Records Management Guidance
Local Records Grant Program

Who is eligible to apply for a Local Records Grant Program grant?

725 KAR 1:050 Section 1 maintains that "Any local government office interested in improving the management and preservation of its public records" is eligible to apply for a grant. Successful applications will clearly demonstrate how the grant funds will be used to preserve or provide greater access to records in local governments.

> Reminder: Grant applicants with open Local Records Program grants are not eligible to apply for a current grant until all prior grants are officially closed. Work with your Regional Administrator to determine the status of your grant.

What types of projects are eligible to be funded?

By statute 725 KAR 1:050 Section 3, grant funds can cover "any project which seeks to improve the management and preservation of local public records," including but not limited to: security microfilming vital records; rerecording projects, for rerecording damaged records or records originally recorded with a nonpermanent process and now losing their image; document preservation projects; purchasing document conservation supplies.; establishing a local government records management program or archives; arranging and describing archival holdings; purchasing supplies and equipment which promote preservation of or access to archival materials; and codification of ordinances for cities and counties.

What are the steps to complete the grant application?

1. Choose the project

   > Tip: What are the priorities of the office? Are particular record series in need of preservation? *Your Regional Administrator can assist in creating a priority list.

2. Write the Specifications. Be as specific as possible and include as much information for the vendor as possible.
   > Tip: The more specific, the easier it is for the vendor AND the selection committee to understand the proposed project terms.
   > Tip: Write the specs so they are competitive and multiple vendors can bid.

3. Advertise the Invitation for Bid. There are two vendor lists available for your consideration on the Local Records Program Grants webpage. You are not required to use only vendors from this list (Note: Microfilm vendors must be certified through KDLA).
   > Tip: Be aware of the requirements in the Kentucky Model Procurement Code (KRS 45A).

4. Fill out Application. Make sure to answer all questions and provide concrete examples. Your Regional Administrator is available to review and provide feedback on the text. They cannot provide guidance on submitted vendor bids.
   > Reminder: Applications submitted on old or outdated Local Records Program Grants forms shall be considered ineligible for funding.

5. Choose the lowest bid vendor. Choose based on services provided, understanding of the proposed project, and best value.
   > Reminder: Justification is required for higher-bid vendor selection. Also remember, the selection committee can reject the preferred vendor.

Can my Regional Administrator help me write the grant application?

Project applicants are strongly advised to consult with their Regional Administrator prior to and during the grant application process. Regional Administrators are available for consultation with applicants, including discussions and assistance with creating specifications. Additionally, while they cannot write the application text, draft applications may be reviewed

by the Regional Administrator during the application review period. It can be useful to submit the entire draft application to your RA to make sure that all required documents have been included.

What if I don't have a grant writer and have never written a grant application?

Don't worry! The grants are awarded based on priority and need and grant writing experience is not necessary. Make sure to completely answer all questions in the grant application and consult with the Regional Administrator with any questions. Regional Administrators are available to review the documents. The most important thing to remember is that all components of the grant application package must be submitted.

> Tip: While helpful and a good starting point, do not rely exclusively on previously submitted grant application text. Include information on current projects and policies in your office. As always, be specific.

How do I write Specifications for the Invitation for Bid?

Be Specific. Give as many details as possible to make sure bids are comparable. Split proposed projects with multiple tasks (equipment, microfilm, digitize, etc.) into separate sections to allow appropriate vendors to bid on sections that apply to them.

> Tip: separate sections will allow for the possibility of partial funding.

a. Section 1 - Equipment (Plat Cabinet): 600UD Double Wide Plat cabinet holds 300 envelopes or 600 plats. 400, 24" x 18" and 200, 24" x 26" Plats. Cabinet size 46"H - 58"W - 27"D. Envelopes to be zipped "perma" envelopes with plat hangers. Price should include freight and installation.
b. Section 2 - Equipment (Shelves): Two (2) rows of back-to-back units, 3 tiers wide, 6 roller shelves high, end panels, installed on top, standard gray color.
c. Section 3 - Microfilm: Create 16mm (100') microfilm using polyester-based film, in comic mode according to blipping instructions in the memo dated October 8, 1990. Digitize and provide TIFF images to Clerk and KDLA. 5 Marriage Books (1-5), L1234, 1800-1803.
d. Section 4 - Upload to software. Tip: this section should be separated to make the project competitive to vendors.

How many Invitations for Bid do I need to send? To who?

KDLA Local Records Program Grant Guidelines states that "[a]pplicants must submit a minimum of three (3) bid responses for each Section within the completed application." For example, if both microfilming and shelving are requested, 3 vendors who can perform microfilming AND 3 vendors who can provide shelving must be invited to bid.

Who signs the grant application?

The grant application should be signed by the authorized official or head of the local agency.

What documents are submitted with the grant application package?

1. Grant Application
   a. Part A: Contact Information
   b. Part B: Project Summary
   c. Plan of Work (only information from lowest bid vendor included in this section)
   d. Part C: Project Outcomes
   e. Part D: Certification
2. Invitation for Bid and Project Specifications
3. Vendor Bids - All bids should be submitted as is with no markings.
   > Tip: a Tabulation sheet can be useful

Where do I submit the grant application package? And how?

The grant application package can be submitted to the Local Records Branch by mail, email, or fax. Email is preferred. Mailed application packages will be accepted with postmarks on or before the due date.

What is the process once grant applications are submitted?

Once the application is submitted, your Regional Administrator will complete a Grant Application Recommendation. This requires an onsite visit, if one has not occurred during the grant process, to view the records and to assess how closely the project meets the criteria defined by 725 KAR 1:050. Applications will be reviewed by the Local Records Grant Review Committee. This committee is composed of members who are familiar with local government and who have expertise in archives and records management. They will review the applications and make a recommendation to the State Libraries, Archives, and Records Commission who will make a final recommendation to the Commissioner of the Department for Libraries and Archives.

The criteria are: Urgency of the problem, significance and age of the records; value as a model and type for size and geographical location of the local government; soundness of the proposed methods; commitment of local government resources to the project and commitment to maintain the program for the lasting benefits of a specific project; adequate security and protection of records; compliance with all legal requirements regarding custody and public access; 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; and, commitment by the local government agency to a comprehensive records management program that includes the regular maintenance and legal disposition of agency records.

Can I receive partial funding for my project?

Projects may be fully funded, partially funded, or denied funding.

Tip: in cases of partial funding, it may be helpful to keep the specifications to note the sections as they are funded.

What happens if my office is awarded the grant?

Final grant award determinations will be made by the Commissioner of the Department for Libraries and Archives. If your project is chosen for funding, you will be notified by a letter outlining the next steps. Applicants selected for funding will receive: Award Letter Grant Award Summary Vendor Notification Letter and Vendor Obligation Statement (samples) Contract Project Status Report Form.

What happens if my office is NOT awarded the grant?

Final grant award determinations will be made by the Commissioner of the Department for Libraries and Archives. If your office's project is not chosen for funding during the current cycle, you will be notified by letter. It is suggested to contact your Regional Administrator to determine the next steps in re-submitting an application.

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