

Approved January 28, 1992
Date

MINUTES OF THE SENATE COMMITTEE ON GOVERNMENTAL ORGANIZATION

The meeting was called to order by Senator Lana Oleen at
Chairperson

8:35 a.m./~~p.m.~~ on January 17, 1992 in room 254-E of the Capitol.

All members were present except: Senators Doyen, Gaines and Vidricksen who were excused.

Committee staff present:

Julian Efird, Kansas Legislative Research Department
Fred Carman, Revisor of Statutes Office
Avis Swartzman, Revisor of Statutes Office
Mary Allen, Committee Secretary

Conferees appearing before the committee:

Dr. Ramon Powers, Kansas State Historical Society
Gretchen Gleue, Association of Records Managers and Administrators International
Keith Siu, Association of Records Managers and Administrators International
Harold Howarth, New York Power Authority
Andrea Lentz, Ohio Department of Human Services

The Joint Meeting of the Senate and House Committees on Governmental Organization was called to order at 8:35 a.m. by the Chairman of the Senate Committee, Senator Lana Oleen and the Chairman of the House Committee, Representative Gary Blumenthal. Chairman Oleen called on Ramon Powers, Executive Director of the Kansas Historical Society, to address the meeting on the subject of a records management system in Kansas. Dr. Powers said that Kansas statutes have authorized the creation of a state records center since 1957, however, none has been established. He observed that in 1989, the authority to store state records was transferred from the Department of Administration to the State Historical Society and, since that date, proposals for a records center have been included in the Society's budget requests in FY 1991 and FY 1992. He said that this past summer the Joint Committee on Arts and Cultural Resources strongly recommended the establishment of a records center; further, the Governor's proposed budget included money for such a center.

Gretchen Gleue, Legislative Liaison for the Greater Topeka Chapter of the Association of Records Managers and Administrators (ARMA), introduced members of ARMA present and called on Keith Siu, a member of the U. S. Legislative Affairs and Regulatory Committee of ARMA International, to address the Committees on a records management program for Kansas. Mr. Siu pointed out that in these times of limited resources and rapidly expanding service requirements it is more important than ever to establish effective records management policies and procedures. Noting that the reasons for records management are economy and efficiency, he stated that good records management is an effective and painless way to reduce costs and make budgets go farther. Mr. Siu suggested that Kansas begin a records management program by first instituting a records management study and pilot project, which would take at least one year, to develop policies and procedures. He listed several items which he feels such a study should include and observed that when it is completed the necessary space requirements for a records center would be known. (See Attachment I for Mr. Siu's testimony.) In answer to a question he said that the cost of a similar study in the State of Hawaii was approximately \$60,000.00.

Ms. Gleue told the Committees that Kansas is the only state government which has not made a commitment to a systematic records and information management program under the law although a select few agencies have tried to accomplish this on their own and have received assistance from the State Historical Society. She discussed efforts of the Kansas Corporation Commission in this regard and discussed storage problems currently experienced by the State of Kansas. She noted that in FY 1990, according to a Department of Administration-Administrative Audit, the total cost to 67 state agencies to purchase filing equipment, including the costs related to those purchases, was \$2,971,973.00. (See Attachment II for Ms. Gleue's

CONTINUATION SHEET

MINUTES OF THE SENATE COMMITTEE ON GOVERNMENTAL ORGANIZATION,
room 254-E, Statehouse, at 8:35 a.m./~~p.m.~~ on January 17, 1992.

testimony.) She provided copies of a Summary of a Survey of State Records Management Programs (Attachment III) and a booklet by the New York Power Authority entitled "Records Management" (Attachment IV) In conclusion Ms. Gleue stated that ARMA members would be happy to help provide free assistance on any task force which might be set up for a records management study in Kansas.

Harold Howarth, New York Power Authority, told the Committees that New York State developed a centralized records management program and has, so far, realized multi-million dollar savings. Andrea Lentz, Ohio Department of Human Services, stated that Ohio is just completing its first comprehensive cost benefit study but California has published studies on cost benefits for the last 15 years, with the study for FY 1990 revealing \$8-9 million saved that year due to the State's records management program.

Sonny Scroggins, assistant to Director of the Department of Social and Rehabilitation Services' Record Management Project, presented written testimony to the Committees concerning SRS's efforts in the field of record management. (Attachment V)

The meeting was adjourned by Chairman Oleen at 9:00 a.m.

Date: Jan. 17, 1992

GUEST REGISTER

HOUSE & Senate

COMMITTEES ON 'GOVERNMENTAL ORGANIZATION

NAME	ORGANIZATION	ADDRESS	PHONE
Gretchen Gleue	Ks Cong Comm	1500 SW Anowhead	
Keith Siu	ARMA Internat- Judiciary	1111 Ala Kea St	
Prison Jordan	Dept of Admin	Honolulu 96813	
Mark S. Rouse	Records Center of Topka Univ	852 S London	
C.E. "Sonny" Scroggins	Dept of SRS	NW Gay Blvd	
Charlotte Shawver	Register of Deeds ARMA	West Hall, Rm 119 300 SW Corbett Topeka, KS	
Chruen Sateles	Office of Statistics	110 Courthouse Pl.	
HAROLD A. SWARTZ	ARMA INTL - NEW YORK POWER AUTHORITY	Manhattan, Ks	
Donald L. TAYLOR	ARMA INTL - H.B. DICK Company	PO BOX F GRAND GORGE NW 12030	
RICHARD WILKE	ARMA International / CHEVRON CORPORATION	2327 S.W. Fwy Houston, TX 77098	
JAMES A. BARTON	ARMA - CENTRAL KANSAS CHAPTER BOEING CORP	575 MARKET ST. SAN FRANCISCO, CA 94105	
DOX MARTENS	ARMA - CENTRAL KANSAS CHAPTER Boeing Comm Aircraft	928 E. 52ND ST. ST. WICHITA KS 67216	
ANDREA LENTZ	ARMA International Ohio Dept of Human Services	P.O. Box 7730 Wichita, KS 67277-7730	
Debbie Bartuccio	ARMA Topeka Chapter Security Knit Group	2098 Tilden Rd. W. Columbus, OH 43209	
...	ARMA Topeka Chapter Security Knit Group	Topeka, Ks	
LADRA DURNHAM LEE	ARMA Topeka Chapter KTS	Topeka, Ks	
Bonnie Schmidt	City Clerk - Merriam, KS Greater KC Chapter ARMA	Merriam, KS	
Tom Hein	Records Center of Merriam KS ARMA	City Hall Merriam, KS	
...	...	Topeka, KS	
Carole Dabrowski	KEPRO / ARMA	Topeka, Ks	
...	
Carol Morris	ARMA International	Prairie Village	

TESTIMONY TO THE JOINT HEARING OF THE SENATE COMMITTEE ON
GOVERNMENTAL ORGANIZATION AND THE HOUSE COMMITTEE ON GOVERNMENTAL
ORGANIZATION

PRESENTED BY: KEITH SIU
MEMBER, U.S. LEGISLATIVE AFFAIRS & REGULATORY COMMITTEE
ASSOCIATION OF RECORDS MANAGERS AND ADMINISTRATORS

RE: KANSAS STATE HISTORICAL SOCIETY, DEPARTMENT OF ARCHIVES
RECORDS CENTER PROPOSAL

JANUARY 17, 1992

MADAME CHAIRMAN, MR. CHAIRMAN:

MY NAME IS KEITH SIU, REPRESENTING THE U.S. LEGISLATIVE AND
REGULATORY AFFAIRS COMMITTEE OF THE ASSOCIATION OF RECORDS MANAGERS
AND ADMINISTRATORS, ARMA INTERNATIONAL, AN ASSOCIATION OF OVER
12,000 RECORDS MANAGEMENT PROFESSIONALS.

A MAJOR PRIORITY FOR THE STATE OF KANSAS TODAY IS THE
DEVELOPMENT OF A COMPREHENSIVE RECORDS MANAGEMENT PROGRAM. IT IS
ONE THIN G TO "KEEP" RECORDS, BUT QUITE ANOTHER TO "MANAGE" THEM.
STATE GOVERNMENTS ARE FACED WITH INCREASING DEMANDS FOR INFORMATION
RELATED SERVICES. IN THESE TIMES OF LIMITED RESOURCES AND RAPIDLY
EXPANDING SERVICE REQUIREMENTS IT IS MORE IMPORTANT THAN EVER TO
ESTABLISH EFFECTIVE RECORDS MANAGEMENT POLICIES AND PROCEDURES. THE
REASONS FOR RECORDS MANAGEMENT ARE BASIC BUSINESS PRINCIPLES -
ECONOMY AND EFFICIENCY. COST REDUCTION IS ESPECIALLY IMPORTANT TO
STATE GOVERNMENT. SINCE GOVERNMENT HAS NO CONTROL OVER INCOME,
SHORT OF RAISING TAXES, IT MUST MAXIMIZE THE USE OF APPROPRIATED
FUNDING. GOOD RECORDS MANAGEMENT IS AN EFFECTIVE AND PAINLESS WAY
TO REDUCE COSTS AND THUS MAKE BUDGETS GO FARTHER.

Senate Committee on Governmental Organization
Attachment I
1-17-92

ARMA INTERNATIONAL IS PLEASED TO SEE THE STATE OF KANSAS MOVING TOWARDS A RECORDS MANAGEMENT PROGRAM AND HAPPILY SUPPORTS LEGISLATION TOWARDS THAT GOAL.

WE SUPPORT THE GENERAL CONCEPT OF A STATE RECORDS CENTER. HOWEVER, WE WOULD SUGGEST TO HOLD OFF RENTING SPACE FOR A RECORDS CENTER UNTIL A RECORDS MANAGEMENT STUDY AND PILOT PROJECT IS CONDUCTED TO DEVELOP RECORDS MANAGEMENT POLICIES AND PROCEDURES. THIS STUDY WOULD USE THE 3 REQUESTED POSITIONS AS TEMPORARY OR PROVISIONAL POSITIONS TO FORM THE TEAM CONDUCTING THIS STUDY AND PROJECT. A RECORDS MANAGEMENT PROFESSIONAL OR SIMILAR SHOULD FILL AT LEAST ONE OF THESE POSITIONS TO PROVIDE THE EXPERTISE NECESSARY FOR THIS STUDY WHICH SHOULD INCLUDE:

1. THE DEFINITIONS OF "RECORDS" AND "PUBLIC RECORDS".
2. ADMINISTRATIVE RESPONSIBILITY AND PROGRAM MANAGEMENT.
3. THE STATUS AND APPROPRIATE MANNER OF PRESERVATION OF INFORMATION IN ALL FORMS.
4. LEGAL CUSTODY OF THE RECORDS.
5. THE DEVELOPMENT OF A RECORDS RETENTION AND DISPOSITION PROGRAM.

6. PROVISIONS FOR THE SYSTEMATIC REMOVAL OF INACTIVE RECORDS FROM OFFICES, WITH SPECIFICATIONS FOR STORAGE FACILITIES.
7. POLICY STATEMENTS REGARDING STANDARDS OF LEGAL ADMISSABILITY OF MICROFILM AND ELECTRONIC RECORDS.
8. POLICY REGARDING PUBLIC ACCESS TO RECORDS WHILE PROTECTING THE PRIVACY OF THE INDIVIDUAL.
9. AN ESTIMATION OF THE COST TO IMPLEMENT RECOMMENDATIONS MADE AS A RESULT OF THE STUDY.

UPON REPORTING ITS FINDINGS AND RECOMMENDATIONS THIS TEAM WOULD DEVELOP A PILOT RECORDS MANAGEMENT PROGRAM TO USE THE BASIC ELEMENTS OF RECORDS INVENTORY AND RETENTION TOWARDS THE FULL DEVELOPMENT AND IMPLEMENTATION OF A COMPREHENSIVE STATE RECORDS MANAGEMENT PROGRAM.

UNTIL THE RESULTS OF THE STUDY AND PROJECT ARE KNOWN, WE CANNOT KNOW OF THE NECESSARY SPACE REQUIREMENTS FOR A RECORDS CENTER.

THANK YOU FOR ALLOWING ME THIS OPPORTUNITY TO PRESENT OUR TESTIMONY IN REGARDS TO THIS LEGISLATION.

Testimony before House & Senate Governmental Organization Committees

Jan. 17, 1992

Gretchen Gleue, Legislative Liaison
for Greater Topeka Chapter of the
Association of Records Managers & Administrators International

How does this all apply to Kansas?

Kansas is the only state government which has not made a commitment to a systematic records and information management program under the law. A select few agencies have tried to accomplish this on their own.

In June 1985 the Kansas Corporation Commission did not have valid retention & disposition schedules.

After surveying the agencies records and having the State Records Board approve retention schedules, we began cleaning and sorting. By May 1988 we had freed 70 file cabinets, an equipment reduction of 17%. That means we also returned that floor space to office use, not storage. PLUS we were able to reduce the subbasement (inactive) storage by 2/3 to 500 sq. ft.

According to the Inventory of Record Storage Space report the Dept. of Administration-Facilities Management submitted to another legislative committee, Kansas owns and leases over 240,000 sq. ft. of records storage space. If the State realized a similar savings that would mean 170,000 sq feet of paper eliminated, or nearly 6.5 million pounds of paper for recycling. To make it easier to visualize, the volume of records in boxes this size would stretch 30 miles - another words from here to Lawrence.

A Dept. of Administration-Administrative Audit report provided us with the file cabinet inventory of smaller state agencies. Filing equipment purchased in fiscal year 1990 cost \$59,439. Using the hidden costs formula researched by Kardex Systems, Inc indicates the total cost of related to one year's purchases is \$2,971,973.

And that's just the tip of the iceberg.

For those same smaller agencies, there were a total of 4904 pieces of filing equipment, valued at \$802,929.85. Using the same hidden cost formula the total cost for records was \$40,146,492.50.

*Senate Committee on Governmental Organization
Attachment II
1-17-92*

Report includes:

Abstracter, Brd of Examiners
Accountancy, Brd of
Adj. General's Dept.
Adj. General's Dept., Emg. Preparedness
Voctional Education, St. Council of
Dept of Aging
Agriculture, Brd of
Animal Health Dept.
Civil Rights Commission
Attorney General
Attorney General, KBI
Banking Dept.
Barbering, Brd. of
Behavioral Science Reg. Brd.
Healing Arts, St. Brd. of
Corporation Commission
Ks. Vocational Training Center
(now part of Dept. of Corrections)
Ombudsman for Corrections
Cosmetology, Brd. of
Credit Unions, Dept of
Dental Brd.
Mortuary Arts, Brd. of
Fire Marshall
Public Disclosure Commission
Governor
Grain Inspection Dept.
Hearing Aid Dispensers, Brd of Examiners
Historical Society
Commerce, Dept. of
Indigents Defense Services
Internal Cooperation Comm.
Judicial Council
Arts Commission

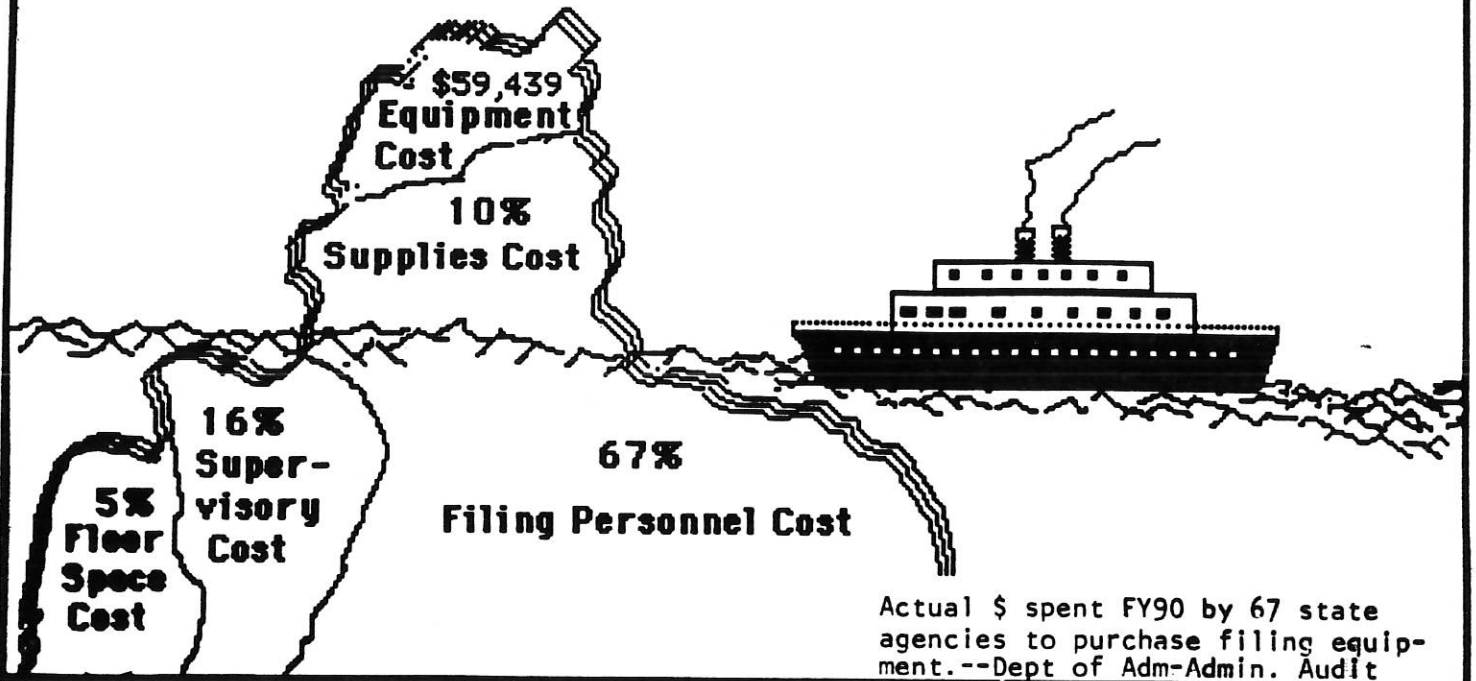
Kansas Inc.
Ks. Public Employees Retirement System
Technology Enterprise Corp.
Ks. State Fair
Wheat Commission
Legislative Research Dept.
Legislature
Legal Educational Planning Committee
State Library
Lottery
Consumer Credit Comm.
Nursing, Brd. of
Optometry Examiners, Brd. of
Parole Brd.
Pharmacy, Brd. of
Legislative Post Audit
Real Estate Commission
Racing Commission
Regents, Brd. of
Tax Appeals, Brd. of
Revisor of Statutes
Savings and Loan Dept.
School for the Visually Handicapped
School for the Deaf
Securities Commission
Sentencing Commission
Conservation Commission
Soldiers Home of Ks.
Education, Dept. of
Technology, Ks. College of
Technical Professions, St. Brd. of
St. Treasurer
Veterans Affairs, Ks. Comm. on
Water Office

Agencies whose inventory not reflected in report:

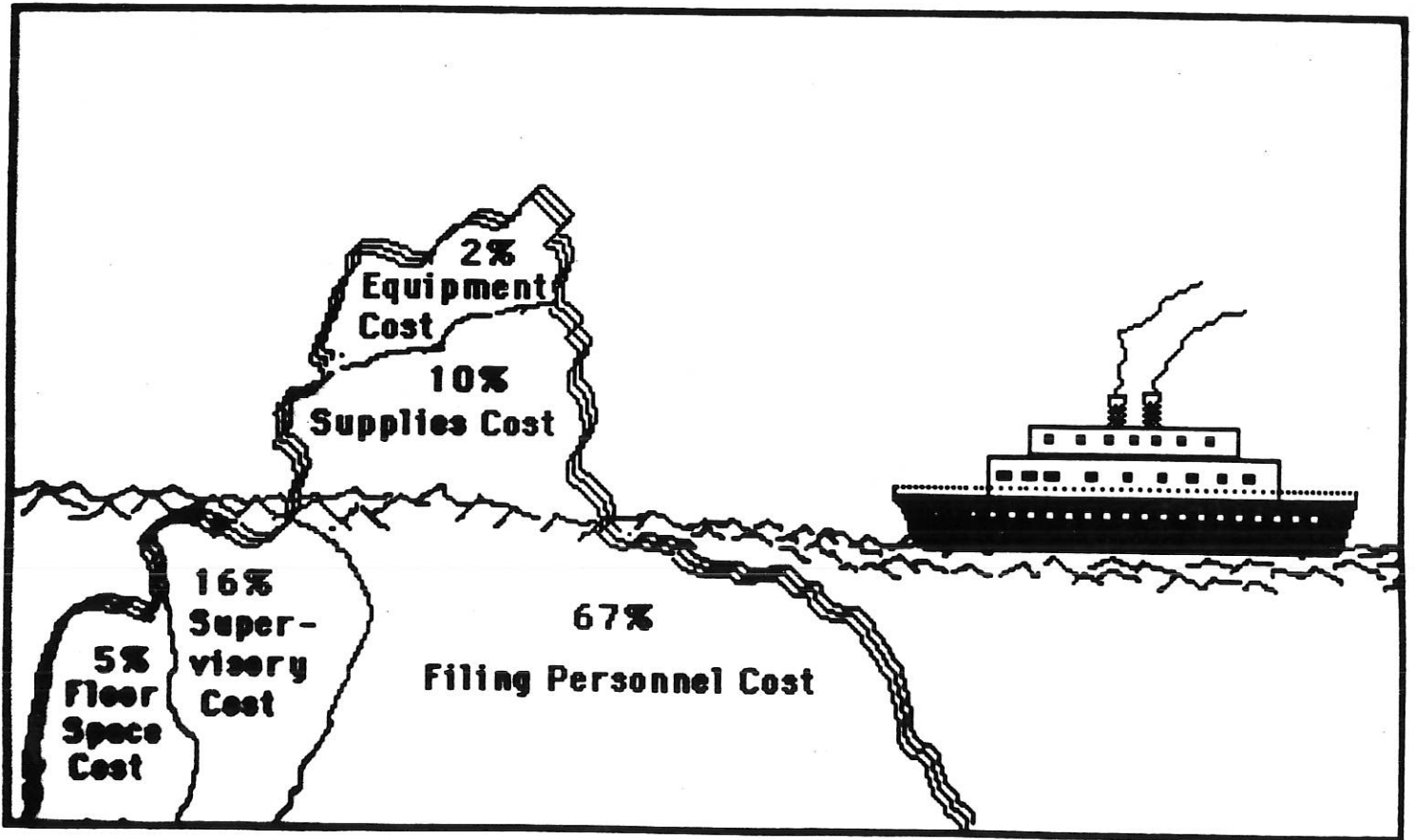
Dept. of Administration
Dept. of Revenue
Dept. of Health & Environment
Dept. of Human Resources
Social & Rehabilitation Services
S.R.S. Institutions (Youth Centers, hospitals)
Dept. of Transportation
Regents Institutions
Dept. of Corrections
Secretary of States
Supreme Court

Judicial Branch
Insurance Dept.
Wildlife & Parks Dept.
Highway Patrol & Capitol Area Security
Developmental Finance Authority
Emergency Medical Services, Brd. of
Hearing Aid Dispensers, Brd. of
Admin. Services, Legislature
Lt. Governor
Public Broadcasting Commission
Veteranary Examiners, Brd. of

Total cost FY90 = \$2,971,973



Actual \$ spent FY90 by 67 state agencies to purchase filing equipment.--Dept of Adm-Admin. Audit



State Records Management Programs

Summary of a Survey

Conducted June through August, 1990

by the

Greater Topeka Chapter

of the

Association of Records Managers & Administrators (ARMA), International

*Senate Committee on Governmental Organization
Attachment III*

1-19-92

1-3

STATE RECORDS MANAGEMENT PROGRAMS - Part A

State <i>Respondent</i>	<i>Program Established</i>	<i>Authority</i>	<i>What encouraged program development?</i>	<i>Financing</i>	<i>Floor space/equipment requests influenced?</i>
Alabama Dept. of Archives & History Archives & R. Mngmt Div.	1955	Code of Alabama 41-13	In response to steadily increasing volume of records after WWII. Realized millions of tax \$ spent on info insufficiently managed.	Appropriation; charge for microfilm services at cost.	Technical assistance on equipment and contracts for microfilming &/or imaging services/equipment.
Alaska Dept. of Education Div. of Libraries & Archives	Territorial, 1957 Rev. 1970.	Session Law, Ch. 147; Rev. Alaska Statutes 40.21, "Mngmt & Preservation of Public Records"	Need for legal & citizen accountability, and administrative efficiency.	Appropriations, except microfilming is charged back.	No.
Arizona Dept. of Library, Archives, & Public Records, Records Management Division	prior to 1950s 1976, then amended 1985	Statute.	Modern program evolved from 1974 mngmt study; enacted "relatively quickly".	General Fund, no chargebacks	Micrographics & imaging must have prior approval. Staff on many purchasing committees.
Arkansas History Commission	1973, revised 1987.	Act 24: Statutes 16-702, Revised Act 500.	Efficient and effective mngmt of records; lack of space due to excess stored records; concern for archival materials.	Budget of History Commission (State Archives)	No longer required not solicit participation due to lack of proper funding.
California Dept. of General Services Office of Records Mngmt.	1963	Government Code Sections 14740 - 14774.	Many earlier statutes before 1963. Based on conflicting statutes, st. gov't officials recognized need for comprehensive RM program.	By charging agencies for the amount of cubic feet used in storage.	Requests to purchase or rent filing, micrographic, microfilm, & optical disk equipment Also space and office layout.
Colorado Div. of Archives & Public Records	1959	Statute	Housekeeping problems - arbitrary disposal of records. Established first time before Legislature.	General fund.	No.
Connecticut State Library	1903, ca.	Statute.	"Historical +"	"Very low"	NO ANSWER

STATE RECORDS MANAGEMENT PROGRAMS - Part A

State <i>Respondent</i>	<i>Program Established</i>	<i>Authority</i>	<i>What encouraged program development?</i>	<i>Financing</i>	<i>Floor space/equipment requests influenced?</i>
Delaware Bureau of Archives & Records Management	1935 Revised 1937, 1943, 1959, and 1988.	Statute	Primarily leadership of State Archivist Leon deValinger (1940- 1970)	Budget, except micro-filming services are both "pass thru" and "charge back".	Micrographics equipment & application requests, off-site storage.
Florida Secretary of State Div. of Library & Information Services	1967; reorganized in 1986	67-50, 59-106, 86-163	St. Sen. Robt Williams interested in history & preservation, he realized need for admin. agency to control public records.	General revenue appropriations, & nearly 50% from service fees	Working with Dept. of Purchasing to not let agencies lease warehouse space instead of using Records Center.
Georgia Dept. of Archives & History	1972	"Georgia Records Act" 50-18-90 *	Initiated from recommendations of 1971 Reorg. & Mngmt. Study	Budget appropriation; no charge back	No.
Hawaii State Records Center	mid-1950's	Program under State Archives.	Originated as a records disposal program proposal. Program implemented FY57.	Appropriation.	No. Offer technical assistance on filming or storage services when requested.
Idaho Dept. of Administration Bureau of Printing	1974	Legislature gave Director of Dept. of Admin. the responsibility	Implemented with little trouble, but never funded well enough. Increased enough to now have a records center.	Charge-back system.	All microfilm services and equipment purchases must be approved by this office.
Illinois State Archives Records Management Section	1957	"Illinois State Records Act", "Local Records Act", IRS Ch116, 43.4	Began in 1943 with Commission to review disposal requests. Maintenance & storage problems in 1950s.	General Revenue Fund	Equipment purchases in some agencies related to participation in program.
Indiana Comm. on Public Records	1977	Gov. Executive Order; Statute eff. 1979	State Archivist. Gov. Bowen on Fed. Paperwork Reduction Commission.	Budget, except micrographics billed at cost.	All records storage & micrographics equipment requisitions.
Iowa Dept. of General Svcs. Records Mngmt. Div.	1974	Statute	Not sure.	Appropriation, charge back for microfilming.	No file equipment purchased until records to be stored are identified and have retention schedules.

STATE RECORDS MANAGEMENT PROGRAMS - Part A

State	Program Established	Authority	What encouraged program development?	Financing	Floor space/equipment requests influenced?
Kansas <i>Respondent</i>	No records mgmt program outlined in statute or reg.	Gov't Records Preservation Act (est. St. Records Board & St. Archivist's duties) KSA45-401 et al			
Kentucky Dept. of Libraries & Archives Public Records Div.	1958	Statutes and Adm. Reg. KRS 171; KAR 725 *	Concern related to loss due to fire/flood, storage conditions in early 1800's; 1973 reorg. credited to Dr. Thomas Clark	Majority from cost recovery in three areas, balance from General Fund.	Monitor micrographic service & equipment. Considering procedure re: leased storage space
Louisiana Secretary of State Div. of Archives, Records Mngmt, & History	1950	Revised Statutes Title 44	First attempt in 1940's. Increased interest and use in late 1980's due to economic crunch and limited floor space.	General fund, except charge for microfilming and storage boxes.	No.
Maine State Archives	1974	Archives & Records Management Law, 1965	1965 passage had full support legislative leadership, lead by Dr. James Rhoads' and est. \$200,000 annual savings.	General fund, but users pay cost of storage boxes. Microfilming provided at cost, on limited basis.	Purchase of filing equipment & systems requires RM approval.
Maryland Dept. of General Services Records Mngmt. Center	1953	Article 54 Annotated Code	"Not implemented on first try."	Budget and reimbursable. Microfilm services are charged-back.	All microfilm equipment requests must receive RM approval.
Massachusetts Secretary of State's Office	ca 1975	GL c 66, s 1 for municipal, county, and state government	Program existed since 1892; obtained sufficient staffing in 1975.	Budget allocation	Review state agencies requests for new or additional space.
Michigan Dept. of Mngmt. & Budget Records Mngmt Svcs Sect.	1953	Statute - Sec 284-289 of PA 504 of 1988	Detailed study in 1950, plus st. office bldg fire in 1951, pointing up existing poor management of state records.	General fund, except microfilming charges for services.	Review and approval authority over equipment, including optical disk.

STATE RECORDS MANAGEMENT PROGRAMS - Part A

State <i>Respondent</i>	<i>Program Established</i>	<i>Authority</i>	<i>What encouraged program development?</i>	<i>Financing</i>	<i>Floor space/equipment requests influenced?</i>
Minnesota Dept. of Administration Information Policy Office	Authorized 1947. Reorganized 1971, transferred in 1972.	Statute - MS 138.163.	Dept. of Adm.-Budget Bureau given responsibility. Two years later tried to develop task force. Authority to Hist.Society in '72	Appropriation (\$357,000 in 1983), except micro-filming is on revolving fund.	Not now. Previously all file equipment purchases were approved by Records Mngmt.
Mississippi Dept. of Archive & History State Records Center	1981	Statute	Need to be involved with agencies' records to ensure permanent preservation of those with archival value.	75% General funds, 25% fees.	No.
Missouri Secretary of State's Office Records Mngmt. & Archives Services	1965	Statute #109 (Patterned after North Carolina legislation)	Mess - Capitol basement full and couldn't find anything. Rep. Petrovic used photos of basement to prove problem.	General revenue, but if started over would consider charge back.	Approve equipment purchases - "no participation, no approval, no equipment"
Montana Dept. of Administration Information Svcs. Division Records Mngmt. Section	1975	Statute	Director Dept. of Adm. was force behind program. Took a couple tries with legislature to get program started.	100% cost recovery basis - charging agencies for services used.	No
Nebraska Dept. of State Records Management Div.	1968	Statute 84-1200, passed in 1961 but not funded until 1968.	Primary factor-fear all gov't records would be destroyed. Concern which records merited preservation.	Entirely general fund until 1977, now micro-graphics and record center on charge-back (86%).	Micrographics equipment purchases. Floor space & filing equipment very indirect, informal manner.
Nevada State Library & Archives Archives & Records Div.	1937, revised 1967.	Statute	Effective 1937 St. Brd of Control responsible for disposing of "old & obsolete" state records & maintaining record of final disposition.	General fund. Prior to 1983 was charge-back.	Monitor offsite storage rentals, review optical imaging systems purchases.
New Hampshire Records Mngmt & Archives Division	1961	Statute.	Saving office space. Guided by a few individuals, state established program on first try.	General fund (all expenses are recouped from individual agencies based on their usage.)	Only in sense, agencies don't have space to spare so need RM assistance on filming & storing as much as possible.

STATE RECORDS MANAGEMENT PROGRAMS - Part A

State <i>Respondent</i>	<i>Program</i> Established	<i>Authority</i>	<i>What encouraged</i> program development?	<i>Financing</i>	<i>Floor space/equipment</i> requests influenced?
New Jersey Dept. of State Archives & Records Mngmt. Division	1953	Statute	State followed the general guidance provided by Federal Government (Hoover Commissions, 1940's and early 1950's)	Budgeted except microfilm services charged back.	No.
New Mexico State Records & Archives	1960	Chapter 14, NMSA 1978, "The Public Records Act."	Implemented first try.	Legislative funding. Charge agencies for supplies used.	Microfilm equipment purchases, contractual services, and optical disk.
New York St. Education Dept. St. Archives & Records Adm. St. Gov't Records Division	1950, revised 1987.	Statute provided authority. Rudimentary R. Mngmt, Records disposition scheduling, set up in late 1940's	Growth of state government and resulting paperwork.	As of 1987, charge back fees.	No, not yet.
North Carolina Dept. of Cultural Resources Archives & History Div.	early 1940's; local program in 1959	Statute.	State officials, including governor, Archives, and legislators, worked together to create after '30-40's growing mass of records.	Legislative appropriations. No chargebacks but are seriously considering.	Make recommendations on certain micrographics requests made by state, county, and local agencies.
North Dakota Office of Mngmt & Budget Information Svcs. Div.	1961	Statute	Limited office space; large volume of records kept; legal ramifications of retaining too long.	General fund except microfilming, processing & duplicating charged to agencies.	No
Ohio Dept. of Admin. Services Information Management	1950, revised 1972, 1985.	Statute.	Original development influenced by fed. Hoover Comm., latter rev. based on position paper by Hist. Society staff.	Storage charged back -per box basis, forms mngt on %age of printing costs, RM chgback+ Genl Fund.	Review purchase requests for paper shredders.
Oklahoma Dept. of Libraries Office of Archives & Records	1947	Statute and Executive Order (89-14).	Post New Deal Era & WWII "paper explosion"	Direct appropriation	Offsite storage rental & microimaging equipment purchases.
Oregon Secretary of State Archives Div.	1961	statute	A clear need to be involved in the entire life cycle of records: creation to disposition.	General fund, charge-back on microfilming at cost.	No.

STATE RECORDS MANAGEMENT PROGRAMS - Part A

State <i>Respondent</i>	<i>Program Established</i>	<i>Authority</i>	<i>What encouraged program development?</i>	<i>Financing</i>	<i>Floor space/equipment requests influenced?</i>
Pennsylvania Dept. of General Services Publications & Paperwork Management Bureau	1956, latest revision 1985.	Initially, Admin. Code. Now Executive Order and Directives.	1952 Report on Records Management presented by Penn. Economy League to Legislative Committee on State Government.	General fund with charge-backs for micro-graphics only.	Agencies must participate in RM program to receive approval for filing and micro-film equipment.
Rhode Island Dept. of Administration Public Records Admin.	1981	Statute 38-3-3.	NEED ANSWER		No
South Carolina Dept. of Archives & History	1973; amended 1990	Ch. 1, Title 30, Code of Laws of S. Carolina	Was originally supported as a means of identifying & securing historical records. Enlisted support of Gov. & key legislators	Appropriations, but filming services provided at cost.	Not by state program, but some individual agencies tie equipment purchases to program participation.
South Dakota Bureau of Administration Records Managem't Program	1967	Statute	Bureau of Admin. official approached Gov., introduced legislation which was approved first time	General fund, microfilm duplicating at cost.	File cabinet and micro-graphics equipment approval.
Tennessee Dept. of General Svcs. Records Mngmt. Division State Records Center	1947	Chapter 26 Public Acts; Reamended 1957.	"Need to destroy original records."	Appropriated funds.	No
Texas State Library Records Management Div.	1947	Statutes	To establish control over information.	Appropriations, except microfilming on cost reimbursed basis.	No
Utah Archives & Records Svcs. Division	1951	Statute.	Earliest reason- concern for historical records. 1969 studied public records conditions, found need for better gov't mngmt.	Appropriations.	Div. of Purchasing request advise on equipment purchases relating to records.

STATE RECORDS MANAGEMENT PROGRAMS - Part A

State <i>Respondent</i>	<i>Program Established</i>	<i>Authority</i>	<i>What encouraged program development?</i>	<i>Financing</i>	<i>Floor space/equipment requests influenced?</i>
Vermont Agency of Administration Dept. of General Svcs. Public Records Div.	1937, Public Records Comm. 1975 Records Mngmt Law.	Statute.	Several years of persuasion, citing lack of space, economy, etc.	Appropriation, with microfilming, storage boxes, copies, and shredding billed at cost.	Per RM law, agencies must follow guidelines or equipment purchases will be refused.
Virginia State Library & Archives	1950	State statute.	Effort to improve efficiency in government followed by study by Records Engineering of Washington, D.C.	State appropriation, except microfilming charged back.	Review microfilm equipment purchases only.
Washington Secretary of State's Office Archives & Records Mngmt. Division	1941	Statute, present form 1956; latest revision 1986. RCW 40.14	Developed gradually, beginning in 1941. Legislature was concerned about proper documentation of st. business.	General fund; charge back for boxes stored, microfilm services; and from ea. agency by # of employees	No.
West Virginia Dept. of Administration Records Mngmt. Section	1960's	Statute.	Too much paperwork and couldn't legally dispose of anything.	Charged-back to agencies based on number of boxes in Records Center.	Purchase requests for filing cabinets & equipment must be approved by RM section.
Wisconsin Dept. of Administration Records Management Sect.	c. 1947	Statute	Federal government's program and Hoover Commission. Exploding amount of records.	Appropriations through agency budgets - total cost recovery by user fees.	Indirectly. Working on pilot w/ Bldg. Commission for a formal relationship.
Wyoming Dept. of Commerce	Back to 1943, formal devlpmt 1953, 1959.	Statute.	Legislature and exec.branch realized need for centralizing & preserving records, approved schedules, micrographics svcs.	Appropriations.	Planning on instituting Certificate of Compliance to ensure current schedules +... prior to purchasing equipm't.

STATE RECORDS MANAGEMENT PROGRAMS - Part B

State	<i>Offsite storage</i>	<i>Assistance offered</i>	<i>Forms</i>	<i>Centralized</i>	<i>"Selling Points"</i>
<i>Respondent</i>	<i>of inactive records</i>	<i>on active records storage</i>	<i>Management?</i>	<i>Microfilm?</i>	
Alabama Dept. of Archives & History Archives & R. Mngmt Div.	Lease 28,000 c.ft. center with storage, reference, security, destruction, & preservation services.	Files management and storage services/equipment on a request basis.	Yes.	Limited; + annual certification for public/private labs re:public records.	Cost savings; improved efficiency; adequate documentation; improved productivity: decreases the total # of files resulting in quicker retrieval so employees can do more.
Alaska Dept. of Education Div. of Libraries & Archives	One state-owned, one leased. Partial computerized tracking.	Prepare retention schedules, workshops, professional guidance and advise, as requested.	Dept. of Admin. - Div. of General Svc and Supply.	Full range: system design thru QC ++ support svcs for agencies w/ own.	Legal and citizen accountability of State Government. Efficient State Government management. Cost savings.
Arizona Dept. of Library, Archives, & Public Records, Records Management Division	Custom built state facility, 82,000 c.ft., expanding to 200,000 in 1991. Fully automated.	Consulting service.	Limited.	For inactive and semi-active systems.	Cost savings - direct and indirect.
Arkansas History Commission	Not since 1987, not adequately funded to do so.	Advisory and provide educational materials.	Yes	Only archival material.	Can be very cost effective due to office space saved by routine disposal of needless records; more efficient & effective management of government offices; saves money.
California Dept. of General Services Office of Records Mngmt.	Own & lease facilities. Tracking computerized.	Direct technical assistance to agencies coordinators.	Yes.	Prison Industry Authority offers centralizing filming.	Provides protection for records essential to functioning of gov't in event of disaster. Identifies records with adm., legal, fiscal, & historical significance. Efficient, economical.
Colorado Div. of Archives & Public Records	State owned, planning to computerize.	Consultative.	No.	Yes.	Cost savings, preservation of permanent records, paper recycling.
Connecticut State Library	75,000 c. ft. center	Limited consulting services.	No.	No.	Statutory requirements. "We also have a local records program."

STATE RECORDS MANAGEMENT PROGRAMS - Part B

State	<i>Offsite storage of inactive records</i>	<i>Assistance offered on active records storage</i>	<i>Forms Management?</i>	<i>Centralized Microfilm?</i>	<i>"Selling Points"</i>
<i>Respondent</i>					
Delaware Bureau of Archives & Records Management	State owned center has reached capacity, awarding bid for commercial space. Both computer tracking.	Active training program that is both agency-specific and offered through St. Personnel	No	Yes	Cost effectiveness--responsive public administration and government accountability; value of information as government resource.
Florida Secretary of State Div. of Library & Information Services	For semi-current records.	Technical assistance on major system studies, files or correspondence mngmt, information processing, office automation +	Yes.	Source document COM, processing, duplication, document conservation.	Manages state records through their life cycle including creation, use, & final disposition. Activities directed towards efficient & economical mngmt of info for gen'l public & gov't.
Georgia Dept. of Archives & History	Own/operate 200,000 c.ft. record ctr; inventory computerized	Very limited consultation; publications, annual training on topic	No	NO	Improved efficiency in information retrieval & Info. mngmt. Protection against adverse litigation; Cost avoidance.
Hawaii State Records Center	State-owned facility on leased land. Stores records & microforms. Tracking will soon be computerized.	Mainly retention schedules; on request offer help on systems or arrangements.	Going through redevelopment.	Initially, but not at that level now.	Cost effectiveness; Efficiency in handling, access; time-savings; Responsible program provides sound legal, fiscal, historical protection.
Idaho Dept. of Administration Bureau of Printing	Sept. 1989 opened State Records Center, leased facility, operated by state. Manual tracking system.	Don't have adequate personnel to offer help on in-office systems.	No.	Agencies contract w/ us, we provide final inspection. Also provide COM	Should be the reduction in personnel time, labor savings, freeing up valuable office space, increased efficiency, etc.
Illinois State Archives Records Managem't Section	Leased.	Advisory assistance when requested.	"Forms Mngt Act" administered by Dept. of Central Mngmt. Services.	Secretary of State's Office, films only.	Costs that result from lack of control over records, including poorly used space. A well developed RM program controls creation until disposal. Ease of retrieval.
Indiana Comm. on Public Records	State-owned bldg. In process of automating tracking system.	Assists any facet of file creation or maintenance, including micrographics systems.	Most state forms analyzed. All printing requisitions reviewed.	Lab offers processing, duplicating, jacket-loading	Cost savings and legal protection offered. RM can alleviate office space problems, while saving money. +Audit trail.
Iowa Dept. of General Svcs. Records Mngmt. Div.	State-owned facility. Computerized tracking.	Assist with filing methods, determining appropriate mode (film, paper, etc.), encouraging purge of inactive records.	Yes. Code of Iowa 304.2, 304.6, 304.7, 304.14, & 304.18.	Set film prod. standards, coordinate purchase or rental of services or equipment.	Stores inactive records in less expensive space not in office. Preserves records in appropriate format - considering volume & retrieval rate to determine storage mode.

STATE RECORDS MANAGEMENT PROGRAMS - Part B

State	Offsite storage of inactive records	Assistance offered on active records storage	Forms Management?	Centralized Microfilm?	"Selling Points"
Respondent					
Kansas	KSA 75-3509: authority to establish State Records Center. 1957-89 in Dept. of Adm., now Hist. Society.*		No.	Dept. of Revenue according to statute.	
Kentucky Dept. of Libraries & Archives Public Records Div.	Leased facilities. Automation of activities underway.	Recommend storage equipment, use of micrographics & automation as tools to effectively manage active records.	Administered by Finance & Adm. Cabinet.	Yes, plus certifies private labs for state agency use.	Economies through efficient management of records, more efficient operations and effective service. Improved access. Assures appropriate preservation.
Louisiana Secretary of State Div. of Archives, Records Mngmt. & History	Center operated for 17 yrs. State-owned facility now, 50,000 c.ft. Getting new computer tracking system.	Not much being done.	No	Yes, not strictly enforced.	Since state gov't suffered economic disaster in mid-80's, agencies participation in RM has increased because they realize they have limited floor space and funds.
Maine State Archives	State-owned. Tracking is computerized on a box-by-box basis.	Whatever they request.	No	By Photo duplication Lab. RM & lab inspect film service bureaus.	Loss of archival records, through deliberate (ignorant) destruction & improper handling. Waste of funds to maintain useless records. Violation of citizens' rights.
Maryland Dept. of General Services Records Mngmt. Center	State-owned facility. Computerized tracking.	Consultation and assistance in selection of information retrieval systems.	Yes.	Both source and COM microfilm services.	"Square foot cost of office space - cost in office \$50/c. ft. compared to \$5/c. ft. in Records Ctr. . Need to retrieve information in a timely manner."
Massachusetts Secretary of State's Office	State-owned; box-level automated control	Training, publications, on-site consultations	No	By Ex. Office of Admin. & Finance, at cost	Simple formulas can demonstrate RM decrease operational costs; Impact on productivity - more important than \$ savings.
Michigan Dept. of Mngmt. & Budget Records Mngmt Svcs Sect.	Over 700,000 c. ft. storage plus referral, refile, and disposal services, in operation over 30 years.	File systems studies.	Yes.	Computer Output Microfilm predominant part.	Unfortunately, the selling point that got our program off the ground was a roaring fire that burned a state office building.

*Currently Archives stores records of "enduring value"; up to each agency if offsite used for inactive non-enduring records.

STATE RECORDS MANAGEMENT PROGRAMS - Part B

12-3

State	<i>Offsite storage</i>	<i>Assistance offered</i>	<i>Forms</i>	<i>Centralized</i>	<i>"Selling Points"</i>
<i>Respondent</i>	<i>of inactive records</i>	<i>on active records storage</i>	<i>Management?</i>	<i>Microfilm?</i>	
Minnesota Dept. of Administration Information Policy Office	Leased facility. Computerized tracking.	Written materials on "Efficient Filing".	With automated Forms Inventory System to track, revise, enhance forms	Yes, fully-equipped lab films approx. 10 million items per year.	
Mississippi Dept. of Archive & History State Records Center	State-owned facility. Track records center storage with assistance of computer.	Limited.	No.	Offer microfilming services - source document & COM.	Cost savings of program; Link with archival function.
Missouri Secretary of State's Office Records Mngmt. & Archives Services	Leased space, State building ready in 1991. Inventory on computer.	Some - great area of opportunity. Don't have staff now so depend on vendors' expertise.	In Office of Admin John Downs	Film 1 million images/month, jackets & fiche.	Alternate cost of office space vs. warehouse-file cabinets vs high density shelves. Cost to keep everything. Orderly disposal is as important as creation.
Montana Dept. of Administration Information Svcs. Division Records Mngmt. Section	State owned facility, currently manual tracking. Plan to computerize.	Training seminars and works with individual agencies to show most cost effective ways to store active records.	No	Full service with every describable camera and application, at cost.	The purpose of RM in Montana is to save agencies time, space, & money. Motto- "Good records management doesn't cost, it pays."
Nebraska Dept. of State Records Management Div.	Leased warehouse, tracking by manual system.	File systems, equipment selection and other on case-by-case, as requested, basis. No ongoing training program.	No	All forms of centralized microfilm services + hardware acquisit'n	Best selling point - tragedy. Or examples of current expenditures that could be eliminated - verifiable expenditures, such as office space used for storage.
Nevada State Library & Archives Archives & Records Div.	Leased space while new building constructed. Computerized.	Consulting basis on file systems and automation. Classes on RM and Office Management.	Not actively pursued due to staff shortage & other project underway	State Printer	Cost of storing redundant records. Space and staff requirement for redundant records. Legal problems in destroying unscheduled records. Protecting vital & historic records.
New Hampshire Records Mngmt & Archives Division	State owned center since 1961. As of Jan. 1990, 45,000 c.ft. storage. Computerized tracking.	Microfilming of active records, help weed out duplication.	Not centralized- by individual agencies.	Yes	Savings of space & money by maintaining records needed for legal reasons in central, proper conditions. Safety of proper filming. Proper & timely disposal of outdated records.

STATE RECORDS MANAGEMENT PROGRAMS - Part B

State <i>Respondent</i>	<i>Offsite storage of inactive records</i>	<i>Assistance offered on active records storage</i>	<i>Forms Management?</i>	<i>Centralized Microfilm?</i>	<i>"Selling Points"</i>
New Jersey Dept. of State Archives & Records Mngmt. Division	State-owned facility, computerized tracking.	On-site consultative services (on demand).	Forms analysis and design consultative support.	Source document filming service.	Space savings, cost avoidance, operational efficiency, vital records protection, protection of historical legacy and enhanced decision-making ability.
New Mexico State Records & Archives	State-owned, computer tracking as of 1988.	Filing studies, microfilm feasibility studies, etc. as needed.	As needed.	Lack staff.	Lack of space for storing records on-site. High cost of space, supplies, & equipment. Legal requirements for records.
New York St. Education Dept. St. Archives & Records Adm. St. Gov't Records Division	State built center in 1967. Now seeking additional space to lease. Just contracted auto. tracking.	Training sessions, direct advisory and technical assistance services.	Yes, by separate agency.	Very small program deals with maps and engineering plans.	Cost savings & cost avoidance. Value of information. Costs of recordskeeping, including costs of new technology. Accountability in government.
North Carolina Dept. of Cultural Resources Archives & History Div.	State-owned 120,000 c.ft. records center, built 1975, plus "few thousand" c.ft. in old center. Computerized.	Full program: includes scheduling, records storage & reference central microfilming, workshops, advise/assist all RM areas	Little at this time. Handled by Dept. of Administration.	Yes. Do not film for all agencies because of "certain peculiar operations"	Several. Records Center cheaper than high price office space. Sets up an orderly process to preserve records of continuing value while destroying those of no further use. ++
North Dakota Office of Mngmt & Budget Information Svcs. Div.	No centralized off-site storage. Each agency responsible for own storage, if necessary.	Implementation of file classification system, recommend appropriate equipment, all areas of RM.	Yes, includes number identification system.	Only records approved for filming - based on volume, access, etc.	Space savings = cost saved for less office space required. Legal requirements for retention of specific records.
Ohio Dept. of Admin. Services Information Management	Leased space, computerized tracking. Planning approved, waiting on funding for a facility.	Very little.	Processes all requests for new or revised forms. Offers design ass't.	Lab discontinued last year.	Helps in creation of quality records that may be effectively used; ensures records protecting individual rights & interest safely kept; saves public revenues - equipmnt, space, time, forms.
Oklahoma Dept. of Libraries Office of Archives & Records	State-owned center charges agencies for storage	Consultative assistance and workshops.	Yes, but have not "done much"	Not part of program.	RM is an investment that pays, not a program that costs. Cost savings & avoidance are substantial. Saves much more than it costs to operate.
Oregon Secretary of State Archives Div.	Leased facility, tracking system on computer.	Files management, vital records programs, etc.	A minor part of our advice and assistance.	No	Public access issues - public's right to access gov't information. Information must be identified & controlled to do this effectively.

STATE RECORDS MANAGEMENT PROGRAMS - Part B

State <i>Respondent</i>	<i>Offsite storage of inactive records</i>	<i>Assistance offered on active records storage</i>	<i>Forms Management?</i>	<i>Centralized Microfilm?</i>	<i>"Selling Points"</i>
Pennsylvania Dept. of General Services Publications & Paperwork Management Bureau	State-owned, built in 1981, stores for all agencies. Fully automated operation.	Direct guidance through training sessions, consultation services, studies, publication, etc.	Yes.	Yes, COM and source documents.	To protect rights and interest of Commonwealth & her citizens, preserve heritage of State, to properly manage info. processes, ensure compliance w/ legal reqmts., \$ savings.
Rhode Island Dept. of Administration Public Records Admin.	Leased. Computerized tracking.	Training workshops. Administrator provides consultation as needed.	Through a consultant.	Women's prison.	Saving space and equipment costs. Efficiency in retrieving information.
South Carolina Dept. of Archives & History	Owned by State Archives. Not yet computerized but planned for coming year.	Files management recommendations made, primarily, in conjunction with retention schedule development.	No.	Yes:	Economies in space, equipment, time. Protection for vital records, security for long term & permanent records.
South Dakota Bureau of Administration Records Management Program	State-owned facility uses Automated Records Management system.	Filing manual, records retention schedule manuals.	Pilot project underway.	Provide cameras for agencies to use. Process film.	Dollars saved by space reduction.
Tennessee Dept. of General Svcs. Records Mngmt. Division State Records Center	Leased facility, 31,000 sq. ft. Tracking not computerized, but inventory is.	Upon request.	Governed by Paperwork Reduction & Simplification Act of 1976.	In process of establishing.	Cost per sq. ft. for office space as compared to cost for same sq. footage in a Records Center.
Texas State Library Records Management Div.	State-owned center with 390,000 c. ft. capacity. Automation scheduled to go on-line FY92.	Variety of classroom training and individual consulting.	Yes	Yes	Cost avoidance, identification of vital & archival records. Protection (legal) of rights & interests of state gov't and citizens.
Utah Archives & Records Svcs. Division	Rent space, manage for state/local govts. Looking at own facility. Automated tracking system.	Advise state & local agencies on active storage methods. Consulting.	Statute allows, but no staff or budget to do so.	Mostly decentralized, or filmed at State Prison.	Money saved by efficient management of records. Includes space, equipment, staff time. State needs to protect itself from legal problems and for audit purposes.

STATE RECORDS MANAGEMENT PROGRAMS - Part B

State	<i>Offsite storage of inactive records</i>	<i>Assistance offered on active records storage</i>	<i>Forms Management?</i>	<i>Centralized Microfilm?</i>	<i>"Selling Points"</i>
<i>Respondent</i>					
Vermont Agency of Administration Dept. of General Svcs. Public Records Div.	Space leased; New state-owned building will eventually house all records with computerized tracking	None.	No. Each agency develops its own forms.	Offered to state agencies, local government, and some schools.	Space savings, storage cost vs. equipment costs.
Virginia State Library & Archives	Three state-owned storage facilities and developing plans for a records center with computerized tracking	Developed procedure manuals that cover this and advise on systems from creation to storage.	No.	Yes, on reimbursable basis.	Cost savings, efficiency, legal necessity to comply with court rulings.
Washington Secretary of State's Office Archives & Records Mngmt. Division	Some bldgs. owned, some leased. Building 200,000 c.ft. center. Computerized and upgrading system.	Consultation, time permitting	No	Film, process, duplicate, & store security copies for st/local agencies	Compare costs of storing inactive in office with records center costs. Compute cost avoidance of retention program vs. no schedules.
West Virginia Dept. of Administration Records Mngmt. Section	State-owned facility for 40,000 c.ft., manual tracking system.	Limited.	Was dropped in approx. 1979.	Yes, under Dept. of Administration.	Ease of locating records; Assurance in knowing what information the state really has.
Wisconsin Dept. of Administration Records Management Sect.	State-owned facility. Had computerized tracking since '60's, now trying to update system.	On request only.	Yes.	Yes, includes COM. St. Brd. approves all microfilming applications.	Guarantees the 5% or so of all records with archival value are protected. Efficient government operation. Legality of records issues-- public access, proper disposal, etc.
Wyoming Dept. of Commerce	State-owned facilities. Tracking computerized.	Periodic training.	No.	Complete services to all agencies: from filming through duplicating & QC	Good services sells program. Providing quick, quality pickup, delivery, and research service to all branches of gov't, assists in obtaining cooperation, compliance, and funding.

Summary: RECORDS MANAGEMENT SURVEY

conducted by Greater Topeka ARMA Chapter, 1990

(Questions, in bold, are stated exactly as on survey forms sent to states.)

When was your state's records management program established?

prior to 1930: 1 1930 to 1949: 11 1950 to 1969: 26 1970 to 1979: 9 1980 to 1989: 2

What provided the authority (statute, governor's directive, etc.)?

Statute: 45 Executive Order: 2 Other: 1

What encouraged your state to develop a records management program? Was it implemented on the first try, or did it take several years of presentations to your governor, legislature, or Dept. of Administration? Too broad and varied to summarize. Refer to individual replies in survey.

How is your program financed? Are services charged back to agencies requesting filming, storage, etc. on a cost basis?

Appropriation: 14 100% chargeback or recouped from agencies: 7 Combination: 27 No answer: 1

Does your program include off-site storage for other agencies' inactive records? Does the state own the facility or is the space and/or service leased?

State-owned: 25 Leased: 14 Own & lease: 5

*Some states included information on size. Four have 20,000 to 50,000 c. ft. facilities, 8 have over 50,000 c.ft.

Is tracking computerized? Yes, in 32 state's inactive storage facilities.

What level of assistance do you offer agencies on active records storage methods?

Wide variety of responses. Please refer to individual remarks in survey.

Are floor space and/or equipment purchase requests influenced by whether agencies participate in your program?

In some manner: 25 (For details on how each state handles this, please refer to survey.)

No: 20

Does your program include forms management?

Yes: 28 No: 17 Pilot program: 1 Per statute, but no staff or funding: 1

Do you offer centralized microfilming? If so, describe these efforts.

Yes: 40 No: 8

The best "selling points" to convince legislators and budget analyst of the need for a records management program in state government are:

Refer to individual replies in survey.

Appendix "A"
Related Kansas Statutes and Regulations

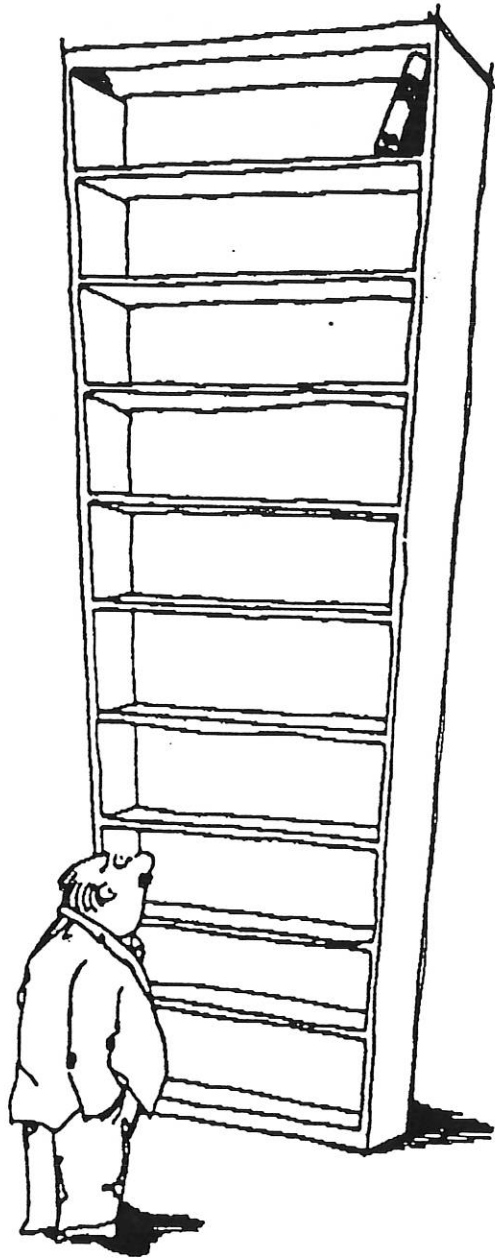
- K.A.R. 53-3-1 General records retention and disposition schedule for state agencies.
- K.A.R. 53-4-1 Records Officer (director of each state agency to appoint agency records officer & duties).
- K.S.A.21-3821 Tampering with a public record.
- K.S.A.45-215
through 225 Open Records Act
- K.S.A.45-401
through 413 Government Records Preservation Act
Includes: definition of "government record", "noncurrent government record", government records are public property, State Records Board duties, State archivist's duties, state agencies required to cooperate with state records board & state archivist, microphotographic or optical disc storage of records.
- K.S.A.45-501 Method of Recording Public Records: Records made on electronically accessed media, authorization, conditions, application, notice to state records board.
- K.S.A.45-502 Method of Recording Public Records: Use of standard size paper for documents filed with state agencies and courts.
- K.S.A. 74-2445 Microfilming and photostating services for elected officials and state agencies; fees; revolving fund, use.
- K.S.A. 75-3501
through 3511 Public Records
Includes: records defined; state records board, members; attached to Dept. of Admin.; Ex officio members; Authority to order disposition, establishment of schedules; public officer defined; reproduction of records on film or disc; reproduction or records on film or disc, evidence in courts or administrative agencies; State records center; availability of records in records center.

RECORDS MANAGEMENT

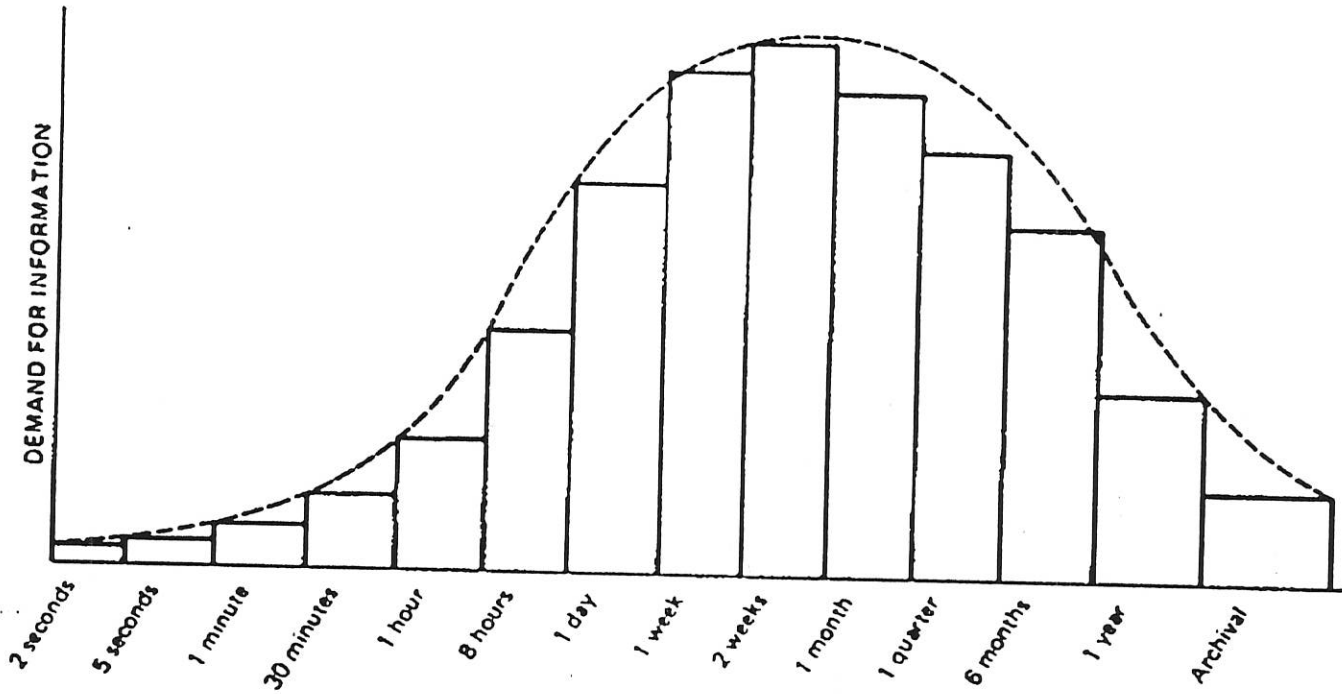


Prepared by
Harold D. Howarth
Chief of Design, Drafting
and Records

*Joint Committee on Governmental Organization
Attachment III
1-17-92*



INFORMATION IS ONLY AS VALUABLE AS IT IS ACCESSIBLE..

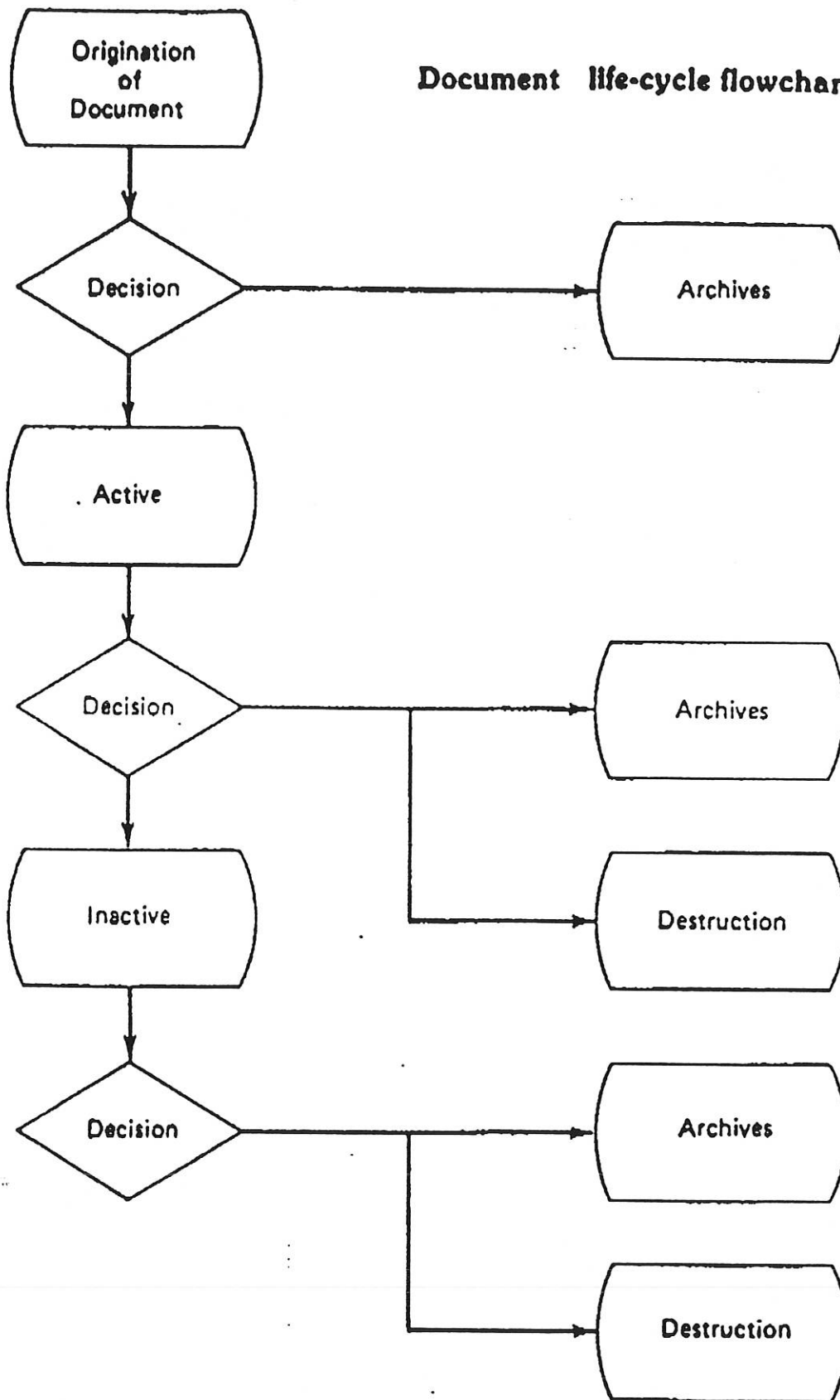


The demand for information in relation to time.

RECORDS MANAGEMENT

... the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition, including the management of correspondence, forms, directives, reports, machine-readable records, microforms, information retrieval, files, mail, vital records, records equipment and supplies, word processing and source data automation techniques, records preservation, records disposal, and records centers or other storage facilities.¹

Document life-cycle flowchart



Control steps in the records cycle.

Step	Control Activities
1. Creation	<ul style="list-style-type: none">a. Justify the need for the recordb. Measure its possible costsc. Assign responsibility for creation control
2. Utilization	<ul style="list-style-type: none">a. Prepare documents for filingb. Obtain appropriate filing equipment and suppliesc. Determine retrieval proceduresd. Complete records inventory
3. Retention	<ul style="list-style-type: none">a. Classify records according to their valueb. Establish retention schedulec. Code documents with retention period
4. Transfer	<ul style="list-style-type: none">a. Determine transfer dateb. Assign responsibility for transferc. Effect transfer in one of several methods
5. Disposal	<ul style="list-style-type: none">a. Review retention scheduleb. Select disposal method most appropriatec. Carry out disposal in timely manner

What Is a Record?

Documents may be records or nonrecords. In simple terms, a *record* is any document valuable enough to be retained. The record can take the form of motion pictures, microfilm, maps, charts, drawings, correspondence, photographs, magnetic tapes, and so on. In most organizations the majority of records consists of paper documents.

Records Disposition: What to Keep and How Long to Keep It

Why should records be retained?

What records should be retained?

Where should records be stored?

How long should records be retained?

How should records be classified?

Who should manage and control records?

The purposes for storing records are as follows:

1. To provide for future reference a record of business transactions between individuals and companies. Examples of such transactions include invoices and purchase orders, contracts for services, general correspondence, and loan agreements.
2. To prove the lawful existence and operation of a company under various city, state, and/or federal regulations. Examples of such records are organizational charters, incorporation documents or partnership agreements, and stockholder information.
3. To meet government standards regarding the length of time certain records must be retained in a company's files. For example, the Internal Revenue Service requires that businesses retain tax records and supporting documents permanently. Other records requiring retention for specific periods include tax records, personnel data, legal contracts, and stockholder records.
4. To substantiate management decisions and financial operations that are presented or distributed to other businesses, individuals, government agencies, and the public. Such information includes general announcements concerning new products or services, new processes or technologies, shareholder earning reports, and research and development data.

EVALUATIONS



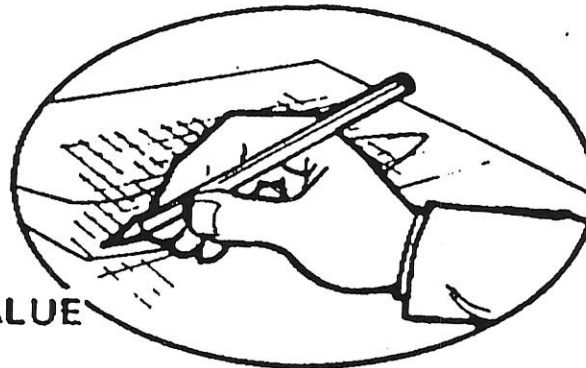
ADMINISTRATIVE VALUE

- REQUIREMENTS FOR DAY TO DAY OPERATIONS
- SYSTEMS DEVELOPMENT



LEGAL VALUE

- GOV. CONTRACTS
- FED. COMMISSIONS
- INTERNAL REV.
- LITIGATION-CLAIMS
- STATE & LOCAL REGULATIONS



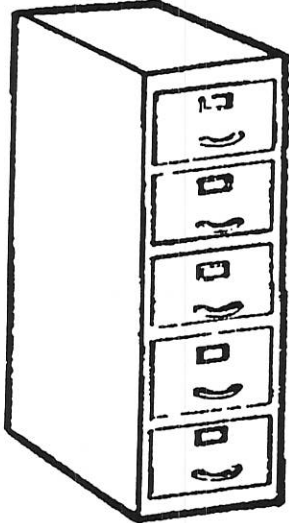
HISTORICAL RESEARCH VALUE

- SPECIAL STUDIES
- PUBLIC RELATIONS
- ARCHIVAL INPUTS

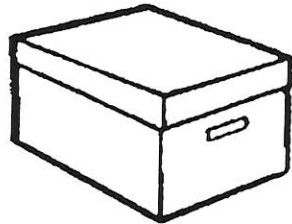
Classification of records.

<i>Type</i>	<i>Definition</i>	<i>Examples</i>
Vital	Records that cannot be replaced and hence should never be destroyed. These records are essential to the effective, continued operation of the organization and should not be transferred from the active section of the storage area (usually the general office area).	Property deeds Legal documents Incorporation documents Contracts
Important	Records that are necessary to an orderly continuation of the business and are replaceable only with considerable expenditure of time and money. Such records may sometimes be transferred to inactive storage but are usually not destroyed.	Tax records Financial records Sales records
Useful	Records that are useful for the smooth, effective operation of the organization. Such records are replaceable, but their loss would involve some delay or inconvenience to the firm.	Letters Business reports Some financial records
Nonessential	Records that have no predictable value to the organization. Since the purpose for which they were created has been filled, they may be destroyed.	Routine correspondence Interoffice memos Seasonal publications

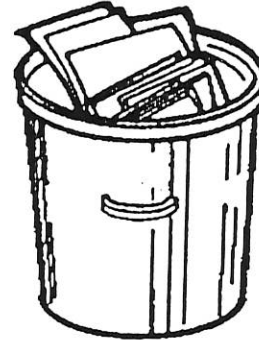
RETENTION & PROTECTION



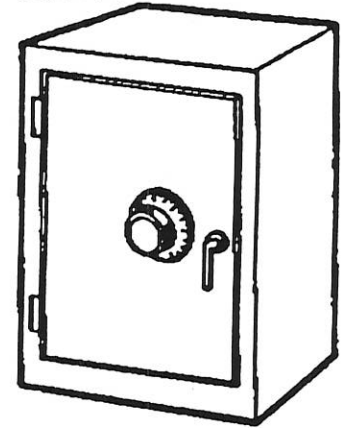
FILE



RETAIN



DESTROY



PROTECT

BY USING

- RETENTION SCHEDULES
- RECORDS CENTERS
- EQUIPMENT SURVEILLANCE
- VITAL RECORDS PLANNING

YOU ACHIEVE

- SCHEDULED DESTRUCTION OF RECORDS
- LOW RECORDS KEEPING COSTS
- CONTROL OF EQUIPMENT PURCHASES
- DISASTER PROTECTION

Retention Schedule

A retention schedule is a documented agreement among the records creator, the records user, and the records manager as to the retention and disposition of a record. In effect, the schedule specifies how long each type of active record is to be held for reference, the length of time it is to be held in storage for semiactive reference, and when the record may be destroyed.

Document Category	Retention Period	Reference Usage	Subject to Changes <ul style="list-style-type: none"> • additions • deletions • modifications
Temporary	Under 1 year	Frequent	No
		Infrequent	
		Frequent	Yes
		Infrequent	
Semi-permanent	1 to 10 years	Frequent	No
		Infrequent	
		Frequent	Yes
		Infrequent	
Permanent	10 or more years	Frequent	No
		Infrequent	
		Frequent	Yes
		Infrequent	

Document usage.

Records Disposition Checklist

The following checklist should be reviewed periodically because a records disposal program is a basic part of a total records management program.

1. Are all records covered by a retention schedule?
2. Were existing files analyzed recently for an update of the retention schedule?
3. Are manuals with current schedules available to company personnel designated to use them?
4. Are retention/disposition procedures clearly defined and understood by those involved?
5. Are the schedules being used in the company? Who is not using them? Why?
6. Is disposition of records supervised and controlled? Does it follow the procedure set for it?
7. Is an audit made periodically to see whether records are transferred to storage or destroyed according to standard operating procedures?
8. Is the total volume of records in the company monitored periodically? How often?
9. What records are in high-cost work areas? Which are in storage?
10. Have vital records been identified? Are they adequately protected?

The Records Center

A company has four alternatives for storing inactive records:

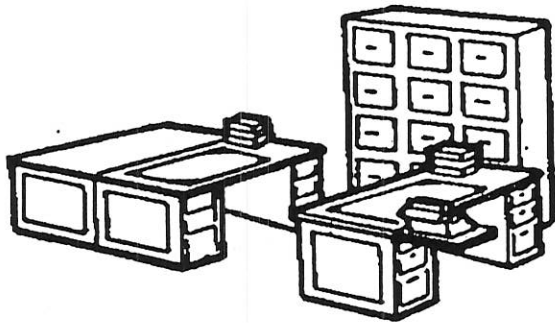
An on-site center

A separate off-site facility

Leased warehouse space

A commercial records center

RESULTS OF APPLIED RETENTION SCHEDULES

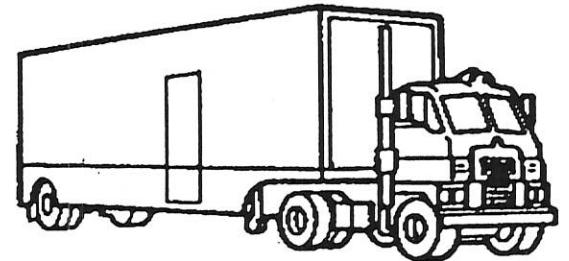


43.6%
REMAIN IN OFFICES



24.1%
DISPOSED OF AS
WASTE PAPER

32.3%
TRANSFERRED TO
RECORDS CENTER



56.4%
OF ALL RECORDS

- RECYCLED
- DESTROYED
- TRANSFERRED

- * 65 CENTS OF EVERY DOLLAR EXPENDED ON RECORD KEEPING AND FILING IS WASTED.
- * 70% MORE RECORDS ARE RETAINED THAN ARE NEEDED.
- * 85% OF FILED RECORDS ARE NEVER REFERENCED.
- * 95% OF ALL REFERENCES ARE TO DOCUMENTS THAT ARE LESS THAN 3 YEARS OLD.
- * 45% OF FILING SPACE IS USED TO STORE DUPLICATES AND RECORDS OF DOUBTFUL REFERENCE VALUE.

A 1978 DARTNELL INSTITUTE SURVEY
(Last Year Survey was Taken)

MY NAME, IS CLARENCE E. SCROGGINS, KNOWN TO MANY OF YOU AS "SONNY" SCROGGINS, I AM PROUD TO APPEAR BEFORE YOU THIS MORNING IN MY CAPACITY AS ASSISTANT TO MRS. LIBBY PETERS, INDEED, I AM PROUD TO NOTE THAT THE DYNAMICS OF SRS PURPOSE TO PROMOTE AND ADVANCE THE IMPROVEMENT OF RECORDS/INFORMATION AND MANAGEMENT HAVE BEEN AMPLY MANIFESTED THROUGH THE ESTABLISHMENT OF THIS SRS RECORDS MANAGEMENT TASKFORCE.

THOUGH I APPEAR BEFORE YOU HERE TODAY, AS ASSISTANT TO THE DIRECTOR OF SRS RECORDS MANAGEMENT PROJECT, WHICH IS APART OF GENERAL SERVICE.....IT IS AS A FELLOW EMPLOYEE WITH PILES OF PAPER STACKED UP.....IT IS AS A FELLOW EMPLOYEE WITH FILES CLUMSILY IN PAPER FOLDERSIT IS AS A FELLOW EMPLOYEE WITH RECORD STUCK ON SHELVES, NEGLECTED, THAT I MAKE THIS APPEAL TO YOU TO WORK WITH US IN DEVELOPING A STATE-WIDE SRS AGENCY RECORDS MANAGEMENT PLAN, TO ENSURE THAT EACH DIVISION'S NEEDS ARE ADEQUATELY ADDRESSED IN A SYSTEMATIC APPROACH TO MANAGING INFORMATION THROUGHOUT ITS LIFE CYCLE---FROM CREATION TO DISPOSITION---AND PRESENT A FUNCTIONAL MANAGEMENT APPROACH TO THE IMPLEMENTATION AND OPERATION OF A RECORDS MANAGEMENT SYSTEM. SPECIFICALLY, THE FIRST PIECE OF THAT PLAN IS A DOCUMENT RETENTION GUIDE. THE BASIC COMPONENT WILL BE TO DEFINE THE LEGAL RETENTION REQUIREMENTS FOR EACH DOCUMENT, MAKE DECISIONS AS TO WHERE AND HOW THE DOCUMENTS WILL BE STORED, AND DECIDE HOW AND WHEN DOCUMENTS CAN BE DESTROYED. RECORDS CONSIST MAINLY OF EVIDENCE OF EVENTS, DATA, AND INFORMATION RECORDED ON PAPER, FILM, OR ELECTRONIC MEDIA. RECORDS AND INFORMATION TECHNOLOGY IS EVOLVING RAPIDLY, AND THE WORK LOAD IS INCREASING ADDRESSING PROJECTS THAT PREVIOUSLY WERE NEVER AREAS OF CONCERN. SINCE WE ARE PRESENTLY IN MIDST OF A PERIOD OF DRAMATIC TRANSITION, OUR GOAL IS TO PROVIDE INFORMATION RELATING TO TRADITIONAL AND MODERN RECORDS/INFORMATION MANAGEMENT. THERE HAVE BEEN EIGHT MAJOR INVENTIONS THAT HAVE HAD A MAJOR IMPACT ON RECORDS/INFORMATION MANAGEMENT: WRITING, PAPER, MOVEABLE TYPE, FILING, THE TYPEWRITER, MICROFILMING,

Senate Committee on Governmental Organization

Attachment II

1-17-92

1-5

THE COMPUTER, THE PAPERLESS OFFICE. OUR CHALLENGE TODAY IS TO CONTROL THE EXPLOSION OF INFORMATION WITHIN SRS. STATE GOVERNMENTS, AS MAJOR PRODUCERS AND PROVIDERS OF INFORMATION, HAVE A LARGE STAKE IN THE EFFECTIVE AND EFFICIENT MANAGEMENT OF THEIR RECORDS. STATE GOVERNMENT DAILY CREATE, STORES, RETRIEVE, PROCESS, DISSEMINATE, AND RECEIVE TREMENDOUS AMOUNT OF RECORDS. INFORMATION IS THE "LIFEBLOOD" OF GOVERNMENT ADMINISTRATION AND SERVICE DELIVERY. RECORDS CAN BE THOUGH OF AS THE "MEMORY BANK" OR PAST AND PRESENT EVENT. THE INFORMATION CONTAINED IN THESE RECORDS MUST BE ADEQUATELY MANAGED SO THAT IT CAN BE IDENTIFIED, ACCESSED, AND PRESERVED OR DISPOSED OF IN A TIMELY AND SYSTEMATIC MANNER. THE NEED TO MANAGE INFORMATION EFFECTIVELY IS BEING RECOGNIZED AS IMPORTANT AS THE MANAGEMENT OF OTHER ORGANIZATIONAL RESOURCES, IE., HUMAN SERVICES, EQUIPMENT, OR CAPITAL. RECORDS MANAGEMENT IS A ADMINISTRATIVE FUNCTION A SYSTEM USED TO CONTROL, DIRECT, AND HANDLE, RECORDED EVIDENCE, DATA AND INFORMATION. WITH YOUR PROACTIVE STANCE , SUCH AN EFFORT, SRS OF THE STATE OF KANSAS WILL HAVE MANIFESTED IT'S COMMITMENT TO CREATE AN APPROPRIATE VEHICLE FOR EMPLOYEE TO ADDRESS THOSE SAME SET OF UNSOLVED RECORD MANAGEMENT CONCERNS, IN BEING TRADITIONALLY INADEQUATELY ADDRESSED HAVING COSIGNED OUR AGENCY TO A PACE OF GROWTH AND DEVELOPMENT IN RECORDS MANAGEMENT THAT HAS HISTORICALLY FALLEN FAR SHORT OF THE MAJORITY OF STATE AGENCIES.

ACCORDINGLY, I CONGRATULATE THIS TASK FORCE, FOR THE INITIATIVE IT HAS TAKEN TO COME TO GRIPS WITH A SET OF PROBLEMS PECULIAR TO RECORDS MANAGEMENT ESPECIALLY DO WE SALUTE THE STAFF OF K.N.I. AND YCAT. I THANK YOU FOR THIS OPPORTUNITY TO ADDRESS AN ISSUE OF MAJOR CONCERN, IT IS ON BEHALF OF SRS THAT I CONGRATULATE AND COMMEND YOU ONCE AGAIN FOR THE RESPONSIBILITIES YOU HAVE SHOWN IN BEARING WITNESS TO YOUR COMMITMENT TO RECORD MANAGEMENT INTEREST, EXPERIENCE AND RESPONSIBILITY WHICH IS THE KEY TO SUCCESS IN TODAY'S INFORMATION— SATURATED RECORDS AND FORMS WORLD, WE KNOW THAT AN ORGANIZED DEPARTMENT IS

A PRODUCTIVE ONE, AFTER ALL, QUICK ACCESS TO THE INFORMATION YOU NEED--WHEN
YOU NEED IT---IS WHAT GOOD GOVERNMENT IS ALL ABOUT!

KANSAS DEPARTMENT OF SOCIAL AND REHABILITATION SERVICES

M E M O R A N D U M

TO: Area Directors, Commissioners, DATE: Sept. 19, 1991
and Administrators

FROM: Secretary Whiteman *J. Whiteman* SUBJECT: Records Management

As you know, we are presently working towards developing an agency-wide records retention schedule. SRS has lagged behind the rest of state agencies in the past in getting the required records surveys completed and a plan approved by the State Records Board. More importantly, however, is the fact that vital records are currently being stored in unprotected, unsafe locations. Also, large volumes of non-vital records are being retained that should be purged, taking up valuable office and storage space.

By developing a records retention plan and having it approved, vital records can be transferred to the state archives to be filed and preserved; and an authority would be established for purging non-vital records on a regular basis.

A task force has been organized to develop an agency records management plan. That task force represents all of the divisions and institutions within the agency. I encourage you to support the efforts being made to survey our records, and to develop a comprehensive agency records management plan.

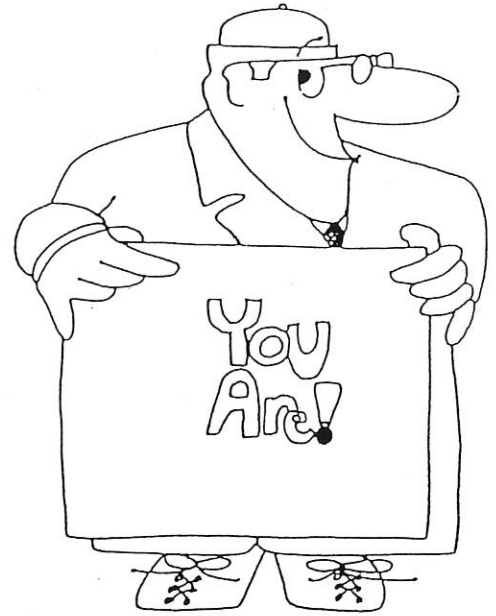
If you have any questions about the task force or records management issues, please call Libby Peters (913) 296-2067 or Sonny Scroggins (913) 296-2467.

DW:HJH:LP

WHAT IS A RECORD?

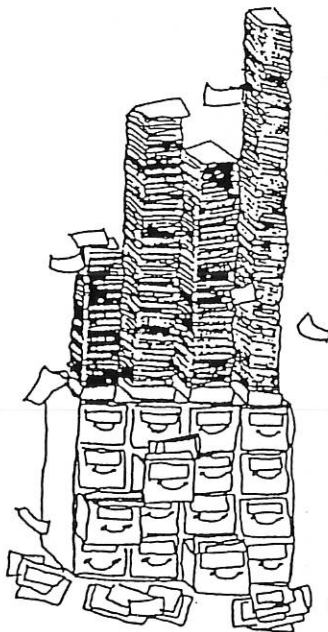
A record consists of any paper, book, drawing, chart, card, photograph, microfilm, magnetic tape, data file or other device that is produced or received by an organization and used as evidence of the organization's activities or for the information it contains.

WHO IS RESPONSIBLE FOR RECORDS

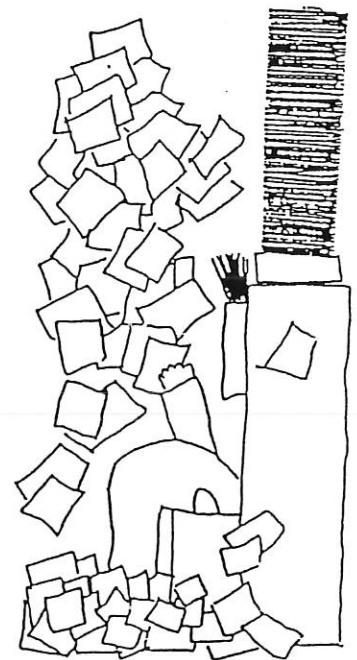


COMMON RECORDS PROBLEMS

Space



Time

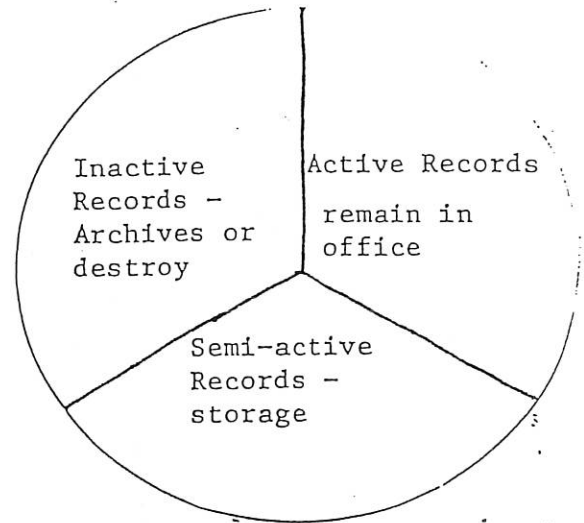


WHAT IS A RECORDS RETENTION SCHEDULE?

A records retention schedule is a document that indicates how long a record should be kept in the office (active records) in storage (semi-active) and the final disposition of that record. When officially approved, by the State Records Board, becomes the authority as to which records to save, which to destroy, and when.

THE LAW OF 1/3s

RECORDS IN MOST OFFICES FALL INTO
ONE OF THREE CATEGORIES:



WHAT ARE ACTIVE RECORDS

Active records are defined as records that are referred to more than once a month.



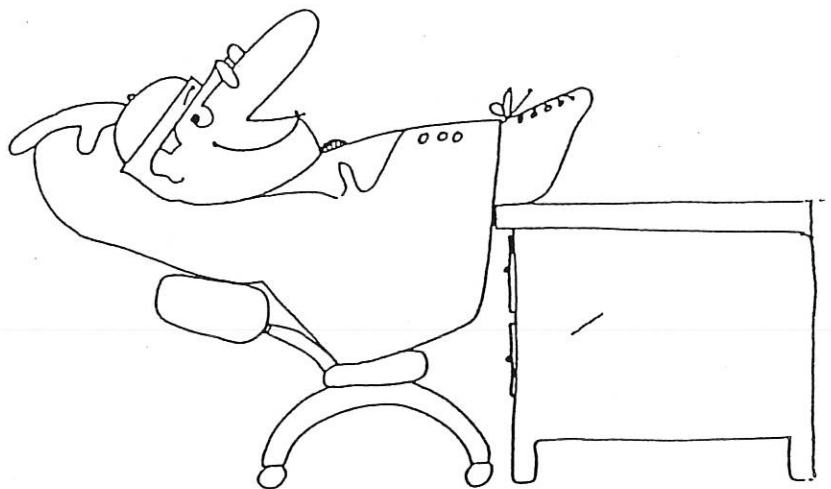
WHAT ARE SEMI-ACTIVE RECORDS?

Semi-active records are usually defined as documents that are referred to less than once a month.



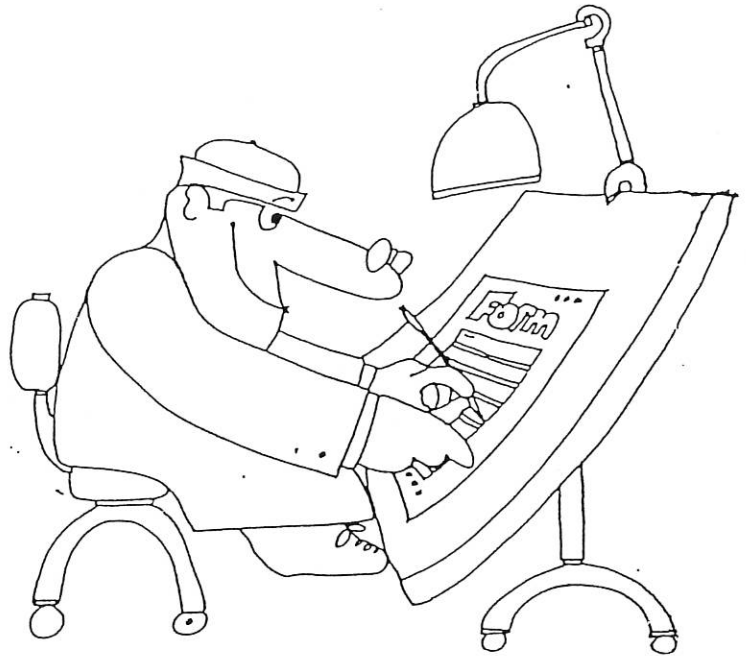
WHAT WILL A RECORDS RETENTION PROGRAM DO FOR AN ORGANIZATION?

1. It will help the organization to comply with local, state, and federal laws concerning records.
2. It will help the organization to meet its own record needs.
3. It will reduce the amount of storage space and filing equipment needed.
4. It will eliminate unnecessary handling.
5. It will improve retrieval efficiency.
6. It will provide for the control of all records from their creation to their final disposition.



WHAT CAN AN ORGANIZATION DO TO SOLVE RECORDS PROBLEMS?

The organization can
develop and implement a
records management program.



WHAT IS RECORDS MANAGEMENT?

Records management is a
program designed to provide
economy and efficiency in
the creation, organization,
maintenance, use, retrieval,
and disposition of records.

The first step is a
records retention schedule.

