



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

Revised 02/07/2022

Table of Contents

| | |
|---|----|
| Contact Information | 2 |
| <u>I. Introduction</u> | |
| Program Overview | 3 |
| Regional Administrator (RA) Assistance | 3 |
| Eligible Applicants and Projects | 3 |
| Eligible Project Costs | 5 |
| <u>II. The Grant Process</u> | |
| Invitation for Bid Proposal and Bid Proposal Attachment | 6 |
| Competitive Sealed Bidding and Soliciting Bids | 6 |
| Completing the Application | 7 |
| Application Review | 8 |
| Award Process | 9 |
| <u>III. Post Award Activities</u> | |
| Grant Disbursements | 10 |
| Working with Certified Microfilm Vendors | 10 |
| Funds Release (Vendor Payments) | 11 |
| Reporting Requirements | 11 |
| <u>IV. Additional Details</u> | |
| Accounting and Auditing Requirements | 12 |
| Project Modifications | 12 |
| Withdrawal of Awarded Grant Funds | 12 |
| <u>V. Glossary</u> | 13 |
| <u>VI. Appendix</u> | |
| Online Resources | 17 |
| Grant Forms | 18 |
| Sample Applicant Timeline | 18 |

Contact Information

For general information about the Local Records Program or the grant process, please contact the Local Records Branch at 502-564-1745 or Nicole.Bryan@ky.gov. If you are a local government agency and are considering applying for a grant, please contact your Regional Administrator. If you are unsure in which region your agency is located, consult the chart below.

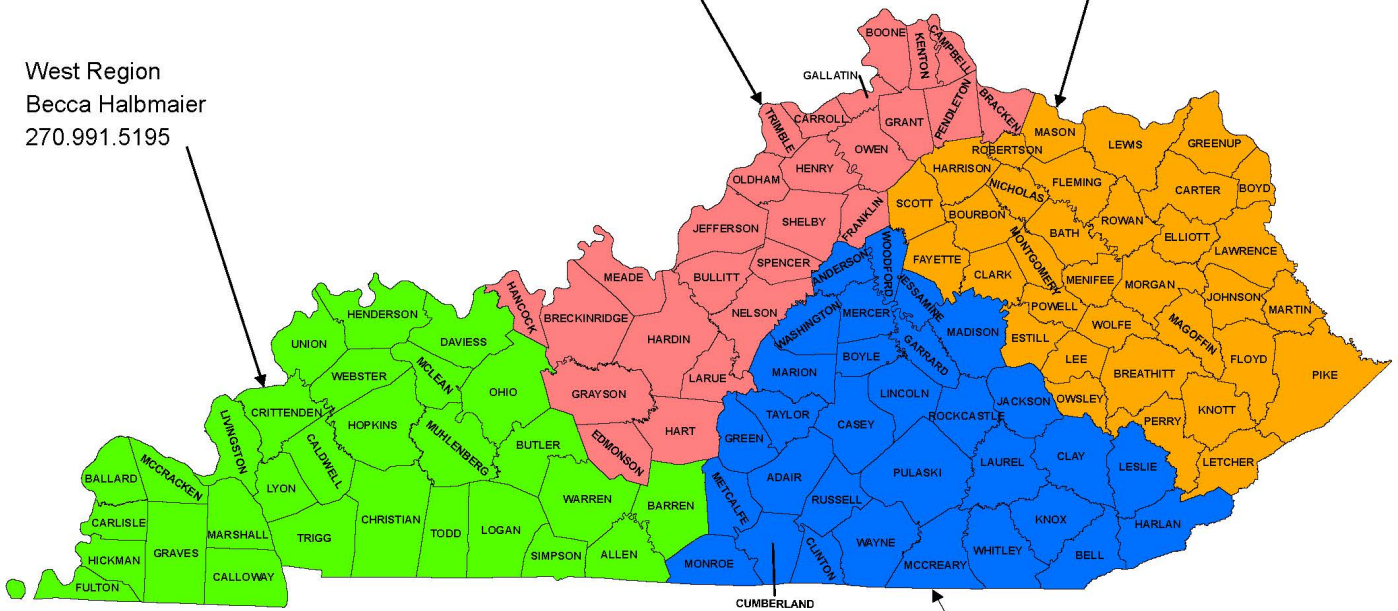
KDLA LOCAL RECORDS REGIONS

Regional Administrator Map
Archives and Records Management Division
KDLA
502.564.1745

North Central Region
Nicole Bryan
502.564.1745

East Region
David Atha
502.234.4292

West Region
Becca Halbmaier
270.991.5195



South Central Region
Drew Preston
502.330.4986

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 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 a \$1.00 fee collected by county clerks on legal processes and instruments, KRS 142.010 (5).

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 the grant application are available here: [Local Records Program Grants Kentucky Department for Libraries and Archives](#).

Regional Administrator (RA) Assistance

Regional Administrators are available to consult with applicants for project specification and Invitation for Bid Proposal Attachment development. 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 ensure the maintenance and security of records deemed appropriate for preservation; and used to promote the effective and economical use of space, equipment and supplies needed for the purpose of creating, maintaining, and servicing records. 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 following the standards and procedures in the *Microfilming and Digital Imaging of Public Records: A Procedural Guide*. Security microfilming carried out with local records grant funds must be done through a micrographics laboratory or vendor as defined in the *Microfilming and Digital Imaging of Public Records: A Procedural Guide* and officially recognized by the State Libraries, Archives, and Records Commission. A list of currently certified laboratories may be obtained from the department and is available here: [Certified Micrographics Vendors.pdf \(ky.gov\)](#).

(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 may 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 shall be evaluated based on 725 KAR 1:050. These funds are not designed for ongoing support, and they shall not be used to replace salary funds already being expended by the local government. They may be used as short-term salary supplements.

(6) Arranging and describing archival holdings, according to generally accepted professional standards of records management and archival theory and practice.

(7) Purchasing supplies and equipment that promote preservation of or access to archival materials, including acid-free boxes and folders, shelving, cabinets, and equipment to read microfilm.

(8) Codification of ordinances for cities and counties. Funds shall be available for production of initial codes but not for code supplements.

- Note: Grant applicants with open Local Records Program grants are not eligible to apply for additional grant funds or projects until all prior grants are officially closed.
- Note: Grant applicants are eligible to apply for one (1) Local Records Program Grant per grant cycle.
- Note: Grant applicants that have previously received Local Records grant funds for Codification may apply for a second codification grant, but not for the same codes.
- Security Microfilming Record Cut-off Date:
To allow for the uniform preservation of permanent records, the security microfilming of permanent records shall adhere to a rolling ten (10) year cut-off date.

Examples:

- ❖ Calendar year 2011 and older records are eligible to be security microfilmed in FY23 grant cycles.
- ❖ Calendar year 2012 and older records are eligible to be security microfilmed in FY24 grant cycles.

For specific records questions, please contact your Regional Administrator.

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.

Wood or plastic shelving are not eligible for funding. 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.

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

Fees for records destruction are not eligible project costs.

Upload and Link/Marry tasks are not eligible projects costs.

II. The Grant Process

All applications shall be submitted on current Local Records Program Grants Application forms and include a detailed project description, plan of work, and budget request. Entries on the application form and any required supporting documents shall be typed and completed as fully as possible, with additional sheets attached if necessary. In signing the application and in accepting the grant award, applicants agree, in carrying out their projects, to abide by the criteria established in 725 KAR 1:050.

Helpful Hints:

- 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 the project into separate itemized Sections to allow vendors to bid on each individual Section.
- List the Series number for all security microfilming, scanning, and digitization project records. This information may be found in the Local Government Records Retention Schedules available on the KDLA website: [Local Government Records Schedules Kentucky Department for Libraries and Archives](#).
- For shelving grants, determine the per-unit cost, the number of units desired, and the total cost. Include any shipping and/or installation costs.

Once you have identified a need and consulted with your Regional Administrator, review the Local Records Program Grants schedule to see when the grant cycle is set to begin. Applications are only accepted during certain times of the year. The Local Records Program Grants timeline is available on the KDLA website: [Local Records Program Grants Kentucky Department for Libraries and Archives](#).

Invitation for Bid Proposal and Invitation for Bid Proposal Attachment

All Local Records Program Grants applicants must comply with state and local procurement requirements to obtain bids as part of the grants process. 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. Applicants must submit a minimum of three (3) eligible bid responses for each itemized Section within the application from a responsible bidder or offeror, as defined by statute. The Invitation for Bid Proposal Attachment shall include a description of vendor services to be provided and/or work to be completed during the proposed project.

Pursuant to KRS 45A.070 (6) of the Kentucky Model Procurement Code, “responsible bidder or offeror” means “a person who has the capability in all respects to perform fully the contract requirements, and the integrity and reliability which will assure good faith performance.”

Competitive Sealed Bidding and Soliciting Bids

In conformance with KRS 45A.080 (3), the Invitation for Bid must be advertised. A copy of this advertisement must be submitted to KDLA with the grant application. KRS 45A.080 (3) stipulates that responsible bidders shall be given adequate public notice of the invitation for bids. The notice may be posted on the Internet or publication in the newspaper or newspapers of general circulation in the state as determined by the Secretary of the Finance and Administration Cabinet not less than seven (7) days before the date set for opening of the bids. All bid responses, in their entirety, received by your office must be submitted to KDLA with the grant application.

KRS 45A.070 (4) Invitation for Bids means all documents, whether attached or incorporated by reference, utilized for soliciting bids in accordance with the procedures set forth in KRS 45A.080 of the Kentucky Model Procurement code. The Invitation for Bid Proposal is available on the KDLA website: [Local Records Program Grants Kentucky Department for Libraries and Archives](#). A bid proposal attachment is required and must be itemized by Section and include a detailed written description of the project that describes the type of work to be completed, as well as any equipment specifications. Be sure to list the record series title(s), inclusive date(s), retention series number(s), and volume of the record(s) selected for the project.

Vendors bidding on security microfilming and scanning/digitizing 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. These vendors are required to follow Kentucky Department for Libraries and Archives policies and procedures as outlined in *Microfilming and Digital Imaging of Public Records: A Procedural Guide*, which is available on the KDLA website: <https://kdla.ky.gov/records/Documents/Microfilming%20and%20Digital%20Imaging%20of%20Public%20Records%20-%20November%202021.pdf>. For security microfilming projects, the Invitation for Bid Proposal may only be distributed to KDLA certified micrographics laboratories. A list of certified laboratories is available on the KDLA website: [Certified Micrographics Vendors.pdf \(ky.gov\)](#).

Vendors bidding on preservation or conservation projects must conduct an onsite visit to survey any chemical or physical deterioration, or damage to the records in order to provide an approximate cost to repair or extend the life of the record(s).

Because of the limited number of vendors available for some projects, solicitation of bids is allowed. Solicitation is acceptable as long as three (3) qualified bidders reply. Eligible vendors may reply with a bid, or with a “no bid” letter and the reason for the “no bid.” Written documentation of bid solicitation may be accepted if the documentation shows date of vendor contact, name of vendor and vendor contact, and a copy of all vendor communication regarding the project.

Helpful Hints:

- Applications that do not include the Invitation for Bid Proposal and Invitation for Bid Proposal Attachment are ineligible for funding
- Applications that contain contractually signed (applicant/vendor) bid proposals are ineligible for funding
- Salary grants are only awarded in the first Cycle (or Cycle 1)
- Salary funds may not be combined with other funding requests within the grant application
- Salary grant applications do not require a completed Invitation for Bid Proposal or Invitation for Bid Proposal Attachment
- The vendor site visit date must be included in the vendor bid(s)
- Bid responses must be itemized by Section
- If the vendor charges for time spent evaluating the project, the activity is considered a pre-award expenditure and is an ineligible project cost
- Per diem/travel expenses are not eligible project costs
- Vendors should include the cost of the transfer of digital images and indexes to KDLA in their bid responses and the cost shall not exceed \$500

Completing the Application

Once all bid responses are received, the lowest bid vendor(s) information and bid total(s) shall be included in the applicable Sections within the application. The application is available on the KDLA website: [Local Records Program Grants Kentucky Department for Libraries and Archives](#). Applicants should supply information detailing a plan of work, goals, and outcomes. 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:

- For salary grants, show the estimated work hours and pay rate for grant-funded individual(s). Salary grants have a grant-reporting period of fifty (50) weeks at a minimum pay rate of \$15.00 per hour.
- For equipment grants, maintenance/service agreements may be included as part of the initial purchase. Local Records Program Grants may fund two (2) year maintenance/service agreements, the equivalent of the eighteen (18) month grant reporting period. Once the

expiration of the original maintenance/service agreement has occurred, it is the sole responsibility of the applicant to maintain and/or upgrade equipment purchased with grant funds.

To Do's:

- Contact RA to review project specifications (Invitation for Bid Proposal Attachment)
- Advertise
- Complete all application questions
- Confirm who can sign the application and make sure it is signed
- Double check that all application materials are included

- **Applications shall be submitted in this order:**
 - 1) Local Records Program Grants Application
 - 2) Invitation for Bid Proposal
 - 3) Invitation for Bid Proposal Attachment
 - 4) Advertisement
 - 5) Bids (alphabetical order by vendor name)
 - 6) Supporting documentation

Application Review

After the application deadline, an administrative review is conducted on all applications. This review checks the application for completeness (signatures, current forms, number of bids, procurement infractions, etc.). After administrative review, Regional Administrators complete an Application Recommendation for eligible projects to assess how closely the project meets the criteria defined in 725 KAR 1:050. Applications that pass the initial review are forwarded to the Local Records Grant Review Committee for final review and funding recommendation to the State Libraries, Archives, and Records Commission. The State Libraries, Archives, and Records Commission is the final authority and makes the grant awards.

The criteria are:

- (1) Urgency of the problem, such as significance and age of the records. The Commission and other groups shall consider first 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 shall promote equity in the geographic distribution of grant projects. The program shall include projects in various types and sizes of local governments, with 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 shall 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 for the lasting benefit of a specific project. The Commission and other evaluation groups shall give preference to local governments that commit some local resources to the proposed projects. Support may include provisions for maintaining the accuracy and currency of a grant-funded code of ordinances with annual supplements, take the form of adequate office, storage, or working space, designating a person or persons for maintaining and adding to a local archives, supplies, equipment, or a monetary contribution, or adhering to standards for archival microfilming. Evidence of previous concern or commitment of support to improved local records management and preservation shall also be important factors in the reviewers' evaluation.

(5) Adequate security and protection of records. Local governments should house records in fire resistant facilities, or 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. This shall include 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 shall include regular legal disposition of records in accordance with the records retention schedules covering the records of a local government agency, and may 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

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

Once grant awards are determined, applicants selected for funding will receive:

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

Both the Vendor Obligation Statement and the Vendor Notification Letter shall be sent to vendor(s) explaining that their bid was selected. These documents are available on the KDLA website: [Local Records Program Grants Kentucky Department for Libraries and Archives](#). You must sign, date, and return the contract to KDLA. Once the contract is returned to KDLA with the Vendor Notification Letter(s) and signed Vendor Obligation Statement(s), grant funds will be requested and mailed to the grantee. The project may begin after funds are received. Grant funds may not be used for expenditures incurred prior to the official start of the grant period or incurred after the conclusion of the grant period.

Exception: Grantees with salary grants may incur payroll expenses prior to receipt of grant funds.

Applicants not selected for funding will be notified by letter. Grant award decisions are final; however, denied applicants may appeal. A formal letter of appeal shall be forwarded to the KDLA Commissioner within three (3) working days of receipt of notice of award. The KDLA Commissioner shall render a decision within two (2) working days of receipt of letter of appeal.

III. Post Award Activities

KDLA will prepare a media release for Local Records Program Grants project awards that may be shared with local 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 security microfilming and digitization projects. Please see the *Microfilming and Digital Imaging of Public Records: A Procedural Guide*.

Grant Disbursements

Grant funds are 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.

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 copy and will be stored in the KDLA Security Vault. Rejected silver film must be reshot and resubmitted until it passes Quality Control.

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. deposit silver master copies, and any digital images and indexes with KDLA

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

Funds Release (Vendor Payments)

The Department for Libraries and Archives shall receive the security microfilm and copies of digital images and indexes upon completion of the project and before payment is rendered to the vendor. Please see the *Microfilming and Digital Imaging of Public Records: A Procedural Guide* and the *Digital Image Transfer Policy*.

For projects that require submission and acceptance of microfilm, digital images, and/or indexes to KDLA, payment shall not be released until all deliverables have passed quality control. Once they have passed, a Funds Release notice will be provided to the grantee to authorize payment to microfilming, scanning, and digitization vendors. For all other projects or tasks, invoices may be paid at the discretion of the grantee.

Reminders:

Payment to microfilming vendors may not be released until the microfilm passes KDLA Quality Control and has been accepted by KDLA.

Payment to digitizing or scanning vendors may not be released until the digital images and indexes have been accepted by KDLA.

Reporting Requirements

The Local Records Program Grants require the 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 budgeted line items may be claimed. Project Status Report forms can be obtained through the KDLA website [Local Records Program Grants Kentucky Department for Libraries and Archives](#) 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, which all grantees receive after notice of award. Reports should include copies of all financial and programmatic records and supporting documents. Such documentation 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, the unexpended funds are remitted to KDLA and redeposited in the Local Records Program Grants fund. The grant recipient shall retain amounts less than \$25.00 to use toward records management purposes and supplies.

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

The grant project is officially closed when all project activities are complete, payment is rendered to the vendor(s), the final Project Status Report is submitted and approved, and the grant recipient receives a closeout letter from the KDLA Commissioner.

IV. Additional Details

Accounting and Auditing Requirements

All grant documentation should be retained per the appropriate retention schedules. Grant recipients must comply with the audit requirements set forth by the Commonwealth of Kentucky. If any litigation, claim, or audit begins, 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 any requests for grant project changes that alter the scope of the project, the 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 may be requested. This process is initiated by submitting a letter to the Local Records Branch Manager explaining the delay and requesting an extension. Your Regional Administrator will complete an assessment of whether an extension is of merit and present their findings to the Local Records Branch and KDLA Commissioner. If approved, a contract amendment defining the new terms of the grant is forwarded to the grantee for signature.

Withdrawal of Awarded Grant Funds

Grant recipients can voluntarily withdraw from the project with thirty (30) days written notice to KDLA. After giving reasonable notification of unsatisfactory performance of conditions of the project and allowing thirty (30) days for the vendor to achieve compliance, KDLA has the right to terminate and cancel the grant contract. Such cancellation will be by written notice served on the grantee by certified or registered mail with return receipt requested. However, failure to complete a project due to early withdrawal may require to return funds advanced under the contract or return all unobligated/unexpended grant funds.

Glossary

Appraisal

Process of determining the value and then the disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; their arrangement; and their relationship to other records.

Backfile Conversion

The process of scanning, indexing, and storing a large backlog of documents on an imaging system.

Codification

The systematic arrangement and organization of laws (ordinances and resolutions).

Confidential Information

Information or data exempted from public disclosure under Kentucky's Open Records Act (KRS 61.878), and other state and federal statutes and regulations with specific restrictions. Local government agencies have the responsibility of knowing all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained in their office and to see that they are enforced.

Conservation

Refers specifically to the physical treatment of individual damaged items. The repair or stabilization of materials through chemical or physical treatment to ensure that they survive in their original form as long as possible. Conservation counters existing damage, as distinguished from preservation, which attempts to prevent damage. Conservation does not always eliminate evidence of damage; restoration includes techniques to return materials to their original appearances (which may include fabrication of missing pieces). [\[SAA\]](#)

Custody

The guardianship of records and manuscripts which may include both physical possession (protective responsibility) and legal title (legal responsibility) [\[Glossary of Terms \(utah.gov\)\]](#)

Digitize/Digitization

Creating a digital image that can be manipulated. For local records and preservation, digitizing allows images to be manipulated and indexed. Often used interchangeably with scanning (see below).

Disposition

Refers to what is done with records when those records are no longer needed for current business.

Digital Index

Metadata (similar to keywords) located within digital images that allows for searching and manipulation.

Electronic Record

“A record created, generated, sent, communicated, received, or stored by electronic means.” [KRS 369.102]. Any information recorded in a form that only a computer or other electronic device can process and that satisfies a state or jurisdiction’s definition of a record.

Format

How a record is kept, often called “medium.” Records exist in many formats and can include paper, microfilm, email, photographs, microforms, photographs, audio and video recordings, and electronic records, etc. _____

Medium

A general term referring to the material (e.g., paper disk, tape) on which business information has been recorded and may subsequently be used for business purposes.

Microfilm

Reliable, long-term, standardized image format. Transparent film containing highly reduced copies of documents. May also refer to the high-resolution, low-grain film used to make such copies.

Microfilm may be created in rolls, sheets (microfiche), strips (usually in jackets), or chips (usually in aperture cards). Standard widths of roll film include 35 mm and 16 mm. Microfilm may use gelatin silver, diazo, or vesicular processes to form the images. [\[SAA\]](#)

Permanent Record

Records appraised as having historical, informational, or evidential value that warrants preserving them permanently (forever) beyond the time needed for their intended administrative, legal, or fiscal functions. These records may be destroyed only after the written permission is given by the State Archivist and after they are microfilmed according to specifications published by the Department for Libraries and Archives.

Preservation

The activity that reduces or prevents damage to extend the life expectancy of collections through practical management. Protecting materials by minimizing chemical and physical deterioration and damage to minimize the loss of information and to extend the life of cultural property. The act of keeping from harm, injury, decay, or destruction, especially through noninvasive treatment. [\[SAA\]](#)

Public Record

“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 171.410 (1)). Public records are recorded information that is created or received by a state or local government agency in any format, which documents a transaction or activity by or with any public official or employee of that agency.

Public Agency

“Every state or local office, state department, division, bureau, board, commission, and authority; every legislative board, commission, committee and officer; every county and city governing body, council, school district board, special district board, municipal corporation, and any board,

department, commission, committee, subcommittee, ad hoc committee, council or agency thereof; and any other body which is created by state or local authority and which derives at least twenty-five percent (25%) of its funds from a state or local authority.” [KRS 171.410]

Regional Administrator (RA)

Administrator of the local records program to local governments within a given region of the state, performing complex professional, administrative and consultative work.

Records Destruction Certificate

Used by records officers to document the destruction of public records. The Records Destruction Certificate is provided by KDLA.

Records Inventory

List identifying the location, name, and description of each records series, held by a state or local government agency. A completed inventory provides information essential to preparing a records retention schedule, with appropriate retention and disposition instructions, for records created and maintained by a state or local government agency.

Records Management

The administrative and managerial activities related to managing records throughout their life cycle—from creation to their final stage of disposition, in which they are either destroyed or permanently preserved. May also refer to the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. [\[SAA\]](#)

Records Management Program

An effective program usually includes the following elements: obtaining strong policy and financial support from the governing or supervisory authority; developing policies and procedures for managing records and information; putting in place filing and indexing systems and tools; conducting an inventory of records; establishing and following records retention schedules; identifying and using technology appropriately to create, store, and retrieve materials; storing inactive records in a cost-effective and secure manner; destroying obsolete records in a timely and systematic manner and documenting their destruction; and identifying and preserving essential records. [CoSA]

Records Officer

Person designated by the agency to serve as the official liaison with KDLA on records management issues and to coordinate records management within the agency. [725 KAR 1:010]

Records Retention Schedule

The documents governing the retention and disposition of records series of a state or local public agency, and lists each record type, termed a “record series,” and each electronic records system created by a public agency. The documents that authorize the period of time that records are kept before they are destroyed or kept permanently. Records retention schedules are also sometimes used to identify essential records and to plan for their protection in an emergency. Most government agencies, from the federal level to the local level and the territorial and tribal levels, have mandated records retention and management requirements, governed by laws, rules, and regulations. Typically, there are two types of records retention schedules: General Records Retention Schedules, which cover commonly occurring cross-agency records, and Agency-Specific Records Retention Schedules, which list program records unique to a particular agency.

Records Series or Series Number

A group of related records that are filed and/or used together as a unit and therefore are evaluated as a unit for retention purposes, e.g., a personnel file consisting of an application, reference letters, benefit forms, etc. [\[SAA\]](#)

Retention Period

Minimum length of time a record is to be maintained in an accessible format for administrative, legal, fiscal, historical, or other purposes.

Scanning

Creation of digital image from physical record (paper, photograph, etc.). Often used interchangeably with digitize (see above).

Section

An area in the grant application to list the plan of work or specific project activities.

Record Series

A document or a set of documents maintained together because they relate to a particular subject or function, resulting from the same activity, taking the same form, or because of some other relationship arising out of their creation, receipt, or use.

Vital Record

Records that are essential to the continued functioning of the local government during and after an emergency, as well as those records that are essential to the protection of the rights and interests of that local government and of the individuals for whose rights and interests it has a responsibility.

Appendix

Applicants are encouraged to visit the KDLA website for any updated information concerning the grant program prior to submitting their applications.

Online Resources

Local Records Program Grants

[Local Records Program Grants Kentucky Department for Libraries and Archives](#)

Local Government Records Retention Schedules

[Local Government Records Schedules Kentucky Department for Libraries and Archives](#)

Microfilming and Digital Imaging of Public Records: A Procedural Guide

<https://kdla.ky.gov/records/Documents/Microfilming%20and%20Digital%20Imaging%20of%20Public%20Records%20-%20November%202021.pdf>

Policy Memorandum PM 2010-01: Storage of Public Records as Scanned Images

<https://kdla.ky.gov/records/recmgmtguidance/Documents/PM2010-01.PDF>

Ensuring Long-term Accessibility and Usability of Textual Records Stored as Digital Images: Guidelines for State and Local Government Officials

<https://kdla.ky.gov/records/recmgmtguidance/Documents/Imaging%20guidelines-012010.PDF>

Transfer of Public Records: A Procedural Guide

<https://kdla.ky.gov/records/Documents/Records%20Transfer%20Procedures,January,%202010.PDF>

Digital Image Transfer Policy

[Digital Image Transfer Policy.pdf \(ky.gov\)](#)

Records Retention Scheduling: A Procedural Guide

https://kdla.ky.gov/records/Documents/Retention_Scheduling_Guidelines_November%202021.pdf

Destruction of Public Records: A Procedural Guide

<https://kdla.ky.gov/records/Documents/Destruction%20Guidelines.PDF>

KDLA Certified Micrographics Vendors List

[Certified_Micrographics_Vendors.pdf \(ky.gov\)](#)

Grant Forms

Local Records Program Grants forms are available on the KDLA website:

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

Sample Applicant Timeline:

1. Develop project and create itemized specifications
2. Advertise specifications/Invitation for Bid to potential vendors
3. Select lowest bid vendor
4. Complete application text
5. Submit application package

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.