

725 KAR 1:050. Records management program.

RELATES TO: KRS Chapter 171

STATUTORY AUTHORITY: KRS 171.450(2), 171.520

NECESSITY, FUNCTION, AND CONFORMITY: KRS 171.450(2) requires that the department shall enforce the provisions of KRS 171.410 to 171.740 by appropriate rules and administrative regulations. KRS 171.520 requires the department to prescribe 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 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 also 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 proposed administrative regulation is to assure uniform policies in 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. For the purposes of this program, a local government office should conform to the definition of "public agency" as cited in KRS 61.870(1).

Section 2. Application Procedures. All applications must be submitted on the official application form and include a detailed project description, plan of work, and budget request. Entries on the application form and any required supporting documents should 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 specific conditions set by the department.

Section 3. Categories for Funding. Any project which seeks to improve the management and preservation of local public records will be considered. Categories for funding include, but are not limited to:

- (1) Security microfilming vital (critical for the functioning of the office) or historically significant records using Public Records Division standards. Security microfilming carried out with local records grant funds must be done through a micrographics laboratory or service bureau certified by the department and officially recognized by the State Archives and Records Commission. A list of the names of currently certified laboratories can be obtained from the department.
- (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 major historical significance.
- (4) Purchasing document conservation supplies.
- (5) Establishing a local government records management program or archives. This could 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 will be evaluated on a case-by-case basis. Such funds are not designed for ongoing support, and they cannot be used to replace salary funds already being expended by the local government. They can be used as short term salary supplements.

- (6) Arranging and describing archival holdings, according to standards and/or formats approved by the department.
- (7) Purchasing supplies and equipment which promote preservation of or access to archival materials, including acid-free boxes and folders, shelving, cabinets, and equipment to read microfilm.
- (8) Improving storage conditions, rehabilitating storage areas, installing physical security systems, or providing for adequate environmental conditions in areas where records are stored.
- (9) Codification of ordinances for cities and counties, using a codification services vendor approved by the department. Funds are available for production of initial codes but not for code supplements.

Section 4. Grant Award Periods. Grants are awarded on a state fiscal year basis, and applicants are encouraged to design projects which can be completed during that period. Applicants with longer term needs are encouraged to identify phases into which their projects can conveniently be divided, and they are urged to carry out their work in stages, each of which could be eligible for grant support in future grant cycles, pending satisfactory completion of each stage.

Section 5. Grant Review and Evaluation. Applications are reviewed by the Local Records Grant Review Committee and the State Archives and Records Commission. Recommendations of these groups are forwarded to the commissioner of the department, who makes the final decision on grant awards.

Section 6. Grant Review Criteria. In reviewing applications and recommending the funding of specific projects, reviewers judge the projects by criteria which may include the following:

- (1) Urgency of the problem, significance and age of the records. The commission and other evaluation groups will pay special attention to those 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 strives to assure equity in the geographic distribution of grant projects. The program includes projects in various types and sizes of local governments, and 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 should 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 will give preference to local governments which commit some local resources to the proposed projects. Such support might 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 will 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 could 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 should house records in secure, fire resistant facilities, or should state how the proposed project will safeguard

the records in question. Applicants should take into account the requirements of KRS 171.710 regarding the safeguarding of public records.

(7) Compliance with all legal requirements regarding custody and public access. This would 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.

(8) Commitment by the local government to a comprehensive records management program. This would include regular legal disposition of obsolete records in accord with the records control schedules covering the records of a local government agency, and might 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. Local governments which are awarded grants shall enter into a grant agreement with the department which shall specify performance and reporting requirements. Failure to fulfill the requirements can result in the return of the grant to the department.

Section 8. Selection of Codification Services Vendors. The department, in approving established codification services vendors to participate in codification work funded with local records grants, wants to insure that basic criteria and professional standards are met. Criteria which may include, but are not limited to, the following are used as essential measures to approve prospective codification services vendors:

(1) Corporate stability and/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 which must be met in producing accurate, usable codes of ordinances.

(3) Access to on-line statutory data bases.

(4) Modern word processing or computer assisted composition and typesetting capacity.

(5) The ability to provide code supplement services on a continuing basis, through the use of subsection (4) of this section. Applications from prospective codification services vendors are reviewed by an ad hoc advisory committee to the State Archives and Records Commission.

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