

# **Kentucky State Government Publications Handbook**

**Kentucky Education and Workforce Development Cabinet  
Kentucky Department for Libraries & Archives  
Joint Committee on State Documents  
Marketing Subcommittee**

**300 Coffee Tree Road  
P.O. Box 537  
Frankfort, KY 40602**

**February 2012**



For more information on Kentucky State Publications, see  
<http://kdl.ky.gov/employees/govpubs/Pages/KentuckyStatePublications.aspx>

For assistance submitting a State Publication to KDLA, contact the  
State Records Branch Manager  
Phone: 502-564-8300, ext. 237  
Email: [state.records@ky.gov](mailto:state.records@ky.gov)

For assistance with finding a State Publication, contact the  
Archives Research Room.  
Phone: 502-564-8300, ext. 346, 350  
Email: [kdl.archives@ky.gov](mailto:kdl.archives@ky.gov)

Kentucky Department for Libraries & Archives  
P.O. Box 537  
Frankfort, Kentucky 40602-0537

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## Section 1

### Overview of the Kentucky Department for Libraries and Archives

#### A) Introduction

The Kentucky Department for Libraries and Archives (KDLA) has been the official repository for Kentucky's state agency publications since 1958 and has over 45,000 state publications. These state publications offer a rich source of information on the Commonwealth's history and the state government agencies that have steered its growth for over 200 years.

Kentucky Revised Statutes 171.500 specify that Kentucky state agencies are required to send their publications to KDLA. The Public Records Division (PRD) and State Library Services (SLS) at KDLA work together not only to provide access to the valuable information contained in state agency publications, but also to preserve the publications for future generations.

These two divisions have four major functions:

- Obtaining/identifying state agency publications in print and electronic formats;
- Cataloging/classifying state agency publications to provide public access through a searchable database or catalog;
- Providing information services to state agencies and Kentucky citizens in a timely manner; and
- Preserving state agency publications permanently.

This handbook will focus on two areas:

- Assisting state agency employees in meeting the legal requirements for sending publications to KDLA, and
- Providing information to Kentucky citizens about the state publications collection.

## B) Value of State Publications Collections

The general public benefits from KDLA's efforts to identify, obtain, preserve and provide access to state publications because:

- State publications provide a record of key government functions and activities.
- State publications contain a wide range of information and statistical data.
- Taxpayers save money through the centralization of information that has long-term value for future researchers.
- Archivists and reference librarians assist the public in finding state government information and publications.

State agency personnel benefit from KDLA's efforts to identify, obtain and preserve state publications because:

- Publications will be cataloged into one global, searchable database.
- Reference librarians/archivists are available to assist the public and other government agencies in finding publications.
- A safety net is provided for a last remaining copy of out-of-print materials.
- Permanent, consistent hyperlinks for electronic publications will be maintained through the KDLA Catalog (<http://kdla.kyvl.org>).
- Agencies receive assistance with archival management and historical research and obtain advice on questions associated with statutory provisions governing access to public records.

## C) Definitions

**State publication** means a publication *in any format* that is produced by the authority of, or at the total or partial expense of, a state agency; is required to be distributed under law by the agency; is publicly distributed outside the agency; or is displayed on a public agency web site or made available to the general public digitally by any other means. This may not include selected record material or ephemeral documents that are nonetheless distributed publicly by a state agency. It may also include material that is not slated for public distribution but falls within other parameters of a state publication (e.g., newsletters), if that material is determined to have sufficient intrinsic or historic value. (c.f., 725 KAR 1:040 Section 1 (6))

An **electronic state publication** is a publication created or distributed by a state agency to the general public in digital format, for example on an agency website.

**State Agency** means every state or office, department, division, bureau, board, commission and authority; every state legislative body, and officer, any agency thereof; and any other body which is created by state authority and which derives at least 25% of its funds from state authority. (c.f., KRS 171.410)

**Public records** are defined by Kentucky statute (KRS 171.410 (1)) as "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."

All state publications are public (government) records, but not all public (government) records are state publications. For assistance managing other public (government) records, please contact KDLA's State Records Branch Manager at 502-564-8300, ext. 237.

#### **D) Is It a State Publication?**

**These questions will aid in determining whether a given document is a state publication.**

##### **1. Is it produced or funded by or for a state agency?**

Material that is produced or funded strictly by a private entity with no relationship to a state agency is not a state publication. This is true even if the document is utilized by state agency personnel in their work, in which case it would be reference and informational material. If a publication is produced by a private entity for a state agency, or utilizing state agency funds, it is a state publication.

##### **2. Is it intended for public distribution?**

This may be difficult to judge given the advent of the Internet, the use of which implies the facilitation of public access. Material that may not have been distributed publicly in hard copy can easily be posted onto an agency website for public access. Consultation with state agency Records Officers might help in this regard.

##### **3. Is the information in the document in the nature of an aggregation or a summary?**

State publications tend to be those documents that summarize or document activities or trends over time. Also, publications may be narrower in scope, such as special projects commissioned by a state agency, but which summarize the findings or results of the project.

##### **4. Is the information in the document likely to have enduring historical or research value?**

State publications are maintained permanently because they document the activities of a state agency over time. Researchers may want to come back to these materials to investigate those activities and the effects they have on

society at large. These documents may include those that are not necessarily intended for public distribution, but which serve to provide information to researchers, such as internal agency newsletters.

If you're still unsure whether your document is a state publication, contact your Records Officer, see <http://kdla.ky.gov/records/recmgmtservices/Pages/StateAgencyRecordsManagementContacts.aspx>, or contact the KDLA State Records Branch Manager at 502-564-8300, ext. 237 or email [state.records@ky.gov](mailto:state.records@ky.gov).

## **E) History of the State Publications Program**

State publications were officially recognized as important public records as early as 1839, when Kentucky lawmakers passed legislation to set aside a room in the Capitol for use as the State Library. Over the years, responsibility for maintaining state publications has changed many times. State publications have been stored in various places throughout the Commonwealth, including the Secretary of State's office, the basement of the "Old Capitol" and the State Library facility at Berry Hill. The collection has been located in the current KDLA building since 1982 and continues to grow.

Over the years many inventories and descriptions of state publications have been published, beginning with reports made by the State Librarian to the State Legislature in the early 1800's. The first extensive survey of state publications was conducted from 1908-1910 by Irene Tanner Myers on behalf of the American Historical Association. Despite the challenge of assessing records in the midst of a move from the old capitol into the new building, a detailed report of the extent and contents of state publications was published in 1910. About the same time (perhaps aided by Myers's survey) another assessment was conducted by Adelaide Hasse. This was an effort to identify Kentucky's state publications located in repositories throughout the United States, and these results were published in 1912 as *Index of economic material in documents of the states of the United States. Kentucky, 1792-1904*. In 1936, Dr. Thomas Clark oversaw a Works Progress Administration inventory of Kentucky's public records, which included travel to the University of Kentucky where many records were stored at the time.

The first KDLA coordinator of State Publications began work in 1962. From 1962 to 1984 an annual checklist of Kentucky State Publications was published in paper format. Beginning in 1985, these checklists were produced monthly until 1993. An electronic database, the Kentucky State Publications Database, was used to store state publications bibliographic data from 1989 to 2005, and is available at <http://www.e-archives.ky.gov/kdlasearch/wfsearchbytitle.aspx>.

Beginning in 1992, KDLA and the Government Documents Roundtable of the Kentucky Library Association began a cooperative effort to identify significant

state agency publications. This collection, called the Core Collection of State Publications, was microfilmed and made available to other libraries. In 1995, KDLA began issuing Kentucky State Publications Accessions (KSPA) in electronic format via e-mail, and in 1996 the KSPA was made available on the KDLA website where it was updated regularly until 2003. Links to specific electronic publications were provided, as well as links to other state agency websites.

Upon the retirement of State Publications coordinator in 2005, the Joint Committee of State Documents was formed with members from the Public Records Division, the State Library Services Division, and the Field Services Division.

To help preserve the increasing number of electronic publications, the Public Records Division created the electronic archives (e-Archives) where publications are being stored in digital format. The State Library Services' Collection Access Management Branch is following standard cataloging practices to create bibliographic access for all state publications, including the electronic versions of the publications that are in the e-Archives (<http://kdla.ky.gov/records/e-archives/Pages/default.aspx>).

## **F) Mission and Vision of the Joint Committee on State Documents**

### **Mission**

The Joint Committee on State Documents is a partnership effort between the Public Records Division and the State Library Services Division created to make decisions regarding the acquisition, accessibility, and maintenance of state publications, regardless of format, in order to meet the informational needs of the public and preserve a historical record of the work of state agencies.

### **Vision**

A partnership between the Public Records Division and the State Library Services Division of the Kentucky Department of Libraries and Archives to ensure that the State Publications Program at KDLA acquires, to the greatest extent possible, state publications in all formats through state agency records officers; provides a user-friendly central point of access to state publications, including full text publications when available; and efficiently maintains and preserves state publications, including electronic publications in best possible format, for future use.



## Section 2

# Creating State Agency Publications

### A) Bibliographic Guidelines for Print and Electronic Publications

Regardless of format, a publication's identifying properties (author, title, date of publication, website address) should be included so that future users will be able to cite it accurately. For electronic publications include the same properties, in the same order, as you would for print publications. If the electronic publication is in Adobe PDF, please include the properties in the header of the file.

With each publication it is important to let your audience know the **who, what, when, where, and how** (and sometimes the **why**) of its creation and distribution. This information should always be placed on a **title page** that immediately follows the cover of the publication. If your publication does not have a title page, then you may place information on the cover page. By having this information on your publication, you guarantee that, in the future, your own agency's staff, as well as researchers in general, will be able to understand the context in which it was produced.

It is recommended that the following information be included:

- **Full Title**
  - Display the title prominently.
  - Place the title on the first page (that is, the title page) of the publication, preferably before the publisher's name or other pertinent information. If the publication has a cover, the title on the cover and on the first page should be identical.
  - Use words in the title that are descriptive of the publication's content.
  
- **Full name of issuing agency, name of state, and place of publication**
  - Give credit to both the cabinet and to any specific agency, department, or division responsible for publication.
  - If the publication is the result of a cooperative effort of several agencies or organizations, mention all of them but list the coordinating or funding entity first, or in a way that identifies its special status.
  - If one agency or organization prepares the publication for another entity, give credit to both of them.
  
- **Complete Website Address (if available electronically).**

- **Individual author(s) if appropriate**
  - If it is your organization's policy to credit employees for the works they produce, edit, or compile, mention them also.
  
- **Date**
  - Year of publication; or
  - Volume, issue number, and date for a periodical
  
- **Edition Information**
  - Edition number if published before and revised.
  - Reprint, if published with a new date but material is essentially unchanged.

Format and size in megabytes are other helpful information.

## Section 3

# Procedures for State Agency Contacts

### A) List of Duties for Records Officers / State Agency Staff

State Agency staff in general can consult the agency's Records Officer, as appointed by the agency head, though other staff may hold or share the responsibility for agency publications.

An agency's Records Officer is responsible for sending three (3) copies of each report and publication issued on paper by that agency for general public distribution; and one (1) copy of each state publication in electronic format or issued for general public distribution on the agency's website to the Department for Libraries and Archives, Public Records Division (PRD). Records Officers should forward publications to PRD on the date of issue. Electronic publications should be forwarded in Adobe Portable Document Format (PDF), as attachments to an email message, or as documents on a CD or DVD. (cf, 725 KAR 1:040 Section 2)

For guidance on acceptable publication formats, contact KDLA's Technology Analysis and Support Branch Manager at 502-564-8300, ext. 242.

An agency's Records Officer is also responsible for sending PRD a complete list, in writing, of the agency's current state publications in all formats, annually, at the end of each fiscal year, and upon request. (cf. 725 KAR 1:040 Section 3)

An agency's Records Officer is also responsible for acknowledging receipt of an Electronic Records Transmittal from KDLA. (cf, Appendix C)

<b>The following are examples of the kinds of publications to send:</b>	
annual/biennial reports	newsletters (distributed externally)
audits (financial and management)	opinions (official)
budgets	pamphlets/brochures
codes	performance and funds management reports
conference proceedings	posters
directories	research reports
financial reports	rules and regulations (compilations of)
handbooks/guides	standards
legal reports	state and strategic plans
magazines	statistical compilations
maps	studies
minutes	technical bulletins

<b>The following are examples of the kinds of publications <u>not</u> to send:</b>	
agendas	memorabilia
advertisements	memoranda (including e-mail)
announcements	news or press releases
artwork	newsletters (meant only for employee, faculty, or student use)
calendars	notices of sale
contracts	personnel manuals
forms	policy handbooks (for internal use only)
grant proposals, bids	programs (announcements of)
hearings (transcripts of)	stationery
job announcements	

## **B) Transfer guidelines**

Agencies should send publications to KDLA at the time of the first printing or, if electronic, when placed on the agency web site. It is recommended that agencies establish a procedure to notify KDLA about new electronic publications.

For example an agency could:

- send the URL with any existing paper copy publications or
- notify staff via email when items are published electronically so that the URL can be included in the cataloging database.

**Please note:** Before you discard older state publications, you should contact your agency's records officer or KDLA's State Records Branch Manager at 502-564-8300, ext. 237 or email [state.records@ky.gov](mailto:state.records@ky.gov).

## **C) Agency Contact Information**

An agency's records officer is the first person to contact about the transfer of a State Publication to KDLA. A listing of State Agency Records Officers and contact information appears on KDLA's website:

<http://kdla.ky.gov/records/recmgmtservices/Pages/StateAgencyRecordsManagementContacts.aspx>.

If the publication is to be transmitted to KDLA electronically to become part of the Electronic Records Archives (e-Archives), contact the Manager of the e-Archives, 502-564-8300 ext. 244 or email [statepubs@ky.gov](mailto:statepubs@ky.gov).

KDLA's State Records Branch provides professional instruction and guidance in the transfer of records. For information and assistance, contact the Branch Manager at 502-564-8300, ext. 237.

## Section 4

# Finding State Publications at KDLA

- The KDLA Catalog is available at <http://kdla.kyvl.org>. The Catalog allows you to limit your search to state government publications by selecting "State Government Publications" under "Limit to."
- The Kentucky State Publications Database with information on over 20,000 state publications from 1792 to 2005 is available at <http://kdla.ky.gov/employees/govpubs/Pages/KentuckyStatePublications.aspx>. You may search by title, agency, date, and subject. It will display information on the cabinet, agency, and title of the publication and KDLA's holdings, such as: format, availability, dates, and physical description (e.g. number of pages).
- State Publications at KDLA are made available to the public through the Archives Research Room (<http://kdla.ky.gov/researchers/Pages/visitingthearchives.aspx>).
- Electronic state publications at KDLA are available through the Electronic Records Archives or e-Archives (<http://dspace.kdla.ky.gov:8080/jspui/>).
- KDLA's professional staff is also available to assist you. Contact the Archives Research Room or the State Library at 502-564-8300 or toll-free at 800-928-7000.

# Appendix A

## Statutes and Regulations (Print and Electronic)

### **KRS 171.450 Department procedures and regulations.**

- (1) The department shall establish:
  - (a) Procedures for the compilation and submission to the department of lists and schedules of public records proposed for disposal;
  - (b) Procedures for the disposal or destruction of public records authorized for disposal or destruction;
  - (c) Standards and procedures for recording, managing, and preserving public records and for the reproduction of public records by photographic or microphotographic process;
  - (d) Procedures for collection and distribution by the central depository of all reports and publications, except the Kentucky Revised Statutes editions, issued by any department, board, commission, officer or other agency of the Commonwealth for general public distribution after July 1, 1958.
- (2) The department shall enforce the provisions of KRS 171.410 to 171.740 by appropriate rules and regulations.
- (3) The department shall make copies of such rules and regulations available to all officials affected by KRS 171.410 to 171.740 subject to the provisions of KRS Chapter 13A.
- (4) Such rules and regulations when approved by the department shall be binding on all state and local agencies, subject to the provisions of KRS Chapter 13A. The department shall perform any acts deemed necessary, legal and proper to carry out the duties and responsibilities imposed upon it pursuant to the authority granted herein.

### **725 KAR 1:040 Collection and distribution of reports and publications.**

RELATES TO: KRS 171.500 STATUTORY AUTHORITY: KRS 171.450  
NECESSITY, FUNCTION, AND CONFORMITY: KRS 171.450 requires the department to establish procedures for collection and distribution by the central depository of all reports and publications issued by any department, board, commission, officer or other agency of the commonwealth for general public distribution. This administrative regulation establishes collection and distribution procedures for reports and publications.

Section 1. Definitions. (1) "Department" is defined in KRS 171.410(2).

(2) "Division" is Public Records Division in the Department for Libraries and Archives.

(3) "Nonstate publication" means a brochure, public agency press release, internal procedure manual, internal newsletter, inter- and intraoffice correspondence and memorandum, and material designated by law as confidential.

(4) "Publication number" means a unique identifier assigned to state publications in the department's collection.

(5) "Records officer" is the public agency employee who represents his unit of government in its relations with the division, as defined in 725 KAR 1:010.

(6) "State publication" means a publication in any format that is produced by the authority of, or at the total or partial expense of, a state agency, is required to be distributed under law by the agency, is publicly distributed outside the agency, or is displayed on a public agency web site or made available electronically by any other means.

Section 2. (1) The records officer of each agency or department of state government shall be responsible for depositing with the Department for Libraries and Archives, Public Records Division, three (3) copies of each report and publication issued on paper by that agency for general public distribution. Publications shall be forwarded to the division on the date of issue.

(2) The records officer of each agency shall be responsible for depositing with the division one (1) copy of each state publication held in electronic format or issued for general public distribution on the agency's web site. Publications shall be forwarded to the division on the date of issue. Agencies shall forward electronic publications to the division in Adobe Portable Document Format (PDF), as attachments to an email message, or as documents on a disc. Agencies shall follow the guidelines contained in "Enterprise Standards: 2000 Software Domain Category: 2330 Electronic Documents: NonAlterable."

Section 3. (1) Each agency shall notify the division in writing of the name of its records officer, as the agency employee who represents his unit of government in its relations with the division, within thirty (30) days after the effective date of this administrative regulation and upon any change of that personnel thereafter. The records officer shall furnish the division in writing with a complete list of the agency's current state publications in all formats, annually, at the end of each fiscal year, and upon request.

(2) If a records officer is unsure whether particular published material constitutes a state publication, the records officer may consult the division's coordinator of state publications.

Section 4. (1) Once submitted, state publications in all formats shall be reviewed for addition to the State Publications Collection at the department. Nonstate publications or paper copies in excess of the required three (3) shall be discarded.

(2) Once added to the State Publications Collection, publications shall be assigned a publication number and listed on the department's website for general public access.

Section 5. Incorporation by Reference. (1) "Enterprise Standards: 2000 Software Domain Category: 2330 Electronic Documents: Non Alterable" is incorporated by reference.

(2) This material may be inspected, copied, or obtained, subject to applicable copyright law, at the Department for Libraries and Archives, 300 Coffee Tree Road, Frankfort, Kentucky 40601, Monday through Friday, 8 a.m. to 4:30 p.m. (2 Ky.R. 536; eff. 6-2-76; Am. 31 Ky.R. 1200; 1408; eff. 3-3-2005.)



Public records are specifically defined by Kentucky statute (KRS 171.410 (1) ) as "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 369.102 defines "electronic record" as "a record created, generated, sent, communicated, received, or stored by electronic means." Rapid changes in technology mean that file formats can become obsolete quickly and cause problems for an agency's records management strategy. Agencies wishing to maintain records in an electronic format for more than 5 years should have a migration /conversion plan in place to ensure that their records are maintained in a readable format. Visit

<http://kdla.ky.gov/records/recmgmtguidance/Pages/elecrcmgmt.aspx> for electronic records management guidelines.

## Appendix B

# Examples of State Publications

The following publications are representative of various types of state publications. For more examples, please visit the e-Archives at <http://dspace.kdl.ky.gov:8080/jspui/>.

- **Brochure: “A Sampler of Kentucky Art & Craft” (Department of Tourism)**  
[http://www.e-archives.ky.gov/Pubs/Tourism/Arts\\_sampler.pdf](http://www.e-archives.ky.gov/Pubs/Tourism/Arts_sampler.pdf)
- **Rules and Regulations (compilations of): “County Clerks’ Guide to Marriage Law” (Office of the Attorney General)**  
[http://www.e-archives.ky.gov/Pubs/AG/clerks\\_guide\\_marriage\\_law\(1996\).htm](http://www.e-archives.ky.gov/Pubs/AG/clerks_guide_marriage_law(1996).htm)
- **Research Report: “The Importance of State Rainy Day Funds” (Office of the Governor)**  
<http://www.e-archives.ky.gov/Pubs/budget/indepthSer.1.pdf>
- **Newsletter: “Ag News” (Department of Agriculture)**  
[http://www.e-archives.ky.gov/Pubs/Agriculture/Agnews\\_Summer\\_2003.pdf](http://www.e-archives.ky.gov/Pubs/Agriculture/Agnews_Summer_2003.pdf)
- **Handbooks and Manuals: “Kentucky Driver Manual” (Kentucky State Police)**  
[http://www.e-archives.ky.gov/Pubs/Justice/2006\\_ky\\_drivers\\_manual.pdf](http://www.e-archives.ky.gov/Pubs/Justice/2006_ky_drivers_manual.pdf)

**Appendix C**  
**ELECTRONIC RECORDS TRANSMITTAL FROM STATE AGENCIES**  
 Kentucky Department for Libraries and Archives, Public Records Division  
 300 Coffee Tree Road, P. O. Box 537, Frankfort, KY 40602

Page    of

Cabinet/Local Jurisdiction:

Agency:

Unit:

Sub Unit:

Method of Transfer:

Download Site:

Total Number of Files Transferred:

Schedule Date:

Series	Disk No.	Folder Name	Number of Files	Format	Span Date

Records Officer Name:

Records Officer Phone:

Records Officer E-mail:

Records Officer Signature: \_\_\_\_\_

Technical Contact:

Technical Contact Phone:

Technical Contact E-mail:

Form Completed By:

Date Form Completed:

**FOR KDLA USE ONLY:**

Accession Date:

Accession Number:

Location:

Record Group No.:

**The following technical information will have to be verified by the KDLA archives staff. Any help in determining technical information at the point of transfer, if it is known, is greatly appreciated.**

Adobe Portable Document Format (PDF) -See transfer standards document for explanation

PDF Versions:

Security Checklist - Deactivated:  Fonts Embedded:

## **Kentucky Department for Libraries and Archives Electronic Records Transmittal Form Instructions**

The **Records Transmittal to State Archives or State Records Center form** (Electronic PRD form 70 and 70a) is a Word form that should be used by a Records Officer to transfer government records. A copy of the completed form should be sent to the Public Records Division when transferring records via e-mail, CD or DVD. If the first page of the transmittal is insufficient to record the entire shipment, use the **Transmittal Continuation Sheet** pages found in the electronic form. If the records are downloaded from the agency web site by KDLA, then KDLA will fill out a form and submit it to the records officer for acknowledgement via e-mail.

**Typing Transmittal:** Fill in the data on the first page of the Records Transmittal as follows: Use the Tab key or the cursor to move from one field to the next.

(1) **Cabinet/Local Jurisdiction:** Enter your agency's cabinet or local jurisdiction at the highest level.

(2) **Agency (Department/Local Government Office):** Name of department or local government office which falls under the entity listed above.

(3) **Unit (Division, Office, etc.):** Name of division, office, commission or board which falls under entity listed above.

(4) **Subunit (Branch):** Name of branch or unit which falls under the entity listed above.

5) **Method of Transfer** (Select from the following options: a) Optical disk (CD/DVD); b) e-mail attachment; c) download from web d) File transfer protocol. e) Specify other method

6) **Download site:** Enter the full URL if the file is downloaded from the web

7) **Total Number of Files Transferred** - Number should equal the total of all the files entered in the lower portion of the form

8) **Retention Schedule Date:** The month and year the current Records Retention Schedule for your agency was approved by the State Archives and Records Commission. This information can be found on the signature page, which accompanies the retention schedule, or the top right-hand side of an individual schedule page.

9) **Total Containers:** Enter the total number of files in the shipment

10) **Series Number as On Schedule:** If the record series for the record(s) you are transferring appears on a commission-approved records retention schedule then enter that series number. If the series does not appear on a records schedule then leave blank and the number will be assigned by PRD staff.

Examples: M0007 is the number for State Publications and M0022 is for Annual Reports.

11) **Disk number:** If the files are shipped on more than one optical disk (CD\_R or DVD-R) then note the disk number associated with individual titles

12) **Title of records, folder, collection or item:** If a state publication enter enough of the title so the full title can be recognized. Some titles can be summarized under the heading technical reports

13) **Format:** Enter the file extension. Example: TIF, GIF, JPG, HTM etc.

14) **Date Span of Records in Each Container:** The inclusive dates (oldest and most recent) of the records If the date span is the same for the entire shipment, you need only enter one time per page. If multiple series are being transferred, enter date spans per container.

15) **Records Officer e-mail:** Enter the e-mail address of the Records Officer

16) **Records Officer phone:** Enter the phone number of the Records Officer

17) **Records Officer Signature** (optional unless submitting it in paper format)

18) **Technical phone:** Enter the phone number of an agency contact other than the records officer who is knowledgeable about the electronic records.

19) **Technical contact e-mail;** Enter the e-mail address of an agency contact other than the records officer who is knowledgeable about the electronic records, for example a web master.

20) **Form completed by:** Enter the last name of the person completing the form. In many cases this will be KDLA staff.

21) **Date form completed:** Enter the date the form was completed in full Julian date MM-DD-YYYY.

22) **PDF versions:** If the record is in PDF format enter the version number. *Example:* version 1.6 is used by Acrobat 7x. If the files vary as to version put the range of the versions: *Example:* version 1.4 through 1.6.

23) **Accession Date:** To be assigned by KDLA

24) **Accession Number:** To be assigned by KDLA

25) **Location:** To be assigned by KDLA

### **Security Checklist:**

26) **Deactivated** – Enter yes or no depending whether or not file encryption (if there is any) had been deactivated. Also answer no if the file can be opened but cannot be altered (for migration purposes) due to permissions settings.

27) **Fonts embedded** - Enter yes if the fonts are embedded in the file (part of the PDF/A specifications)

The remaining blocks of the transmittal will be completed by Public Records Division staff after the shipment is received. After completing the transmittal, the Records Officer should send it with the accompanying files using one of the following methods:

via *e-mail* ([statepubs@ky.gov](mailto:statepubs@ky.gov)); or *optical disk* (CD-R or DVD-R) Messenger mail; or *FTP to KDLA* (call 502-564-8300 ext. 242 to make arrangements)