, these silver halide masters will be stored in KDLA's secure and environmentally controlled vault. Microfilm that fails to meet an acceptable standard will be rejected, and the material must be refiled until it meets that standard.~~[agencies will be required to refile the material.]~~

1.1 Definitions

Agency: Kentucky state or local government body that produces and manages public records according to state law outlined in the retention schedules.

Aperture Card: A card with a rectangular opening(s) specifically prepared for the mounting or insertion of microfilm. It is a machine-processable card of standard dimensions into which microfilm frames can be inserted.

Blip: Image mark placed under an image; can be one of three different sizes.

Certification: Authorization by KDLA and as recognized by the State Libraries, Archives, and Records Commission to create microfilm of Kentucky public records.

Density: The measure of film opacity or degree of gray.

Density Target: Blank pages used to test that the density of a roll of microfilm meets the standardized range.

Filing Unit: The logical grouping of a set of similar records in the same series, such as case files, deed books, bundles, etc.

Film Format:

Cine Mode: Images arranged on microfilm with bottom of one image above the top of the next.

Comic Mode: Images arranged on microfilm from left to right, as in a comic strip.

Film Type:

16mm: Microfilm which is 16mm in width is commonly used to film documents up to 8½ x 14.

35mm: Microfilm which is 35mm in width is commonly used to film documents larger than 8½ x 14.

Flow Camera: Rotary camera.

Microfilm: Transparent film in roll format that contains highly reduced micro-images in a linear arrangement. A reliable, long-term, standardized form of preserving public records.

Microfiche: A transparent sheet of film on which micro-images are arranged in a grid pattern. A heading and

number large enough to be read without magnification normally appear at the top of the microfiche in a space reserved for this purpose.

Planetary Camera: One in which the film plane and base are stationary.

Quality Control: The act of checking microfilm to ensure that it conforms to standards in this procedural guide.

Technical: Reading of density, resolution, residual thiosulfate, and checking for any other abnormalities apparent on the film.

Informational: Checking to ensure that information on the title target matches the record filmed and that the records transmittal is accurate.

Records Retention Schedule: A schedule is a list of each record type, or "record series," created by a public agency, representing a comprehensive inventory of the information holdings of a publicly funded agency.

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.

Reduction ratio: The number of times a document is reduced in size during microfilming.

Regional Administrator (RA): An employee of KDLA's Local Records Branch, who provides professional records management guidance and consultation to local public agencies.

Resolution: The clarity or clearness of film, used to determine the ability of the micro-photographic system to record fine detail.

Resolution Target/Test Chart: Used to read resolution of each roll of microfilm.

Rotary Camera: One in which the microfilm and documents are in motion when the image is captured.

Splice: A joint made by welding two pieces of microfilm together so they will function as a single piece when passing through a microfilm reader. Splicing is used to correct errors and should only be done in the clear leader at the beginning of the roll of microfilm.

Targets: Used to identify and clearly convey descriptive information to the user about the roll and record microfilmed.

Thiosulfate: A chemical used in developing microfilm.

Transmittal: A transfer document that contains information about what was filmed, where the records are from, and where and for how long the film is stored.

Vendor: any creator of security microfilm copies, digital scans, and/or indexes of public records.

2.0 Micrographics Laboratory Certification Requirements

Microfilm ~~vendors~~ ~~[service providers]~~ who consistently adhere to state requirements and strict national standards from the Association for Information and Image Management (AIIM), the National Institute of Standards and Technology (NIST), and the American National Standards Institute (ANSI) are certified each year by KDLA and recognized by the State Libraries, Archives, and Records Commission. Certification is for a one-year period and is automatically renewed annually as long as vendors remain in compliance with the following requirements. ~~[must be renewed annually.]~~ ARM evaluates each certified laboratory in the following areas:

1. Compliance with ARM standards for film formatting, including the proper use of microfilm targets and ~~[proper]~~ splicing.
2. Compliance with ARM requirements that the original silver halide master of all microfilm

- produced be deposited with ARM.
3. Compliance with appropriate procedures to ensure microfilm quality evaluation, including:
 - A. Compliance with accepted standards for film resolution and density.
 - B. Compliance with accepted standards assuring minimal thiosulfate.
 - C. Compliance with ARM procedures for the transfer and evaluation of public records.

To receive certification, a vendor~~[an agency]~~ must consistently produce microfilm of an archival standard and adhere to the following requirements:

The vendor's laboratory ~~[A. The agency/applicant]~~ must send a formal letter applying for Certification to the KDLA Local Records Branch to:

300 Coffee Tree Rd.
Frankfort, KY 40601
attn: Local Records Branch.

~~[Micrographics Vendor, ARM Division.]~~ This letter should include the name of the laboratory~~[agency, the name of the certifying laboratory]~~, the date the laboratory will begin to send testing proofs, and the name of a laboratory contact person.

Microfilm~~[film]~~ strips must be sent and must pass all tests for six consecutive months before certification will be awarded:

Microfilm strips submitted for testing include:

- A. One 8-inch film strip clear of images or fog
- B. One film strip with the following images appearing:
 - Resolution chart
 - Density Target~~[Plain white sheet of paper]~~
 - Camera operator's target or laboratory~~[agency]~~ letterhead sheet providing laboratory ~~[agency]~~ name, date film was processed, reduction ratio used to film the test strip, and name of laboratory contact person
- C. Test results verifying that the testing proofs have been processed so that the residual thiosulfate ion concentration does not exceed 1.4 grams per square centimeter in a clear area when using methylene blue test methods.

The test strips and thiosulfate results should be mailed as soon as possible, after processing occurs. ~~[in order to complete tests within the fourteen-day time frame required for thiosulfate residue testing. The closer to the testing date the test strip is processed, the more accurate the test results are.]~~

The testing proofs must be sent to the ARM Division by the 15th of each month or the next business day~~[workday following the 15th]~~.

The film strips must pass the following three tests in order to meet certification requirements:

2.1 Thiosulfate residue content

When thiosulfate residue is not completely removed by washing during processing, such residue can consume the film's emulsion and result in permanent damage. Archival microfilm must be free of this harmful chemical residue to ensure the microfilm's ~~[film's]~~ longevity and to avoid deterioration of the microfilm~~[film's emulsion through spotting or "measles". Microforms]~~. Microfilms shall be processed so that the residual thiosulfate ion concentration will not exceed 1.4 grams per square centimeter in a clear area when using methylene blue test methods. This test is performed at the laboratory, and the results are sent to KDLA with the test strips.

2.2 Density

Measurements are taken to ensure proper densities of micro-images in readers or for making subsequent generations of microfilm~~[film]~~. If the image density is too light or too dark, the microfilm~~[film]~~ cannot be duplicated at a readable level. Background density is tested on the resolution chart and white clear area of targets. The

acceptable density range for this test is from .70 to 1.30. A reading outside of this range ~~[of .69 or below, 1.31 or above, or that]~~ is unable to be viewed on a standard microfilm reader and will not meet ARM requirements.

2.3 Resolution

The original microfilm must meet resolution standards, because microfilm~~[film]~~ loses at least 12% of its clarity with each duplication. Resolution tests shall be performed using the NIST ~~[(www.nist.org)]~~ "1010a Microcopy Resolution Test Chart" or equivalent. Resolution Test Charts degrade over time and must be replaced. If the Quality Assurance Specialist encounters a degraded chart in the course of quality assurance procedures, the specialist will advise certified laboratories that their charts need to be replaced. The resolution reading is obtained using the line direction method with a 100x~~[50x to 150x]~~ magnification microscope after distinguishing the smallest pattern block that can be resolved for each pattern on the chart. All readings are added together, the total divided by the number of patterns, then multiplied by the camera reduction used. The acceptable minimum is 100 lines per millimeter (lpm). ~~[Below 100 lines per millimeter is unacceptable.]~~

When all requirements listed above are met, the laboratory's official certification~~[agency's official Micrographics Vendor Certification]~~ will be presented at the next quarterly meeting of the Commission. If certification is completed prior to the scheduled Commission meeting, a formal letter will be sent to the laboratory ~~[agency]~~ stating that it has met all requirements and is certified.

To maintain ~~[vendor]~~ certification, the test strips must be sent each month and must pass the thiosulfate, density, and resolution tests. If a laboratory ~~[an agency]~~, once certified, will be inactive for one month, a letter stating that the laboratory ~~[agency]~~ was not active for that particular month must be sent to the ARM Division. This must be done each month the laboratory is ~~[the agency is]~~ inactive.

~~[If an agency fails to meet any of the standards over a ninety-day period, ARM will recommend decertification to the Commission.]~~

~~Microfilm produced by or for public agencies is evaluated for quality in density, resolution, chemical residue, and format. A random check of the density is made throughout each roll of film. Images that do not meet the density requirement may cause the entire roll to fail quality evaluation or to require retakes. The resolution, as read from both the front and end charts, should meet the 100 lpm requirement. Proper formatting is outlined in Section 4.0.]~~

Revocation of a laboratory's certification will occur under any of the following conditions:

- Laboratory is inactive for more than 90 consecutive days.
- Laboratory submits two consecutive failures of any of the test criteria.
- Laboratory submits three failed test strips in any 12-month period.
- Laboratory fails to submit any strips for testing over any 60 consecutive days.
- ARM reserves the right to revoke certification for failure to comply with any portion of this procedure guide.

Under these conditions ARM will rescind the certification of the laboratory and notify the State Libraries, Archives, and Records Commission. Written notification will be mailed to the laboratory.

After 30 days a laboratory may start the certification process anew.

3.0 Security Storage of Microfilm

ARM provides free storage in its specially equipped, climate-controlled vault to ensure that information contained on archival film will remain permanently preserved~~[available for research or administrative use]~~.

The original silver halide master microfilm (negative or positive) must be provided to ARM at no cost for security storage. Only wet process silver halide film will be accepted for storage.

ARM will test the security copy of the film for resolution and density. If the film is in microfiche format, it must be provided in archival storage boxes; if filmed in 35mm or 16mm roll format, it must be provided in inert plastic boxes,

with labels affixed to the outside. ARM will randomly inspect security film every two years for mold, spots, or other evidence of deterioration.

The preservation microfilm~~[security copy]~~ will not be used as an access~~[a research]~~ copy. An access copy ~~[A research copy, however,]~~ may be produced from the microfilm~~[film]~~ if an agency ~~[, when forwarding film,]~~ grants permission~~[for the duplication of its film for research purposes by indicating on the transmittal]~~. Preservation microfilm~~[Security film]~~ might also be used for duplication when an access~~[a work]~~ copy is lost or damaged. In cases where duplicate copies of the same microfilm are required more than once, a master silver halide duplicate will be made and all subsequent copies will be made from this version~~[duping master]~~.

In testing microfilm stored in the security vault, ARM will follow ANSI standards.

4.0 Micrographics Procedural Requirements

Microfilm submitted to KDLA is evaluated for quality in density, resolution, chemical residue, and format. A random check of the density is made throughout each roll of film. Images that do not meet the density requirement may cause the entire roll to fail quality evaluation or to require retakes. The resolution, as read from both the front and end charts, should meet the 100 lpm requirement.

4.1 ~~[Proper]~~ Targeting

Proper identification targets must appear on each roll of film. Standard targets ensure ready access to information contained on the film and that filmed information is [a] reliable. ~~[copy that is legally admissible as evidence in a court of law. All targets are furnished free of charge to certified vendors by ARM. The lab or agency is responsible for obtaining all resolution charts. Targets will be provided to those currently working toward certification. Only targets furnished by ARM will be accepted for public records filming. Targets should not be cut or altered in any way other than completing the blanks.]~~

~~[The following targets must always be used. Except for the Resolution Test Chart, targets will be furnished by ARM. Use a bold tipped black marking pen and print clearly to complete targets. Sample targets are in Appendix A. (Do not use these when filming; they are samples only!)]~~

Responsibilities for targets are as follows:

1. All title targets must be completed and provided by ARM personnel and are not available without contacting ARM. Use of title targets that have not been provided by ARM will be cause for automatic rejection.
2. All resolution test chart targets must be obtained by the Vendors, at their own expense.
3. Remaining targets may be found on the KDLA website. They should not be altered in any way.

~~[The following targets must always be used.]~~

Target 1 – Resolution Test Chart

The Resolution Test Chart can be purchased from AIIM(<http://www.aiim.org/>). ~~Laboratories must not use the printed illustration included in this procedural guide for making tests.]~~

~~[Target 1(a) – used with planetary cameras or~~

~~Target 1(b) – used with rotary cameras]~~

Target 2 – Density Target

Blank pages used to test that the density of a roll of microfilm meets the standardized range.

Target 3[2] – Camera Operator's Certificate and Certificate of Authenticity

Identifies the agency for which filming is being done, [agency or] the certified laboratory doing the filming, date of filming, reduction ratio, and camera operator's printed name and signature, which certifies[certifying] that the micro-photographs on the film are true and accurate reproductions of the original records.

Target 4[3] – Title Target

All title targets must be completed and provided by ARM personnel and are not available without contacting ARM. Use of title targets that have not been provided by ARM will be cause for automatic rejection. Title target will include[includes] name of agency whose records are being filmed, exact title of record (with any variant title on second line) as listed in the agency's Records Retention Schedule, series number, inclusive dates, index information, and filming arrangement (information on the sequence in which materials were filmed, i.e., chronological, numerical, alphabetical by first letter of last name, etc.). The Comments section should include notes on anything unusual or different about the record being filmed, or anything that might set it apart and that needs to be brought to the attention of the reader of the film.

Target 5[4] – Begin and Roll No.

The roll number is assigned by the camera operator.

Target 6[5] – Continued and Roll No.

Used instead of the Begin and Roll No. Target (Target 5) when a roll begins in the middle of a case file. The roll number is assigned by the camera operator.

Target 7[6] – End of Book

Used at the end of each book filmed.

Target 8[7] – End of Roll

Used at the end of each roll filmed.

Target 9[8] – To be Continued

Used when a file or book is not completed on one roll. The End of Roll Target (Target 8) is filmed after this target.

NOTE: If retakes, records additions, or corrections are necessary, the following ARM targets must be used:

Target 10[9] – Start of Retake

Includes roll number, title of record series, date, signature of camera operator, and laboratory doing filming.

Target 11[10] – End of Retake

Used at the end of the retake.

Target 12[11] – Start of Records Additions

Includes roll number, title of records being added to roll, date, signature of camera operator, and laboratory doing filming.

Target 13[12] – End of Records Addition

Used at the end of the records addition.

Target 14[13] – Correction

This target should be filmed immediately following a filming mistake or a possible filming mistake, followed by the proper filming. (See Section 4 – 4.1 – C Additional Targets)

A. Required targets

The following [six] targets are always necessary on each roll. Additional targets may be necessary in filming some records. These targets must be in the proper order (although they may be filmed side by side, two to a frame, on 35mm film). Each is followed by the page number of the sample target.

1. Resolution Test Chart – Planetary or Rotary[, followed by a filmed blank white sheet of paper]

2. Density Target – blank pages for a density test to be performed.

3[2]. Camera Operator's Certificate and Certificate of Authenticity

4[3]. Title Target

5[4]. Begin and Roll No. or Continued and Roll No., if appropriate

6[5]. End of Roll or To be Continued, if appropriate[, followed by a filmed blank white sheet of paper]

7. Density Target – blank pages for a density test to be performed.

8[6]. Resolution Test Chart – Planetary or Rotary

[The Camera Operator's Certificate and Certificate of Authenticity should be completed by the camera operator. The roll number should be assigned by the camera operator on either the Begin and Roll No. Target or the Continued and Roll No. Target depending on which is necessary.]

B. Local Records targets

For Local Records Program Grant[grant] projects, roll numbers are assigned by the vendor and should begin with number 1 and continue sequentially through the project. (Do not start over with number 1 when the series changes.) [The Title Target must be completed only by an ARM Regional Administrator.] When more than one book is contained on a roll, additional Title Targets (Target 4)[Begin and Roll No. Targets,] and End of Book Targets (Target 7) are necessary for each book; no other targets should be repeated.

The required targets for more than one book on a roll or filming loose documents are:

[Bound Book Filming]	[Loose Document / Case File Filming]
1. Resolution Test Chart, followed by a filmed blank page	1. Resolution Test Chart, followed by a filmed blank page
2. Camera Operator's Certificate and Certificate of Authenticity	2. Camera Operator's Certificate and Certificate of Authenticity
3. Title Target	3. Title Target
4. Begin and Roll No.	4. Begin and Roll No.
5. End of Book, followed by a filmed blank white sheet of paper	5. End of Roll, followed by a filmed blank white sheet of paper
6. Title Target	6. Resolution Test Chart]
7. Begin and Roll No.	
8. End of Book	
9. Title Target	
10. Begin and Roll No.	
11. End of Book, followed by a filmed blank white sheet of paper	
12. End of Roll	
13. Resolution Test Chart]	

Bound Book Filming	Loose Document / Case File Filming
1. Resolution Test Chart	1. Resolution Test Chart
2. Density Target	2. Density Target
3. Camera Operator's Certificate and Certificate of Authenticity	3. Camera Operator's Certificate and Certificate of Authenticity
4. Begin and Roll No. Target	4. Begin and Roll No. Target
5. Title Target	5. Title Target
6. End of Book	6. End of Roll
7. Title Target	7. Density Target
8. End of Book	8. Resolution Test Chart
9. Title Target	
10. End of Book	
11. End of Roll	
12. Density Target	
13. Resolution Test Chart	

C. Additional Targets

The only other targets that may be used are Correction Targets, Side Targets or Filming Notes, Retake Targets, Records Additions Targets, and Continuation Targets. Every use of an additional target requires corresponding notation on the transmittal.

Correction Target

This target should be filmed immediately following a filming mistake, or a possible filming mistake, and followed by the proper filming. The correction targets should not be filmed on top of the original documents. Either remove the original or use white paper to cover the original. For example, this target should be used when:

- an object covered the item to be filmed in whole or in part
- the wrong page was filmed
- a page was filmed out of focus, or
- a page was filmed upside down

Side Targets or Filming Notes

These targets are used to explain any abnormality on any specific page in the record being filmed. They should only be used on a page where a particular problem [actually] exists, not as a default target on every page. They indicate to the user that the problem is with the record, not the camera, film, or camera operator. ~~[These targets are furnished by ARM.]~~ Side targets are the responsibility of the laboratory. Laboratories may choose side target formats to best communicate irregularities. If filming on a planetary camera, a small side target (approximately 1" x 2"), or filming note reflecting the condition of the record, should be filmed on the periphery of the image containing the record on which an abnormality occurs, preferably parallel to the writing on the record. These targets should not cover any [or all of] of the document itself. If records are being filmed on a rotary camera, print the target on a white sheet of paper and film it in front of the page to which it pertains. Examples of notes in these types of targets are:

Ink Spots
Blurred Record
Insert Affixed to Page

Damaged Record
Faded Record
Book Bound too Tightly

Photostatic Copy Present
Original Features Cut Text

When pages of a book are missing or numbered incorrectly, a target made by the laboratory [~~lab~~] should be filmed where the problem occurs. This target should be filmed between pages of the document (not at the bottom of a page) and may be up to the size of the record pages being filmed. For example, these targets might read:

- Pages 10 – 20 Missing
- Pages Numbered 10 – 20 Are Out of Order
- Pages 45 – 51 Misnumbered
- ~~[No Pages 18 – 19]~~
- Pages 405 – 450 Are Blank
- Pages 25 – 26 Are Glued Together

This indicates that the pages are filmed in the order in which they appear in the book. Use of these side targets or filming notes will avert the need for ARM to request unnecessary retakes.

Continuation Targets

These targets can only be used when filming one record (book, folder, etc.) that is too long to fit on one roll of film. In such a case, the To be Continued Target (Target 9) replaces the End of Roll Target (Target 8) on the first roll and the Continued and Roll No. Target (Target 6) replaces the Begin and Roll No. Target (Target 5) on the second roll. (All other targets remain the same.) ~~[These targets are not to be used when more than one book is filmed on a roll and the last book exceeds the space available on the roll. In such a case, use a Records Additions Target. These continuation targets are not used in local records filming.]~~

Records Additions Targets

These targets are used when additional information, which formed part of the original record, but was not filmed with that record, is located. For local records microfilming, the part being added must be less than one whole book. These targets, the Start of Records Additions and the End of Records Additions, are furnished by ARM and completed by the camera operator. The records additions may be filmed at the end of the corresponding roll if they are discovered before the roll is removed from the camera. It is more often the case that they are filmed on a separate roll and spliced to the original. ~~[(All splicing is to be done by ARM.)]~~ A record addition or retake must be able to fit on the reel to which it will be spliced. Roll numbers for both records additions and retakes must be the

same as the original roll to which they will be spliced. The information and target order is the same for retakes. (Note that the roll number is at the top of the target.)

Retake Targets

The Start of Retake Target and End of Retake Target are used in refilming [unsatisfactory] images on the original roll, [such as]for example, illegible images or missed pages. These targets are furnished by ARM and completed by the camera operator. The following information must be entered on the Start of Retake Target:

1. _____ Resolution Chart
2. _____ Filmed blank white sheet of paper
3. _____ Roll Number (to which the retake will be spliced)
4. _____ Title of Record Series
5. _____ Date
6. _____ Signature of Camera Operator
7. _____ Name of Micrographics Laboratory doing filming]

1. Roll Number (to which the retake will be spliced)
2. Title of Record Series
3. Date
4. Signature of Camera Operator
5. Name of Micrographics Laboratory doing filming

A Resolution Chart and Density Target must follow the Start of Retake Target.

The End of Retake Target should be filmed after the last document being refilmed.

In the case of multiple books from the same roll that require retakes, all retakes must be refilmed on the same roll to eliminate multiple splices. Refilmed images should be added to the end of the original roll.

4.2 — Local Records filming requirements only

~~When retakes are needed for pages from one book on a roll, only one Start of Retake and End of Retake Target is needed. When retakes are needed from several books on the same roll, they must be refilmed on the same roll to eliminate multiple splices on a roll. If any retake image is bad, all retakes for that roll fail and must be refilmed because a retake of a retake is not acceptable.~~

~~The following order should be observed for retakes from multiple books on the same roll, and, for different rolls:~~

- ~~• Resolution Test Chart~~
- ~~• Start of Retake Target (film retake for first book on the first roll here)~~
- ~~• End of Retake Target~~
- ~~• Start of Retake Target (film retake for the second book on the first roll here)~~
- ~~• End of Retake Target (space about 12 inches)~~
- ~~• Resolution Test Chart~~
- ~~• Start of Retake Target (film retakes for the first book on the second roll here)~~
- ~~• End of Retake Target~~

~~As shown above, retakes for different rolls may be filmed on the same roll if about 12 inches of blank film is left between them to facilitate splicing. Retakes for different rolls may be filmed on separate rolls, if preferred.~~

~~ARM will provide targets to the vendors. Contact ARM if applicable target does not exist.]~~

4.2 [A] Filming Requirements

Reduction Ratio

If a reduction ratio [selected]is greater than 35X the film will not be accepted. [using both 16mm microfilm and a large planetary camera (e.g.: Kodak MRD2/30), the laboratory must get written authorization from the Local Records Branch Manager, ARM, KDLA, before proceeding with a Local Records grant project.]

Photostats

All photostats [filmed on a planetary camera] require a minimum of two (2) varying exposures to compensate for inconsistencies in copy quality and to capture any information written in the margin, such as marginal releases. [If projects include photostats, the vendor should anticipate this extra cost and film space when preparing a bid.]

Splitting Books

Records must be filmed as they are targeted. A book will not be split between rolls unless it is too long to fit on a single roll (See Continuation Targets). [If a book will not fit on the roll or if the camera runs out of film, a records addition should be done for the remainder of the book. By planning ahead, records additions for this purpose can usually be avoided.]

Filming Order

Laboratories shall ensure that records are filmed in the proper (original) order. [To ensure that local records are filmed in the proper (original) order, the Local Records Regional Administrator will complete all title targets on-site, determining original order or filming sequence and numbering the title targets in that sequence. The numbers will be placed at the lower right corner of the target. A corresponding number will be placed on the appropriate record (i.e., book, drawer, box) using a temporary paper strip for this purpose.] Any deviations from standard recording practices, filing order, arrangement, or other special conditions will be described on the Title Target as provided by ARM. These notes will be transcribed onto the catalog/transmittal documents.

Filming Inserts and Oversize Pages

All inserts and oversized pages must be filmed in their original place and sequence within a record. When possible, a plain white sheet of paper should be placed behind the insert being filmed. Anything under or on the back of inserts should also be filmed. Oversize pages and foldouts, such as maps and plats, should be filmed using multiple shots, when necessary, to capture the entire page. A slight overlap of shots should be used to aid in comprehension and reconstruction. When filming an insert, use a side target to indicate the special character of the record being filmed.

Blips or Image Location Marks

A blip, also known as an image location mark or document mark, is an optical mark, usually rectangular, within the recording area below or above the image on a roll of microfilm. It is used for counting images or frames automatically.

[Blipping Instructions

Targets

1. ~~Each Title Target gets a two-level blip.~~
2. ~~Each Start of Retake and Start of Records Additions Target gets a two-level blip.~~
3. ~~No other target gets a blip.~~

Pages or Documents

1. ~~Each image/frame, including inserts and indexes, gets a single-level blip.~~
2. ~~Each retake and record addition image/frame gets a single-level blip, whether the page or document is numbered or not.~~
3. ~~When filming multiple images of the same page or document, put the blip only on the first image.~~
4. ~~Blip documents after corrections.~~

Photostats

~~When filming photostats, film the darker shot first in order to get the blip dark enough to be read on automated readers.~~

Density

~~The density of the blips must be at least a .8 in order to be easily recognized by the microfilm reader.]~~

Blip

~~Blips specified in the Local Records grant agreement will be checked to ensure adherence to the agreement specifications. Blips must conform to size and placement standards explained in ANSI/NMA MS8-1979, Revision of ANSI PH5.20-1974, NMA NS8-1974. The relative position of the blip to the document must be consistent throughout a roll.~~

1. ~~Place all blips at the leading edge of the image/frame in the lower left blip channel.~~
2. ~~The blip channel must be free of all other images.~~
3. ~~The retrieval scheme will be explained in the agreement and must be adhered to or the film will not be accepted.~~

5.0 Microfilm Formats

~~[The film type and film format must be as specified in the Local Records grant agreement.]~~

Emulsion Scratches

~~Physical removal of blips using a razor blade (or other abrasive object) will render the roll unacceptable. Emulsion scratches that might call into question the information on the film will require retakes. Film must meet all requirements listed in this section in order to pass quality inspection. Any roll that fails to pass is returned to the vendor for refilming, with a written explanation.~~

Miscellaneous Requirements

~~Foreign objects, including light streaks, other pages appearing in the frame, (especially when obscuring information), and illegible images may cause rejection of the film or require retakes. ARM will make the final determination in such cases.~~

Film Editing

~~Film should be edited by the vendor, page by page, on a film reader that will not scratch the emulsion. Some items to look for include:~~

- ~~• blurred pages~~
- ~~• missing/out-of-order pages~~
- ~~• folded/wrinkled pages~~
- ~~• emulsion scratches~~
- ~~• foreign objects~~
- ~~• light streaks~~

~~The film should be rolled on the reel with the emulsion side on the inside. When unwound, the blips should be on the inside face of the film.~~

Roll Boxes

~~All microfilm rolls must be sent in individual inert plastic boxes only. Specifications for such boxes are available from ARM.~~

~~All boxes, including those for retakes and records additions, must have labels with the following identifying information typed on them. (This information should match that on the Title Target and transmittal exactly.)~~

~~The label should include:~~

- ~~1. Roll Number~~
- ~~2. Agency Name~~
- ~~3. Series Title/Unit Identifiers (book numbers, letters, etc.)~~
- ~~4. Year Span of Records on Roll~~

SAMPLE TOP LABEL

Franklin County Roll No. 12345
Deed Books A-C
1850-1875

~~Appropriate size labels should be used. Labels should not tape the box closed or inhibit its opening. These labels must use permanent adhesive. Rolls without labels specified as above, will be returned to the vendor to be corrected.~~

Transmittal forms are furnished by ARM and completed by the vendor. Transmittals must be typed. (See Appendix B)

Shipping Film to ARM

All film from one project should be shipped at one time, unless ARM is notified in advance that the project is large, and will be sent in partial shipments. All shipments of microfilm should be sent to ARM with a shipping statement, completed transmittals, and, when the shipment is complete, a copy of the invoice. (Transmittals are not shipping statements.) Rolls and transmittals should be packed in sequential order.

Shipping statements should include the following information:

1. Vendor Name
2. County or City Name (agency that created the records)
3. Total Number of Original Rolls
4. Total Number of Retake and/or Records Additions Rolls
5. Titles and Book Numbers (ex: Deed Books A-Z, Will Books A-M)
6. Partial or Complete Shipment

Splicing

All splicing of records additions, retakes, and leaders will be done by ARM.

Quality Control

Every roll of film is inspected by the Micrographics Quality Assurance staff for technical and informational quality control. Film must meet all requirements listed in this section in order to pass quality inspection. Any roll that fails is returned to the vendor with a written explanation and must be refilmed. Film is also returned if the correct procedures for transmittals, shipping, and boxes are not followed. An acceptance letter will be sent from ARM after a complete shipment passes all tests.

Payment Release

A written statement of approval authorizing payment for film contracted by a local official will be issued by the Local Records Branch, ARM, only after the security microfilm is received by ARM, passes quality control, and is accepted for storage.]

The formats described in ANSI Standard ANSI/AIIM MS23-2004, Specifications for 16mm and 35mm Microfilms in Roll Form, shall be used for microfilming source documents on roll film.

5.0[5.1] Microfiche

Standards for computer output microfiche are outlined in ANSI/AIIM MS23-2004, Production, Inspection, and Quality Assurance of First-Generation, Silver Microforms of Documents and ANSI-NMA MS2-1978, Format and Coding for Computer Output Microfilm (COM).

Dry silver COM [films] are not approved as archival and will not be accepted for security storage.

All permanent public records should be filmed on wet process, silver halide film. ARM will accept silver halide copy film produced from the original dry silver COM [film] as a permanent record. If the processing is of the reversal type, it must be full photographic reversal, i.e., develop, bleach, expose, redevelop, fix, and wash.

For each record series being filmed, the fiche heading strip should display a consecutive fiche number. This number should be left-justified on the heading strip.

Microfiche from hardcopy records

- A. The agency may use a preferred arrangement on the eye readable title.
- B. The first frame (row one, column one) of each fiche must be the ARM supplied Title Target filled out appropriately.
- C. The second frame (row one, column two) must be a Resolution Test Chart (NB1010 or equal).
- D. The last fiche produced in a production run must have a Title Target, Camera Operator's Certificate and Certificate of Authenticity, a target attesting to the date span, and a target showing the inclusive fiche numbers

of this particular run.

- E. The ARM target fiche will be filed with the original fiche in the microfilm storage vault and used to authenticate the fiche, in case of any legal question.

COM generated Microfiche

NOTE: Since there is no method for putting an ARM Title Target on this film, a target is not required to be filmed.

- A. An ARM Title Target will be filled out and shipped with the fiche when it is sent to ARM for storage.
- B. The person who requested the fiche must be the individual who signs the Microfilm Quality Evaluation form that attests that all the records were filmed in their entirety.
- C. These two forms will remain with the transmittal throughout its life.
- D. These two forms will be used to attest to the legality and completeness of the microfiche in case it would ever come into question.

Microfiche is not used in any roll format and it is not stored in ARM's security vault in a roll format. All fiche are cut into individual segments, which are normally 4" x 6" and stored in metal cabinets in the vault. No Begin and Roll No. and End Targets are necessary on microfiche.

5.1[5.2] Aperture cards

Aperture cards in their original form are not archival. The card stock is acidic and will eventually deteriorate. The glue, which holds the film chips in the card, is also acidic. It will eventually ruin the original film, and can lose its adhesiveness, causing the film to become separated from the card, jeopardizing file integrity. The file integrity of an aperture card system is hard to maintain since a lost or stolen card destroys the validity of the file.

This medium must be reformatted before it can be stored in an archival environment. When dealing with a project involving aperture cards, please contact ARM for the latest requirements for reformatting.

5.2[5.3] Blips or image location marks

All images on 16mm film should be blipped with at least a single-level blip. ~~[The size of the single-level blip is explained in ANSI/NMA MS8-1979, Revision of ANSI PH5.20-1974, NMA MS8-1974.] Blips must conform to size and placement standards explained in ANSI/NMA MS8-1979, Revision of ANSI PH5.20-1974, NMA NS8-1974. The relative position of the blip to the document must be consistent throughout a roll.~~

1. Place all blips at the leading edge of the image/frame in the lower left blip channel.
2. The blip channel must be free of all other images.
3. The retrieval scheme will be explained in the agreement and must be adhered to or the film will not be accepted.

For large planetary filming (such as that done for KDLA Local Records grant projects), the second-level blip will be exactly twice as wide as the single-level blip on the film; the tri-level blip, if needed, will be three times as wide as the single-level blip. On rotary cameras and newer small tabletop planetary cameras, the equipment automatically calibrates the blip size.

Prior to filming in 16mm format, the size, number, and placement of the blips on the film will be determined according to the retrieval scheme required. Once the placement (the relative position of the blip to the document) is determined, it must be consistent throughout the roll. If the leading edge is the chosen blip position, all blips must be in that location. Operators shall not alternate blip locations between the leading and trailing edge.

~~[For specific instructions for blip placement in Local Records grant projects, see Section 4.2.]~~

6.0[5.0] Microfilm Quality Control Inspection

Every roll of film is inspected by the Micrographics Quality Assurance staff for technical and informational quality control. Film must meet all requirements listed in this section in order to pass quality inspection. Any roll that fails will result in KDLA issuing a written explanation for the failure and must be refilmed. Film is also rejected if the correct procedures for transmittals, shipping, and boxes are not followed. A written notice of acceptance will be sent

from ARM after a complete project passes all tests.

Reasons for Failure to Pass Microfilm Quality Control:

**Applies only to LRPG

FORMATING	
Density (permissible range - .70 to 1.30) <ul style="list-style-type: none"> Missing density targets Page out of range Extreme uneven density on a page 	Resolution (minimum allowed – 100 lpm) <ul style="list-style-type: none"> Target not filmed at front and end Front or end target below standard Wrong resolution test chart (rotary/planetary)
Film Size and Format** <ul style="list-style-type: none"> Wrong film size according to grant Wrong format according to grant 	Blips (Image Location Marks)** <ul style="list-style-type: none"> Not as specified in grant or other instructions Wrong size Incorrect placement Extra / missing blips

TARGETS	
Camera Operator's Certificate and Certificate of Authenticity <ul style="list-style-type: none"> Target missing Missing information on target Non-ARM target Target filmed out of order 	Title Target <ul style="list-style-type: none"> Missing any title target Missing or incorrect information on title target Non-ARM target
Begin and Roll No. / End Targets <ul style="list-style-type: none"> Target missing Non-ARM target Target filmed out of order 	Continued and Roll No. / To be Continued Targets <ul style="list-style-type: none"> Used incorrectly
Start / End of Retake Targets <ul style="list-style-type: none"> Either target missing Incorrect target used Incorrect or missing information 	Start / End of Records Additions Targets <ul style="list-style-type: none"> Either target missing Incorrect target used Missing or incorrect information
Side Targets or Filming Notes <ul style="list-style-type: none"> Used incorrectly 	Correction Target <ul style="list-style-type: none"> Used incorrectly

DOCUMENT / FILMING	
Damaged Film <ul style="list-style-type: none"> Chemical or water spots on film Holes, tears, severe creases Emulsion scratches Redox spots 	Foreign Objects Filmed (ex: dirt, hands, paper, keys, bugs, clips, etc.) <ul style="list-style-type: none"> Objects possibly obscuring information Not obscuring information, but excessive or distracting

<u>Documents Filmed Contents</u> <ul style="list-style-type: none"> • <u>Blurred (any portion)</u> • <u>Not completely filmed (out of frame, covered, folded, document image cut off, wrinkled, etc.)</u> • <u>Illegibility as a result of scanning</u> • <u>Missing pages</u> • <u>Filmed out of order</u> • <u>Light / dark streaks</u> • <u>Upside down</u> 	<u>Photostat Documents</u> <ul style="list-style-type: none"> • <u>Less than 2 shots of each page</u> • <u>No exposure adjustment evident between the 2 shots</u> • <u>Has 2 shots but too dark / light or illegible</u>
<u>Grant Evaluation**</u> <ul style="list-style-type: none"> • <u>Doesn't match records filmed</u> • <u>All listed records weren't filmed</u> 	<u>Other</u> <ul style="list-style-type: none"> • <u>Not silver halide original film</u> • <u>More than one record series filmed on one roll</u> • <u>One book partially filmed on two rolls</u> • <u>Wrong documents filmed (according to title target)</u> • <u>Wrong documents filmed (according to grant)**</u> • <u>Books filmed out of order</u> • <u>Excessive duplication of content</u>

SHIPPING AND FORMS	
<u>Transmittals</u> <ul style="list-style-type: none"> • <u>Missing with submission to KDLA</u> • <u>Not typed</u> • <u>Information doesn't match film</u> • <u>Information out of order</u> • <u>Information missing</u> • <u>Notes about abnormality of records missing (ex: no book J, etc.)</u> • <u>More than one record series on a page</u> • <u>More than one front page per record series per project</u> 	<u>Shipping Statement**</u> <ul style="list-style-type: none"> • <u>Missing with submission to KDLA</u> • <u>Doesn't match shipment</u> • <u>Missing information</u>
<u>Box Labels</u> <ul style="list-style-type: none"> • <u>Missing</u> • <u>Not typed</u> • <u>Missing information</u> • <u>Extra information (ex: filming date)**</u> 	

[Density (permissible range — .70 to 1.30)-
 -page out of range-
 -extreme uneven density on a page-

Resolution (minimum allowed — 100 lpm)-
 -target not filmed at front and end-
 -front or end target below standard-
 -non-ARM resolution test chart-
 -wrong resolution test chart (rotary/planetary)-

~~Camera Operator's Certificate and Certificate of Authenticity~~

- ~~-target missing-~~
- ~~-missing information-~~
- ~~-non-ARM target-~~
- ~~-out of order-~~

~~Title Target~~

- ~~-missing first title target-~~
- ~~-missing other than first title target-~~
- ~~-missing or incorrect information-~~
- ~~-non-ARM target-~~
- ~~-illegible-~~

~~Begin and Roll No./End Targets~~

- ~~-target missing-~~
- ~~-non-ARM target-~~
- ~~-wrong location-~~

~~Continued and Roll No./To be Continued Targets~~

- ~~-used incorrectly-~~

~~Start/End of Retake Targets~~

- ~~-either target missing-~~
- ~~-incorrect target used-~~
- ~~-incorrect or missing information-~~
- ~~-illegible-~~

~~Start/End of Records Additions Targets~~

- ~~-either target missing-~~
- ~~-incorrect target used-~~
- ~~-illegible-~~
- ~~-missing or incorrect information (needs title, agency, pages, roll no., authenticity complete)-~~

~~Correction Target~~

- ~~-target missing-~~
- ~~-wrong location-~~

~~Side Targets or Filming Notes~~

- ~~-used incorrectly-~~
- ~~-used where not needed-~~

~~Blips (Image Location Marks) **~~

- ~~-not as specified in grant or other instructions-~~
- ~~-wrong size-~~
- ~~-incorrect placement-~~
- ~~-extra/missing blips-~~

~~Damaged Film~~

- ~~-chemical or water spots on film-~~
- ~~-holes, tears, severe creases-~~
- ~~-emulsion scratches-~~

~~Foreign Objects Filmed (ex: dirt, hands, paper, keys, bugs, clips, etc.)~~

- ~~-objects possibly obscuring information-~~
- ~~-not obscuring information, but excessive or distracting-~~

Film Size and Format **

- wrong film size according to grant
- wrong format according to grant

Documents

- blurred (any portion)
- not completely filmed (out of frame, covered, folded, document image cut off, wrinkled, etc.)
- illegible
- missing pages
- filmed out of order
- light/dark streaks
- upside down

Photostat Documents

- less than 2 shots of each page
- no exposure adjustment evident between the 2 shots
- has 2 shots but too dark/light or illegible

Other

- not silver halide original film
- more than one record series filmed on one roll
- one book partially filmed on two rolls
- wrong documents filmed (according to title target)
- wrong documents filmed (according to grant) **
- books filmed out of order

Transmittals

- missing
- not typed
- information doesn't match film
- information out of order
- information missing (including index information)
- notes about abnormality of records missing (ex: no book J, etc.)
- more than one record series on a page
- more than one front page per record series per project

Box Labels

- missing
- not typed
- missing information (top: agency, title, book no., roll no., date span, side used for specific listing of books)
- extra information (ex: filming date) **

Shipping Statement **

- missing
- doesn't match shipment
- missing information

Grant Evaluation **

- doesn't match records filmed
- all listed weren't filmed

** Pertains only to Local Records grant projects.]

Explanations of Reasons for Failure to Pass Microfilm

Emulsion Scratches

Physical removal of blips using a razor blade (or other abrasive object) will render the roll unacceptable. Emulsion scratches that might call into question the information on the film will require retakes.

Miscellaneous Requirements

Foreign objects, including light streaks, other pages appearing in the frame, (especially when obscuring information), and illegible images may cause rejection of the film or require retakes. The film should be rolled on the reel with the emulsion side on the inside. When unwound, the blips should be on the inside face of the film.

Roll Boxes

All microfilm rolls must be sent in individual boxes that meet best archival practice standards.

All boxes, including those for retakes and records additions, must have labels with the following identifying information typed on them. (This information should match that on the Title Target and transmittal exactly.)

The label should include:

1. Roll Number
2. Agency Name
3. Series Title/Unit Identifiers (book numbers, letters, etc.)
4. Year Span of Records on Roll

SAMPLE TOP LABEL

Franklin County Roll No. 12345 Deed Books A - C 1850 - 1875

Appropriate size labels should be used. Labels should not exceed the size of the top of the microfilm roll box. Labels should not be used to tape the box closed or inhibit its opening. These labels must use permanent adhesive. Rolls without labels will not pass quality control inspection.

Transmittal forms are furnished by ARM and completed by the vendor. Transmittals must be typed. For the most up to date transmittal and instruction refer to the KDLA website.

Shipping Film to ARM

All film from one project should be shipped at one time, unless ARM is notified in advance that the project is large and will be sent in partial shipments. All shipments of microfilm should be sent to ARM with a shipping statement, completed transmittals, and, when the shipment is complete, a copy of the invoice (Transmittals are not shipping statements). Rolls and transmittals should be packed in sequential order.

Shipping statements should include the following information:

1. Vendor Name
2. County or City Name (agency that created the records)
3. Total Number of Original Rolls
4. Total Number of Retake and/or Records Additions Rolls
5. Titles and Book Numbers (ex: Deed Books A-Z, Will Books A-M)
6. Partial or Complete Shipment

All projects should use the following shipping address:

Micrographics Quality Assurance
Kentucky Department for Libraries and Archives
300 Coffee Tree Rd.
Frankfort KY, 40601

Payment Release **

A written statement of approval authorizing payment for film contracted by a local government agency will be issued

by the Local Records Branch, ARM, only after the security microfilm is received by ARM, passes quality control, and is accepted for storage.]

~~[7.0 Transfer, Evaluation, and Destruction of Public Records-~~

~~Microfilm produced, processed, and duplicated by the agency and sent to ARM for security microfilm storage.-~~

~~Agency-~~

- ~~1. Sends the entire shipment of security microfilm and the Transmittal (including a roll by roll listing) for the security microfilm to the Electronic Records Branch, ARM.-~~

~~Electronic Records Branch, ARM-~~

- ~~2. Tests the microfilm for quality. (If microfilm quality is not acceptable, the film is returned to the agency and this procedure is aborted.) Completes the ARM section of the Microfilm Quality Evaluation form.-~~
- ~~3. Places the security microfilm in the vault and notes location on the Transmittal. Gives the Transmittal and Microfilm Quality Evaluation form to the State Records Branch, ARM.-~~

~~State Records Branch, ARM-~~

- ~~4. Gives the Microfilm Quality Evaluation form to the State Archivist for signature.-~~
- ~~5. Returns the Microfilm Quality Evaluation form and the agency locator copy of the Transmittal to the agency.-~~

~~Agency-~~

- ~~6. Destroys the hardcopy of the microfilmed records if approved.-~~
- ~~7. Completes the Records Destruction Certificate and retains a copy for its agency file. Sends the Records Destruction Certificate to the State Records Branch, ARM.]~~

7.0[8.0] Digital Imaging

These guidelines for digital imaging are based on, and supported by, Policy Memorandum 99-1, Standards for Conversion of Digital Images to Microfilm Format; and Policy Memorandum 2023-01[2040-04], Storage of Public Records as Scanned Images.

State or local government agencies that use digital imaging systems to maintain records that are scheduled as permanent, according to the Commission's approved Records Retention Schedules, must comply with the KDLA Policy Memorandum on the Storage of Public Records as Scanned Images, 2023-01 [2040-04]. This Policy Memorandum states that "public records scheduled as permanent must have manual, eye-readable counterparts" namely paper or microfilm. Note that this requirement does not apply to "born digital" images.

KDLA recommends the production of security microfilm of permanent records from local agencies for records born digitally. [In order to comply with this Policy Memorandum, a government agency may produce a paper copy or a microfilm copy of the record. Agencies that do not want to create a paper copy must produce a KDLA approved microfilm copy to provide security for those permanent records.]This microfilm must be produced according to the guidelines in this procedural guide. The silver halide master will be maintained by KDLA in security storage.

Microfilm may be produced from the paper record or from digital images. ~~[which are transferred to KDLA.]~~

7.1[8.4] Formatting files

The required format for the files is a standard Tagged Image File Format (.tif extension). These can be compressed using CCIT Group compression (standard fax compression) only. Multi-page tifs are not acceptable. ~~[but any that are in excess of 75 pages should be split into separate files to facilitate creation of microfilm.]~~TIFF files should be in black and white or grayscale format.

All files from one series should be segregated from other series for placement on separate rolls of film. The files should be organized (folded and in order) as they appear on film. The folder level and the file level will have blips

according to their hierarchical level.

Example: The files for deed books or other logical units should be placed in separate folders by book or other unit to indicate a beginning and ending point for that unit on the film. This will facilitate retrieval from the film.

Folder names must be in lower case. If not in lower case, the sorting order will be compromised when transferring to microfilm. Example: doe, jane.tif

The tif files, particularly those produced from paper larger than 8.5 by 11, must be formatted in portrait rather than landscape orientation (vertical rather than horizontal).

Image file size that exceeds 550 KB for individual pages [(not multi-page tifs)] can impede file transfer to film.

When digitizing photostatic copies or other negative images (white text on black background), the vendor will reverse the image to a positive image (black text on white background).

Scanned images are to be 300 dpi or greater.

Enhancement technique standard

An agency may employ a digitized record enhancement technique which is commonly used in scanning software, including but not limited to deskew, despeckle, crop, and rotate. An agency may not use an enhancement technique which alters content that exists in an original record

7.2[8.2] Indexing files

All digitized images must be accompanied by the corresponding general index. This index will be sent to KDLA in the tif format.~~[for transfer to film.]~~

7.3[8.3] Verification of files

The vendors are required to verify each image and inform KDLA of all poor quality (illegible) images. This includes rips, folds, missing and/or obscured text, overlaps, etc. Book and page numbers of the poor-quality documents will be provided to KDLA by the vendor on the transmittal forms.~~[KDLA will then be responsible for the inserting of necessary targets.]~~

7.4[8.4] Transfer of files

KDLA will accept image files via File Transfer Protocol (FTP) through secure link provided by the ARM upon request. KDLA will also accept portable hard-drives and jump-drives containing the images in the required format and organization detailed in the section 7.1. Further details for this transfer will be provided in the contract for the work.

Hard-drives should be labeled and include:

- Agency Name (Grant # included if applicable)
- Vendor Name
- Series Title/Unit Identifiers (book numbers, letters, etc.)

~~[Transfer can be accomplished via CD (CD-R only) or DVD (DVD-R only). KDLA will also accept image files via File Transfer Protocol (FTP). The files can be placed on KDLA's FTP site or KDLA will take the images from an agency's FTP site. Details for this transfer will be provided in the contract for the work.]~~

7.5[8.5] Targets and charts

The following charts and targets should be used for microfilm produced from electronic images:

- Resolution Test Chart
- Density Target
- Camera Operator's Certificate and Certificate of Authenticity
- Title Target
- Begin and Roll No.
- End of Roll

~~[KDLA will also include a "Filmed as Received" statement on all microfilm generated from electronic images received from an outside source.]~~

7.6[8.6] Imaging procedures

It is critical that vendors~~[agencies]~~ have proper scanning procedures in place~~[-in order]~~ to create an accurate and acceptable microfilmed image and to have the copies accepted as valid documentation of agency transactions. Vendors~~[Agencies]~~ should incorporate the following elements in their imaging procedures:

A. Accuracy and completeness of records

A process of inspection must be in place to confirm that imaged documents are legible and that no corners of the original documents were folded or obscured during scanning. This process should include systematic quality control and audit procedures, as well as operational oversight by staff with detailed knowledge of the process or system used to produce the records. Resolution and use of gray scale should be appropriate to capture all needed detail within documents. Similarly, scanned images must capture all colors represented in the original documents when needed to interpret or understand the meaning of the original. The accuracy of the indexing process must also be assured through procedures that visually verify indexes after they have been keyed or created through optical character recognition.

B. Audit trails and security

Audit trails documenting who accessed or used the system, when they used it, and what the results of use were must be maintained. Security measures consistent with guidelines and standards provided in Enterprise Architecture and Kentucky Information Technology Standards (KITS) should be adopted and applied.

C. Equipment maintenance

An effective maintenance program ensuring that scanners, disks, and other storage devices are properly housed and regularly maintained must be in place. Equipment maintenance logs should be kept to document the occurrence of regular maintenance.

D. Compression algorithms

All images should be stored in or converted to compression formats identified in KITS. Currently, the standard requires use of, or an ability to convert to, (formerly CCIT) Group IV .tif.

7.7[8.7] Review of systems by ARM staff

Agencies should review imaging system requirements and contents with appropriate ARM staff. Staff will examine all elements of scanning procedures and the scheduled records series maintained in the system. Records maintained on the imaging system should follow retentions on an appropriate Commission-approved Records Retention Schedule. ARM staff will work to facilitate this review through distribution of a form to be completed by the agency on a regular basis.

7.8[8.8] Waiver of eye-readable requirement

State and local agencies may request to maintain permanent records as digital images without eye-readable backup by petitioning the State Archivist for a waiver of that requirement. The request must include a list of records series, as found on the applicable Commission approved Records Retention Schedule, for which the waiver is being sought. ARM will work with agency staff to review both the elements of the agency's image viewing system, per Policy Memorandum 2010-01, and the nature of the records in question. The State Archivist may provide written authorization if the system and the records are acceptable. This authorization will require the agency staff to review the imaging system and its contents on a regular basis with ARM.

Appendix A: Sample targets

**OPERATOR'S CERTIFICATE
&
CERTIFICATE OF AUTHENTICITY**

THESE RECORDS WERE FILMED FOR

THESE RECORDS WERE FILMED BY

DATE OF FILMING

REDUCTION

CERTIFICATE OF AUTHENTICITY

THIS IS TO CERTIFY THAT THE MICROGRAPHICS APPEARING ON THIS ROLL OF MICROFILM ARE TRUE AND ACCURATE REPRODUCTIONS OF THE ORIGINAL RECORDS.

**THESE RECORDS WERE PRODUCED FROM IMAGED FILES SCANNED BY
[Name of local government agency/vendor]**

PRINTED NAME OF SCANNER/INDEXER

SIGNATURE OF SCANNER/INDEXER

START OF

RETAKE

ROLL NO.:

TITLE OF RECORD SERIES:

THE IMAGES **APPEARING** BETWEEN THIS POINT AND "END OF RETAKE" ARE MICROPHOTOGRAPHS OF RECORDS THAT WERE ILLEGIBLE OR OTHERWISE UNSATISFACTORY ON INSPECTION OF THE ORIGINAL MICROFILM.

CERTIFICATE OF AUTHENTICITY

THE SECTION OF FILM BETWEEN "START OF RETAKE" AND "END OF RETAKE" TARGETS IS A TRUE AND ACCURATE REPRODUCTION OF THE ORIGINAL RECORDS.

DATE

SIGNATURE OF CAMERA OPERATOR

NAME OF MICROGRAPHICS LABORATORY DOING FILMING

Archives and Records Management Division

~~TITLE TARGET~~

RECORDS FILMED FOR (USE NAME OF AGENCY):

TITLE OF RECORD SERIES:

~~_____~~ SERIES NUMBER (AGENCY RECORDS RETENTION SCHEDULE)

EARLIEST DATE OF RECORD: _____ LATEST DATE OF RECORD: _____

_____ INDEX: _____ BOOK

_____ BOUND IN BOOK _____ SEPARATE _____ NONE _____ NOT
APPLICABLE

GENERAL INDEX AVAILABLE: _____ YES _____ NO

**FILMING ARRANGEMENT (ALPHABETICAL, CHRONOLOGICAL,
NUMERICAL, ETC)**

COMMENTS

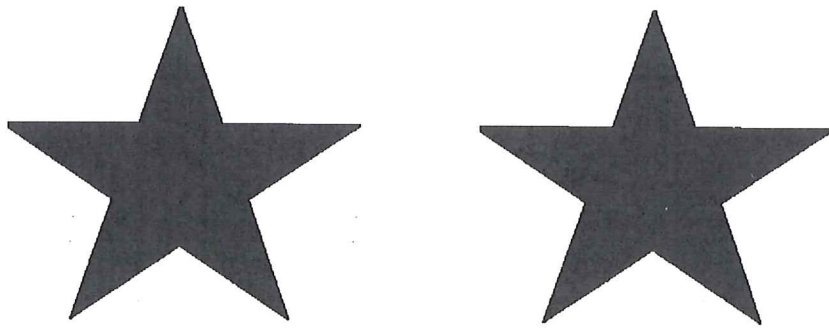
Provided by the Kentucky Department for Libraries and Archives for use in the filming of Kentucky public records, in accordance with standards of the Department's microfilm certification program.

CONTINUED

ROLL NO: _____

IF RETAKES ARE NECESSARY, THEY WILL BE SPLICED AT
THE END OF THIS ROLL.

CORRECTION



PRECEDING IMAGE HAS BEEN REFILMED TO
ASSURE LEGIBILITY OR TO CORRECT A
POSSIBLE ERROR

END

**END
OF
BOOK**

END OF RECORDS ADDITION

**END
OF
ROLL**

BEGIN

ROLL NO. _____

**IF RETAKES ARE NECESSARY, THEY WILL BE SPLICED
AT END OF ROLL**