



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

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I. Introduction

Program Overview

The Kentucky Local Records Program was created in 1984. Since that time it has provided millions of dollars to local governments to support preservation of and public access to 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 two sources, a \$1.00 fee collected by county clerks on legal processes and instruments and the Kentucky Department for Libraries and Archives (KDLA) Direct Local Aid appropriation.

The Commissioner of the Department for Libraries and Archives awards grants after receiving 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 signing of a contract by the grant recipient. The grant program operates within the state fiscal year, July 1 through June 30. General information about the grant program and an electronic version of the grant application is available here: <https://kdla.ky.gov/records/recmgmtservices/Pages/LocalRecordsProgramGrants.aspx>.

Staff Assistance

Project applicants **are strongly advised** to consult with their Regional Administrator **prior** to submission of the grant application. Regional Administrators are available throughout the process for consultation with applicants. Additionally, draft applications may be reviewed by the Regional Administrator during the application review period. 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 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. These activities are defined in state regulations as “any project which seeks to improve the management and preservation of local public records,” including but not limited to:

(1) Security microfilming vital records (critical for the functioning of the office) or historically significant records using Archives and Records Management Division standards. Security microfilming carried out with local records grant funds must be done through a micrographics laboratory or service bureau certified by KDLA and officially recognized by the State Libraries, Archives, and Records Commission. A list of currently certified laboratories can be obtained from the department and is available here:

<https://kdla.ky.gov/records/recmgmtservices/Documents/KDLA%20Certified%20Vendors%20List.pdf>.

- (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 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.

Fees for records destruction are not eligible project costs. Destruction of original records that have been filmed should not occur without documented authorized official approval and only after film has been verified as legible and complete.

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

Equipment eligible for funding includes microfilm reader/printers or reader/scanners, hanging-file storage, microform storage cabinets, map/plat cabinets, file cabinets, and portable air conditioning units and humidity control items.

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. Wood or plastic shelving is not eligible for funding.

II. The Grant Process

Once you have identified a need and consulted with your Regional Administrator, review the schedule to see when the grant cycle is set to begin. Applications are only accepted during certain times of the year.

Invitation for Bid

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 in order to complete the application. Vendors bidding on 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. If the vendor charges for time spent evaluating the project, it is considered a pre-award expenditure and is ineligible for reimbursement with grant funds. **Applicants must submit a minimum of three (3) bid responses for each Section within the application.**

The Invitation for Bid is available on KDLA's website:

<https://kdla.ky.gov/records/recmgmtservices/Pages/LocalRecordsProgramGrants.aspx>. It should include a detailed written description of the project including the type of work to be done as well as any equipment specifications, and the titles, dates, and volume of the records involved in the project.

Vendors are required to follow Local Records Branch policies and procedures as outlined in *Guidelines for Microfilming Public Records* which is available on the KDLA website:

<https://kdla.ky.gov/records/recmgmtguidance/Documents/MicrofilmingandDigitalImagingofPublicRecords-012616.pdf>. Invitation for Bid for security microfilming projects may only be distributed to KDLA certified micrographics laboratories. A list is available on the KDLA website:

<https://kdla.ky.gov/records/recmgmtservices/Documents/KDLA%20Certified%20Vendors%20List.pdf>.

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NOTE: Vendors should include the cost of microfilm duplication and/or the transfer of digital images to KDLA in their Invitation For Bid.

NOTE: Salary grants are not required to complete an Invitation for Bid.

Once all bids are received, the applicant should select their preferred vendor(s). If a selected vendor is not the lowest bidder, a written justification must be attached to the application.

Completing the Application

Following the selection of a preferred vendor, the grant application is completed. The application is available on the KDLA website:

<https://kdla.ky.gov/records/recmgmtservices/Pages/LocalRecordsProgramGrants.aspx>. Applicants should supply information detailing a plan of work, goals, and outcomes. (See examples in the appendix). 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:

- 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 multiple types of work into separate sections to allow vendors to bid on each individual section.
- For microfilming grants, consult with your Regional Administrator to determine the number of diazo microfilm copies required by KDLA and the cost.
- For salary grants, show the estimated pay rate and work hours for grant-funded individual(s). Salary grants have a grant reporting period of forty-eight (48) weeks.
- For shelving grants, list the per-unit cost, the number of units desired, and the total cost. Include any shipping and/or installation costs.
- For equipment grants, show the cost per-item, the desired number of the item(s), and the total cost.

Applications that are well conceived, fully described, adequately supported, and arranged in the proper order, will receive the most favorable scores.

Application Review

Once the application is submitted, your Regional Administrator will complete a Grant Application Recommendation. This requires an onsite visit to view the records and to assess how closely the project meets the criteria defined by 725 KAR 1:050. The application and recommendation will then be reviewed by the Local Records Branch as a whole, the Local Records Grant Review Committee, and the State Libraries, Archives, and Records Commission, which will make a recommendation to the KDLA Commissioner for approval or denial of the application. The criteria are:

- (1) Urgency of the problem, significance and age of the records. The Commission and other 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 and commitment to maintain the program or the lasting benefit of a specific project. The commission and other evaluation groups will

give preference to local governments which commit some local resources to the proposed projects. 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) 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. (See KRS 171.710 regarding the safeguarding of public records.)

(6) Compliance with all legal requirements regarding custody and public access including 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 would include regular legal disposition of obsolete records in accord with the records retention 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.

Award Process

Once grant awards are determined, applicants that were not selected for funding will be notified in writing. Applicants selected for funding will receive:

- Award Letter
- Grant Award Summary
- Vendor Notification Letter and Vendor Obligation Statement (samples)
- Contract
- Project Status Report Form

The Vendor Obligation Statement must be sent to the vendor(s) along with the Vendor Notification Letter explaining that their bid was selected. (These documents are available the KDLA website at: <https://kdla.ky.gov/records/recmgmtservices/Pages/LocalRecordsProgramGrants.aspx>). You must sign, date, and return the contract to KDLA. Once the Contract is returned to KDLA with copies of the Vendor Notification Letter(s) and signed Vendor Obligation Statement(s) included, the project may begin. Grant funds may not be used to pay expenses incurred prior to the official start of the grant period or incurred after the conclusion of the grant period.

Grant award decisions are final; however, denied applicants are encouraged to consult with their Regional Administrator to develop revised submissions for subsequent grant cycles.

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

Grant Payment

Grant funds will be disbursed via check and mailed to 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 Local Records Program Grant Project. Under no circumstances should grant funds be co-mingled with other fund sources. Payment to microfilming vendors may not be released until the film has passed KDLA Quality Control and diazo copies have been received and accepted by KDLA.

III. Post Award Activities

KDLA will notify state legislators of Local Records Grant awards within their jurisdictions and will prepare a media release for each grant project that can be shared with 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 microfilming and digitization projects.

Working with Certified Microfilm Vendors

Quality control inspection prevents costly and time consuming mistakes. The inspection of microfilm ensures that all records are legible and meet the standards set by the Department. Accepted copies of silver film will be designated as the official security copy and will be stored in the KDLA Microfilm Vault. Rejected silver film must be reshot and resubmitted until it passes Quality Control. If digital images are created as part of microfilming project, the grantee will receive copies. The Department for Libraries and Archives will receive copies of digital images and requested diazo film created upon completion of the project and before payment is rendered.

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. create any needed diazo copies
- VI. deposit silver master copies, any required diazo copies, and any digital images with KDLA

If grantee and vendor follow-up is necessary to re-image unacceptable products, new film will have to be approved by the KDLA Quality Control. Additional costs resulting from multiple quality control evaluations will be the responsibility of the vendor.

Reporting Requirements

The Local Records Program requires 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 budget categories can be claimed. Project Status Report forms can be obtained through the KDLA website 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. Reports should include copies of all financial and programmatic records and supporting documents. Such records include but are 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 grant funds are expended. On the rare occasion when unexpended funds remain after the completion of the project, the final report should note the amount. If the amount is greater than \$25.00, all unexpended funds are remitted to KDLA with a check made payable to the Kentucky State Treasurer to be redeposited in the Local Records Program grant fund. Amounts of less than \$25.00 are retained by the grant recipient for records management purposes and supplies.

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

IV. Additional Details

Accounting and Auditing Requirements

Financial records must be kept in accordance with GAAP (Generally Accepted Accounting Principles) and grant recipients must comply with the audit requirements set forth by the Commonwealth of Kentucky. Financial and programmatic records must be retained for three (3) years from the date of the Final Report. If any litigation, claim, or audit begins before the end of three (3) years, 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 requests for any grant project changes that alters the scope of the project, its 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 must be requested. This process is initiated by submitting a letter to the Local Records Branch Manager explaining the delay and requesting an extension. An assessment of whether an extension is merited is completed by the Regional Administrator. If approved, a Contract Amendment defining the new terms of the grant is forwarded to the grant recipient for signature.

Withdrawal of Awarded Grant Funds

Grant recipients can voluntarily withdraw from the project with thirty (30) days written notice to KDLA. However, failure to complete a project due to early withdrawal will require the return of all unobligated/unexpended grant funds.

Appendix

Online Resources

Local Records Grant Program

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

Local Government Records Retention Schedules

<https://kdla.ky.gov/records/retentionschedules/Pages/LocalRecordsSchedules.aspx>

Procedural Guide for Microfilming and Digital Imaging of Public Records

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

KDLA Certified Micrographics Vendor List

<https://kdla.ky.gov/records/recmgmtservices/Documents/KDLA%20Certified%20Vendors%20List.pdf>

Application Narratives Examples

Project Summary Example #1 – Microfilming/Digitization Grant

The Office of the _____ seeks to security microfilm and digitize 40 deed books. The books range from 1807-1850 and are in average condition. These books represent the earliest land transactions in the county, and are historically significant to the settlement and development of the county. The volumes are currently stored in the clerk's office and accessed daily by researchers, genealogists, historians, property title searchers, etc.

The project will result in the creation of ten (10) rolls of security microfilm, which will be stored in KDLA's security vault. This microfilm will provide an extra level of security for the records and be at an off-site backup storage location. In addition, 2,500 digital images will be created and uploaded into the county's current records system. This will allow for faster and more efficient access to the records for staff and the public. Digital images will also reduce the wear on the original records to assist with their long-term preservation.

We have selected _____ as the vendor to conduct the microfilming and digitization of these records. They will be filming and scanning the records in our office over a period of eight weeks. Our staff will work with them to ensure that the records are handled appropriately and conforming to archival standards such as original order. Once the filming and scanning is complete, the vendor will send all quality control approved work products to KDLA and provide copies to our office. We will ensure that the digital scans are uploaded to the system.

Project Summary Example #2 – Microfilming/Digitization Grant

The _____ Public School system seeks to security microfilm and digitize 100 cubic feet of student cumulative files. These records are dated 1970-1995, and are arranged by student last and first name. The records contain transcripts with the student's name, date, address, phone, GPA, classes taken,

grades, and years completed. These records have a permanent retention, and are considered vital records to the school district.

This record series documents the educational history of the student. It shows yearly progress in test scores and grades and provides a record of student achievement and attendance. This is essential documentation for student evaluation, placement, and graduation. After graduation, this documentation becomes a data file used for job placement, college entrance, and other purposes vital to the individual.

The project will result in the creation of twenty-five (25) rolls of security microfilm, which will be stored in KDLA's security vault. This microfilm will provide an extra level of security for the records and be at an off-site backup storage location. In addition, 135,000 digital images will be created to allow for faster and more efficient access to the records by staff. The district will be responsible for the long-term preservation of these digital files to ensure continued access to the records.

We have selected _____ as the vendor to conduct the microfilming and digitization of these records. They will be filming and scanning the records in our office over a period of eight weeks. Our staff will work with them to ensure that the records are handled appropriately and conform to archival standards such as original order. Once the filming and scanning is complete, the vendor will send all quality control approved work products to KDLA and provide copies to our office.

Project Summary Example – Salary Grant

The Office of the _____ is requesting a salary grant to index Marriage Books 1-50, 1837-1975. Grant funds will be used to hire one temporary staff person for twelve months. We anticipate that the individual will work 30 hours per week for 48 weeks at a rate of \$11 per hour. This project will result in an electronic cross-index by name of bride and groom. Once completed, the index will be uploaded to the county's current records system.

These records were selected based on their high use by our customers, age of original records, and historical significance to the county. Without an index to the individual books or the span of books, researchers often have to examine the books page by page to locate a record. This index will allow for more efficient searching and reduce the wear of the original records, which is particularly important due to the condition of these records.

When hiring the grant-funded position, we will select a candidate with strong organizational skills and attention to detail. Our staff will provide training on the proper handling of records to meet archival standards. Training will also be provided on the methods and procedures for indexing records, in particular the information needed for the index such as name of bride and groom and date of marriage, etc. We will also ask the staff person to identify any books in poor condition that may need conservation assistance.

Project Summary Sample – Equipment/Shelving Grant

The Office of the _____ requests funding to purchase three (3) shelving units. These shelving units will be used to store the following records:

Deed Books 32-65, 1915-1959

Will Books D-25, 1812-1904

County Court Order Books 10-15, 1835-1869

Marriage Books 20-45, 1901-1944

These records were selected because they are currently stored in an auxiliary storage area. Purchasing new shelves would allow us to better protect these records, meet archival standards for records storage, and provide easier physical access to the records. These books represent a range of records historically significant to the county as they document land transactions, marriages, probate actions, and county activities for a variety of dates in our history.

We have selected _____ as the vendor. The shelving units meet Local Records Program standards, and their specifications have been reviewed by _____, our Regional Administrator. The vendor will be responsible for installing the units in the office, and our staff will shelve the records in the appropriate order.

Commitment of Local Government Agency Example

The Office of the _____ is committed to a comprehensive records management program. We work closely with our Regional Administrator _____ on records management activities and in the development of Local Records grant applications. We use the Local Government General Records Schedule and other appropriate agency specific records retention schedules to determine records retention and disposition. We have a designated records officer who assists with records transfer and/or destruction. Staff members are provided with records management training as it pertains to their position duties.

We are committed to this grant project, and will be providing office working space and staff time to complete the project goals. Staff members will be reviewing records before they are microfilmed and digitized, retrieving them for the vendor, and reviewing all vendor work products. They will also ensure that digitized records are properly uploaded into our records system. Staff will be completing grant reports as required by KDLA. In addition, we will be providing the vendor with workspace to film and scan the records for the duration of the project.

Project Outcomes Example

This project will result in the preservation of and increased access to 50 deed books stored in our office. These records were in poor condition, and deteriorated each time they were handled by staff and the public. Conservation of the records has stabilized their condition and will allow the records to be accessed without further damage occurring. Furthermore, security microfilm copies of the records are now stored in the Kentucky Department for Libraries and Archives security vault. We will be posting information about this project and its impact on the records to our social media accounts (Facebook and Twitter). We will also notify our local newspaper to further disseminate project information to the community.

Grant Forms

LR1.1 Invitation for Bid Proposal

LR1.2 Invitation for Bid Proposal – Codification

LR2 Grant Application

LR7 Vendor Notification Letter/Vendor Obligation Statement

LR11 Project Status Report