

Transfer of Public Records: A Procedural Guide

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1.0 Introduction

Per KRS 171.560 and 725 KAR 1:025, these are procedures for transferring government agency records to an off-site storage facility, whether that facility is maintained by the Kentucky Department for Libraries and Archives (KDLA) or by the agency.

Records document the activities of government officials and employees, and shall be created or stored on paper, microfilm, or in an electronic format, such as a computer hard drive or a CD or DVD. State and local government agency personnel shall manage the records they create, use and maintain so that these records are accessible, usable, and secure. This helps ensure that requests for government information are handled efficiently and that information is accurate.

Records in paper format with a permanent retention shall be stored at the State Archives or the agency, as directed in the Records Retention Schedule. If these permanent records are electronic, they shall be transferred to the Kentucky State Digital Archives (KSDA). Paper records with a non-permanent retention, or that are still in use but too voluminous to keep in an agency's work area, shall be stored at the agency, the State Records Center, or at another off-site storage facility, with the approval of the State Archivist.

2. 0 Paper Records

2.1. The State Archives and the State Records Center

KRS 171.580 authorizes KDLA to accept and maintain state, local and certain private records that are "determined by the department to have sufficient historical or other value to warrant their continued preservation." KRS 171.550 authorizes KDLA to establish a centralized records center to store, process and service records of government agencies, pending their deposit in the State Archives or other legally authorized disposition. State or local agency records of permanent historical value may be transferred to the State Archives, while non-permanent agency records or permanent records likely to have a high rate of access, may be transferred to the State Records Center.

Information on the retention and disposition of all government records, including when to transfer records to the State Archives or State Records Center, is contained in the records retention schedules. The appropriate retention schedule is either the General Schedule for State Agencies, a retention schedule for a specific state agency, or both. If an agency's retention schedule is not available online, or for other questions, call 502-564-1702. For questions about transferring records to KSDA, call 502-564-1707.

To transfer state agency records to the State Archives or State Records Center:

Box the records.

- KDLA requires the use of a box manufactured specifically for this purpose by Office360, order number AKXCAR151210.
- Box the records so that files are easy to retrieve. Arrange the files in a helpful manner, such as numerically, chronologically or alphabetically. Do not overfill boxes, as files will be difficult to pull and boxes will fall apart.
- Reinforce the bottom of the box with packing tape, if necessary.

Label the boxes.

- Labels are available on KDLA's website.
- Print the label and affix it to the **center** of the **narrow** end of the box opposite the joint. (The joint is the end of the box at which the upright ends overlap on the inside. Place the labels on the other end of the box.) Do not use tape to affix the labels to the boxes.

Number the boxes in the upper right-hand corner above the label, using a black felt-tipped marker. Make the numbers large.

Complete and send the transmittal form.

- The transmittal form documents the transfer of materials to the State Archives or State Records Center.
- The transmittal form is available on the KDLA website-
- The transmittal form shall be sent via e-mail to state.records@ky.gov by the appropriate Records Officer.

State Archives or State Records Center staff will pick up the records after the transmittal has been received and checked. Staff shall only pick up records in Frankfort. For state agencies located outside Frankfort, contact the State Archives at 502-564-1787 or the State Records Center at 502-564-3617 to arrange for drop off. After the records are shelved, agencies will receive a locator copy of the transmittal with an accession number and State Archives or State Records Center location information to be used when requesting records.

To request records after transfer to the State Archives:

Kentucky state agency employees requesting records from the Archives Center for official business shall call 502-564-1787.

Other users with personal or research questions have several ways to request records from the State Archives:

- By visiting the Archives Research Room, 300 Coffee Tree Road, Frankfort, KY 40601;
- By calling the State Archives at 502-564-1787;
- By submitting a records request form through the KDLA online research service.

To request records after transfer to the State Records Center:

Kentucky state agency employees requesting records from the State Records Center for official business shall call 502-564-3617. Requests shall come through the appropriate state agency Records Officer using the Records Request Form ARM 160, which is available on KDLA's website.

Destruction of records transferred to the State Records Center:

Some records that are transferred to the State Records Center are eligible for destruction at the end of the appropriate retention period, as specified on the records retention schedules, enacted by the State Libraries, Archives, and Records Commission. KDLA staff tracks scheduled destruction dates for records but shall not dispose of any records without prior approval from the agency's Records Officer. A notice requesting approval to destroy records shall be sent to the appropriate Records Officer.

Return of records transferred to the State Records Center:

Records in the State Records Center shall be returned to the originating agency upon request. The agency Records Officer shall contact the State Records Center at 502-564-3617.

2.2 Other Off-Site Records Storage Facilities

According to KRS 171.690, under certain conditions, inactive records may be housed outside the office of the government agency in an off-site facility. The law allows an agency to store inactive records at a facility away from an agency's offices only if the State Archivist approves the facility. Agencies shall request approval in writing from the State Archivist before using an off-site facility.

Off-Site Records Storage Facilities - Questions to Ask

The following is a set of questions to ask when selecting or constructing an off-site storage facility, along with general guidelines as to what to look for in that selection process. These questions can apply to preexisting structures, structures to be built or renovated or commercially run records storage facilities.

Location

- Is the facility close-enough in proximity to your office to make the records easily accessible?
- Is the facility above the flood plain?
- Does the location of the facility promote security of the records?

Structure

- Does the building meet fire codes?
- Are all systems wired properly?
- Are the walls of the building insulated?
- Is there lead or asbestos in the building?
- Are doors and windows secured?
- Is there an alarm system that automatically notifies local law enforcement in the event of a break-in?
- Does the building have a secure, leak-free roof?
- Does the building have a loading/unloading area?
- How high are the building's ceilings? Higher ceilings will allow for increased records storage. Standard high-density shelving requires ceilings at least 15 feet high.
- Does the building have a basement? If so, is it dry and temperature controlled?
- Will storage be on the first floor?
- Can the building's floor(s) support at least 300 pounds per square foot?
- Are the floors concrete and uncarpeted?
- Are the floors sealed with an inert sealant that will not release vapors into the air? Has the floor been sealed for at least three months?

Shelving

- Is the shelving metal?
- Is the shelving the proper strength? Eighteen (18) gauge shelving is recommended.
- Is the shelving secured on the floor and braced?
- Is the shelving arranged so there are no dead-end aisles?
- Is the shelving built to avoid obstructions like support columns?
- Are aisles wide enough? Thirty-six inches (36") is recommended.

Fire Prevention/Suppression

- Is there a working fire detection and suppression system in the facility?
- Is the fire department notified automatically in the event of a fire?

Environmental Controls

- Is there a central Heating, Ventilation and Air Conditioning (HVAC) system that is continuously operational?

- Is the temperature of the facility continuously between 65° and 70°?
- Is the relative humidity of the facility between 40% and 45%?

Lighting

- Is lighting bright enough for employees to do their work?
- Are lights over shelving aisles rather than shelves?
- Are lamps efficient and do they give off little ultraviolet radiation? High pressure sodium vapor lamps are ideal.

Plumbing

- Are there overhead pipes that could leak onto records?
- Are pipes discolored or rusty?

Layout

- If records are to be used at the facility, is there a public service area?
- Is there space for offices?
- Is there space for records processing? Approximately 100 square foot per person is generally accepted as standard.
- Are there restrooms?
- Does the facility meet the requirements of the American with Disabilities Act (ADA)?

3.0 Digital Records

Agencies shall transfer records to KDLA in digital, or electronic, format. Permanent electronic records shall be maintained in KSDA.

3.1 Electronic Records Transfer Procedures

Timing of transfers

Each agency is responsible for the integrity of the records it transfers on physical media to KDLA. For records transferred by a media-less method (FTP, as an email attachment, downloaded from the Internet, or deposited directly using data repository software), KDLA shall work with the agency to ensure integrity and security of the records during the transfer process. Each state agency shall transfer electronic records to KDLA promptly in accordance with the agency's records retention schedule. If the agency cannot provide proper care and handling of the media, or if the media are becoming obsolete and the agency cannot migrate the records to newer media, the agency shall contact KDLA to arrange for transfer, even if that may be sooner than provided in the records retention schedule.

Temporary retention of copy

Each agency shall retain a copy of any permanent electronic records transferred to KDLA until it receives official notification from KDLA that the transfer was successful and that KDLA has assumed responsibility for continuing preservation of the records.

Transfer media

For the transfer of permanent records to KDLA, the agency shall use only media that is sound and free from defects. The approved media and media-less transfer forms are:

- Optical disk (CD-ROM, DVD-ROM)
- File Transfer Protocol (FTP); as described in this document
- Email attachment - to transfer small quantities of permanent electronic records (such as an electronic publication)
- Other transfer media as approved by KDLA

Optical Disk (CD-ROM, DVD-ROM)

Agencies shall use CDs or DVDs to transfer permanent electronic records to KDLA. The files shall comply with the format and documentation requirements (specified under **Formats**).

Permanent electronic records shall be stored in discrete files, grouped by records series as indicated on the appropriate records retention schedule. CD-ROMs transferred may contain other files, such as software or temporary records, but all permanent records shall be in files that contain only permanent records. Agencies shall indicate at the time of transfer if a CD-ROM contains temporary records and, if so, where those records are located on the CD-ROM.

File Transfer Protocol (FTP)

Agencies shall use File Transfer Protocol (FTP) to transfer permanent electronic records to KDLA. Any FTP of classified data shall be performed using either ftps or stfp, as outlined in Kentucky Information Technology Standards (KITS). The files transferred shall comply with the format and documentation requirements specified in this section.

- FTP file structure shall use the 64-character Joliet extension naming convention only when letters, numbers, dashes (-), and underscores (_) are used in the file and/or directory names, with a slash (/) used to indicate directory structures. Otherwise, FTP file structure shall conform to an 8.3 file naming convention and file directory structure where the file is eight characters followed by the three character file extension.
- Permanent electronic records shall be stored in discrete files, separate from temporary files. All permanent records shall be transferred in files that contain only permanent records, grouped by records series as indicated on the appropriate records retention schedule.
- When permanent electronic records are disseminated through other types of mechanisms (e.g., CD-ROM), the agency and KDLA shall agree on the most appropriate medium for transfer of the records and shall select the appropriate files for FTP transfer. Several important factors limit the use of FTP as a transfer method, including the number of records, record file size, and available bandwidth. Agencies interested in sending electronic records scheduled for transfer to KDLA through FTP shall contact KDLA's Electronic Records Branch.
- An Electronic Records Transmittal shall be created for each permanent electronic records transfer to KDLA.

Formats

Agencies shall not transfer electronic records to KDLA that are in a format dependent on specific hardware and/or software. The records shall be in one of the approved formats in Table 1. The agency shall consult with KDLA for guidance on the transfer of electronic records other than those prescribed in this section. Additional specifications may be required for specific format types. Contact KDLA's Electronic Records Branch with questions.

The High and Medium Confidence levels in the following table represent the formats that are currently the most sustainable over time. **Agencies shall avoid using formats listed in the Low Confidence field, or make sure that the records in question can be converted to the formats in the Medium and/or High fields.**

Table 1: Preferred Formats for Records Transfer to KDLA

Media	High Confidence Level	Medium Confidence Level	Low Confidence Level
Text	<ul style="list-style-type: none"> - Plain text (encoding: US ASCII, UTF-8, UTF-16 with BOM) - PDF/A-1 (*.pdf) - XML (XSD/XSL/XHTML, etc.; with included or accessible schema and character encoding explicitly specified) 	<ul style="list-style-type: none"> - Plain text (ISO8859-1 encoding) - PDF (*.pdf) (embedded fonts) - Rich Text Format (*.rtf) version 1.x - OpenOffice (*.sxw) - Microsoft Word (*.doc)* - WordPerfect (*.wpd)# - HTML 4.x (include a DOCTYPE declaration) - SGML <p>* MS Office is the state approved standard and supported by the state. # WordPerfect is the federal court standard.</p>	<ul style="list-style-type: none"> - PDF (external font) - DjVu - All other text formats not listed here
E-mail	<ul style="list-style-type: none"> - Plain Text - Outlook Message format (*.msg) <p>Any of the High Confidence level text formats listed above.</p>	<ul style="list-style-type: none"> - Any of the Medium Confidence text formats listed above - Outlook Archive (*.pst) <p>For general correspondence maintained in the agency with proper backup and security controls.</p>	-
Raster Image	<ul style="list-style-type: none"> - TIFF (uncompressed) - PNG (*.png) - JPEG (raw) <p>- "Raw" JPEG are those images that have not been resized.</p>	<ul style="list-style-type: none"> - BMP (*.bmp) - JPEG/JFIF (*.jpg) - JPEG2000 (prefer uncompressed) (*.jp2, *.jpx) - TIFF (CCITT Group 3/4, JPEG, PackBits compression) 	<ul style="list-style-type: none"> - MrSID (*.sid) - TIFF (with LZW compression or in Planar format) - GIF (*.gif) - FlashPix - PhotoShop (*.psd) - All other raster image formats not listed here
Vector Graphics	<ul style="list-style-type: none"> - SVG 1.1 (*.svg) 	<ul style="list-style-type: none"> - CGM - WebCGM - DWF * <p>* AutoCAD is the state approved product.</p>	<ul style="list-style-type: none"> - Encapsulated PostScript (EPS) - Macromedia Flash (*.swf) - All other vector image formats not listed here
Audio	<ul style="list-style-type: none"> - AIFF (uncompressed) (*.aif, *.aiff) - WAVE (LPCM only) (*.wav) 	<ul style="list-style-type: none"> - Standard MIDI (*.mid, *.midi) - Windows Media Audio (*.wma) * - MP3 (*.mp3) - SUN Audio (uncompressed) (*.au) <p>*Same as Word files, Windows is the supported state standard.</p>	<ul style="list-style-type: none"> - AIFC (*.aifc) - NeXT SND (*.snd) - RealNetworks 'Real Audio' (*.ra, *.rm, *.ram) - WAVE (compressed) (*.wav) - All other audio formats not listed here
Video	<ul style="list-style-type: none"> - MPEG-1, MPEG-2 (*.mpg, *.mpeg) - Motion JPEG2000 (*.mj2) - AVI (uncompressed) (*.avi) - Motion JPEG 	-	<ul style="list-style-type: none"> - AVI (compressed) (*.avi) - QuickTime Movie (*.mov) - MPEG 4 (*.mp4) - RM (RealNetworks; 'Real Video') (*.rv) - Windows Media Video (*.wmv)

	(* .avi, *.mov)		- All other video formats not listed here
Spreadsheet Database	- Delimited Text (* .txt, *.csv) - SQL DDL	- DBF (*.dbf) - OpenOffice (*.sxc) - Excel (*.xls)* * Excel part of the MSOffice group and supported by state architecture standards.	- All other spreadsheet/database formats not listed here
Presentation	-	- OpenOffice (*.sxi) - PowerPoint (*.ppt)	- All other presentation formats not listed here

Additional Format Requirements

- File formats listed under Low Confidence Level shall be converted to a High or Medium Confidence format or preserved at the bit level only.
- Fully or partially encrypted files shall be unencrypted prior to transfer to KDLA.
- Password protected files shall be opened with protections removed prior to transfer to KDLA.
- Any files produced with Digital Right Management controls shall have all controls removed prior to transfer.
- Use platform independent, vendor independent, nonproprietary, stable, open and well-supported formats.
- The records shall not be compressed unless KDLA has approved the transfer in the compressed form in advance. In such cases, KDLA shall require the agency to provide the software to decompress the records.

Documentation

Documentation adequate to identify, service and interpret electronic records shall be transferred to KDLA with the records. Where possible, agencies shall submit required documentation in an electronic form that conforms to the provisions of this section.

3.2. Portable Document Format (PDF) Transfer Procedures

KDLA considers PDF an acceptable format for the transfer of electronic records, including all records in PDF; records converted to PDF from a native electronic formats (e.g., office automation products); and records converted to PDF from scanned paper or image formats such as TIFF. Agencies shall comply with the following *minimum* requirements to transfer permanent records as PDF documents:

General requirements for all PDF records

- Security Requirements

PDF records shall not contain security settings (e.g., self-sign security, user passwords, and/or permissions) that prevent KDLA from opening, viewing or printing the record.

PDF records shall have all security settings deactivated (e.g., encryption, master passwords, and/or permissions) *prior to transfer to KDLA*. Deactivating security settings ensures KDLA's ability to support long-term migration and preservation of the records.

Note: Agencies shall use appropriate security settings (as identified in KITS[the Enterprise Architecture Standards and Policies]) up to the time of transfer to KDLA.

- Review of Special Features

Because of complexities associated with certain PDF features, KDLA shall review PDF records containing special features on a case-by-case basis when the records are scheduled. Examples of special features include but are not limited to digital signatures; links to other documents, files or sites; embedded files (including multi-media objects); form data; comments and/or annotations.

Records converted to PDF from native electronic formats

Electronic records converted to PDF from their native electronic formats (e.g., office automation products) shall include embedded fonts to guarantee the visual reproduction of all text as created. All fonts embedded in PDF records shall be publicly identified as legally embeddable (i.e., font license permits embedding) in a file for unlimited, universal viewing and printing.

PDF records that reference fonts other than the "base 14 fonts"¹ shall have those fonts referenced in the record (i.e., as a minimum, subsets of all referenced fonts) embedded within the PDF file. This requirement is met by having, as a minimum, subsets of all referenced fonts embedded within the PDF file.

Scanned paper or image formats converted to PDF

PDF records that contain embedded searchable text based on Optical Character Recognition (OCR) shall be identical in content and appearance to the source document. KDLA shall accept PDF records with uncorrected OCR'd text but shall not accept PDF records resulting from OCR processes that either alter the content or degrade the quality of the original bit-mapped image. An example of an output process that accomplishes this requirement is Searchable Image - Exact.

KDLA shall not accept PDF records that have been OCR'd using processes that substitute OCR'd text for the original scanned text within the bit-mapped image. Such OCR processes may involve loss of data through imprecise interpretation of scanned characters. Examples of output processes that use this prohibited technique include Formatted Text and Graphics and PDF Normal.

KDLA shall not accept PDF records that have been OCR'd using processes that use lossy compression (or irreversible compression) to reduce file size (e.g., JPEG). Such OCR processes degrade the quality of the original image and may make images unsuitable for archival preservation. An example of an output process that uses this lossy compression technique for color and grayscale images is Searchable Image - Compact.

Agencies that have permanent records in PDF format that do not meet the requirements shall call 502-564-1707 to determine the most appropriate medium and format for transfer.

Transfer documentation

In addition to submitting a signed transmittal form, agencies shall provide documentation that identifies the software used to create the PDF records (if available) and the version(s), and the operating system (if available) and version(s). Agencies shall provide all external finding aids for the transferred PDF records (e.g., indexes; descriptive, administrative, or technical metadata; and/or databases of OCR'd text) in formats approved by KDLA.

When an agency has standards or guidelines to assist in formatting, validating, or accessing PDF records (including recommended software or quality settings, and/or guidelines for embedding metadata within PDF records), a copy of the guidelines shall be included with the transfer.

¹ The base 14 fonts are: Courier (Regular, Bold, Italic, and Bold Italic), Arial MT (Regular, Bold, Oblique, and Bold Oblique), Times New Roman PS MT (Roman, Bold, Italic, and Bold Italic), Symbol, and ZapfDingbats.

Transfer Mechanisms

PDF records shall not be compressed (e.g., Winzip, PKZIP) or aggregated (e.g., TAR) transfer unless KDLA has approved the transfer in compressed or aggregated form in advance. In such cases, KDLA shall require the agency to provide the software to decompress the records.

Levels of Access

KDLA provides access to the creating agency and to all researchers requesting PDF records accessioned from state agencies. While compliance with these procedures will improve future access to records, KDLA's ability to provide access to certain records will vary according to hardware and software dependency. KDLA provides users with a copy of fully releasable electronic record files on media currently approved by KDLA. For PDF records transferred to KDLA, the user is responsible for obtaining the necessary hardware and software to view the records.