

---

---

**Rules of  
Elected Officials  
Division 30—Secretary of State  
Chapter 45—Records Management**

| <b>Title</b>   | <b>Page</b> |
|--|-------------|
| <b>15 CSR 30-45.010</b> State Records .....                              | 3           |
| <b>15 CSR 30-45.020</b> Local Records .....                              | 3           |
| <b>15 CSR 30-45.030</b> Local Records Grant Program Administration ..... | 3           |

**Title 15—ELECTED OFFICIALS****Division 30—Secretary of State  
Chapter 45—Records Management****15 CSR 30-45.010 State Records**

*PURPOSE: The director of records management and archives service under the direction of the secretary of state and the State Records Commission administers Missouri's State Records Law, Chapter 109, RSMo. The director may establish standards, procedures and techniques for the effective management of records. This rule describes the general organization and functions of the Records Management and Archives Service division of the Office of the Secretary of State regarding state records to comply with the requirements of section 536.023, RSMo (1986).*

*Editor's Note: The secretary of state has determined that the publication of this rule in its entirety would be unduly cumbersome or expensive. The entire contents of the material referenced have been filed with the secretary of state. This material may be found at the Office of the Secretary of State and is available to any interested person at a cost established by state law.*

(1) The Records Management and Archives division fulfills the statutory duty of the secretary of state for the management and safekeeping of state records. This division provides for the efficient and economical application of management and archival methods to the creation, utilization, maintenance, retention, preservation and disposal of state official records. The division is divided into two (2) areas, each with separate but interrelated tasks.

(A) The Records Management division helps state agencies handle current records and documents.

(B) The Archives division preserves historical documents and makes them available to the public.

(C) Both areas are housed in the Records and Archives Center located at 600 West Main, Jefferson City, MO 65101. The phone number is (314) 751-3319.

(2) Participants of the state records management program include all state agencies organized under the 1974 Reorganizational Act with the exception of the University of Missouri, the Missouri General Assembly and the Missouri court system. Over nine hundred (900) state agencies are currently being assisted by the program.

(3) The state records management program assists government agencies in a variety of ways by establishing a records retention schedule; providing storage for semi-active and inactive records, overseeing the destruction of unneeded records and providing microfilming services. Copies of agency record retention schedules may be obtained at the Office of the Secretary of State.

*Auth: section 109.230, RSMo (1986).  
Original rule filed Aug. 25, 1989, effective Feb. 11, 1990.*

**15 CSR 30-45.020 Local Records**

*PURPOSE: The director of records management and archives service under the direction of the secretary of state and the local records board administers Missouri's Local Records Law. The director may establish standards, procedures and techniques for the effective management of records. This rule describes the functions of the Records Management and Archives Service division of the Office of the Secretary of State regarding local records to comply with the requirements of section 536.023, RSMo (1986).*

*Editor's Note: The secretary of state has determined that the publication of this rule in its entirety would be unduly cumbersome or expensive. The entire contents of the material referenced have been filed with the secretary of state. This material may be found at the Office of the Secretary of State and is available to any interested person at a cost established by state law.*

(1) The Records Management and Archives division fulfills the statutory duty of the secretary of state for the management and safekeeping of local records. It provides for the efficient and economical application of management and archival methods to the creation, utilization, maintenance, retention, preservation and disposal of official records of local governments.

(2) Participants of the local records management program include counties, municipalities and other political subdivisions.

(3) The local records management program assists local governments by providing on-site visits and establishing records retention manuals. Copies of local records' schedules can be obtained at the Office of the Secretary of State.

*Auth: sections 109.241 and 109.255, RSMo (1986). Original rule filed Aug. 25, 1989, effective Feb. 11, 1990.*

**15 CSR 30-45.030 Local Records Grant Program Administration**

*PURPOSE: This rule outlines the management plan of the grants-in-aid for local records preservation.*

(1) The local records grant program supports local public records preservation efforts by means of grants-in-aid to custodians of local public records. The grants-in-aid will provide financial assistance for preservation efforts beyond the normal scope of work of the applicant custodian. This grants-in-aid program is a significant effort within the overall mission of the program to enhance the quality of archival preservation and records management of public records in local governmental entities of Missouri.

(A) The following activities are supported through these grant categories:

1. Preservation;
2. Microfilming projects;
3. Conservation projects;
4. Survey project/planning grants;
5. Equipment (if essential to the project proposed);
6. Educational activities (workshops, forums, symposia, internships, videos for educational purposes and exhibits);
7. Inventories, finding aids, local guides; and
8. Technical advisors/consultants.

(B) The local records program awards grants with cost-sharing required. Cost-sharing must be in the form of in-kind contributions and cash contributions to the project.

1. Grant funding. The local records program supports up to seventy percent (70%) of the project with outright funds. The applicant must contribute at least thirty percent (30%) in a cost-sharing match and at least one-third (1/3) (10%) of the total of this match must be in cash. Any costs relating to the project that are contributed by the applicant may be included as cost-sharing. Cost-sharing must be in nonlocal records program cash (no user fee money for the Local Records Preservation Fund collected by county recorders may be used) and in-kind contributions to the cost of the project.

2. Certain projects may require more cash cost-sharing for specific items (for example, equipment purchases).

3. Applicants that have a higher percentage of cash cost-sharing will be given preference when all other things are equal.

4. The maximum grant will be fifty thousand dollars (\$50,000).

(C) The following are ineligible funding activities:

1. Capital improvements;
2. Existing/permanent staff positions;
3. Equipment (nonessential to project);
4. Payment to lobbyists;
5. Hospitality expenses;
6. Prizes/awards;
7. Benefit activities;
8. Conferences, lectures, etc. (not available to the public);
9. Tuition reimbursement for academic credit;
10. Projects already completed;
11. Activities that have a religious purpose;
12. Inventories/guides (not available to the public);
13. Purchase of manuscripts/records; and
14. Expenses incurred prior to the grant period.

(D) The following groups may apply:

1. All local government entities; and
2. Private organizations that house local public records (local public records which are housed by private organizations also may be included in grant applications which are submitted by the local official who has authority over those records).

(E) The following groups may not apply:

1. Individuals;
2. State agencies (local public records which are housed by state agencies can be included in grant applications that are submitted by the local official who has authority over those records); and
3. Federal agencies.

(F) Evaluation of Proposals.

1. Grant applications will be screened first by the local records program staff for completeness, conformity to application requirements, soundness of budget and relevance to the objectives of the local records program, which in its mission is to enhance the quality of archival preservation and records management of public records in local governmental entities of Missouri. The staff will return proposals that do not meet local records program regulations to the applicant institution for further development or clarification.

2. The staff will prepare a summary to the Missouri Historical Records Advisory Board (MHRAB) on each complete application. Then the board will review the applications and make its recommendations on funding. The final ruling on whether the application shall be funded will be made by the secretary of state with the advice of the MHRAB.

3. The applicant will be notified by a letter from the secretary of state as to whether the grant has been funded or rejected.

4. When the application is in a sphere outside the expertise of the local records staff, the MHRAB or both, for example electronic records, technical advisors/consultants will be used. The advisor/consultant will be paid out of the Local Records Program Grant Fund.

5. All grants will be awarded after consultation with and review by the local records staff and the MHRAB.

(G) Grant Application Requirements.

1. Specific items that must be included in the grant application are listed as follows:

A. A statement of previous actions, if any, taken to protect the records that are the subject of the proposal;

B. A letter of commitment from the funding authority of the applicant (for example, school board for school projects, from a local donor who is providing cash for match, or both);

C. A resume of qualifications for the grant administrator, the project records management officer (RMO) or both. A job description for the RMO should be included. Some projects may include the grant administrator and project RMO as the same person, other projects may require a separate person as RMO who is primarily responsible for the implementation of the work and completing the various report forms. The local records program office will expect to communicate directly with the RMO during the grant cycle;

D. The budget completed on the application budget form with explanations attached. This should include all anticipated expenses, such as estimates from vendors; and all cost-sharing, such as salaries and fringe benefits;

E. A project summary, including a list of personnel and their roles;

F. A description of records to be dealt with in the project, along with a statement of their significance. For example, will the work be applied to records with less than permanent standing in state retention schedules? If so, a rationale must be offered for their utility in serving the public. Are the records in question of particular utility or in greater-than-normal demand by researchers?;

G. Plan of work/narrative;

H. Appropriate appendices. For example, samples of forms to be used for surveys and inventories, consultant's reports, letters of support from community members, etc.; and

I. A plan for the evaluation of the project results. The proposal should state how the success or failure of the project will be judged.

2. Potential subcontractors or consultants must be identified in the application.

3. Applicants should also be sure that the proposal includes:

A. A description of the importance of the project in terms of an overall/long-range records management program;

B. A sound plan of work and discussion about techniques to be used;

C. The qualifications of the staff who will be undertaking the project;

D. A budget that is appropriate for the planned work;

E. An explanation of the need for outside funding; and

F. An explanation of how the project will be audited.

(H) Grant Period.

1. The grant period begins and ends on the dates specified in the grant letter. Grant monies may take longer to issue than the official grant letter. For grants of ten thousand dollars (\$10,000) or more, a first payment of thirty-five percent (35%) shall be made as soon as practicable after the awarding of the grant. A second payment of thirty-five percent (35%) shall be made after one-third (1/3) of the project completion is verified through an interim report; with the remaining thirty percent (30%) paid upon project completion. Grantees receiving less than ten thousand dollars (\$10,000) shall receive seventy percent (70%) of the grant funds as soon after the awarding of the grant as practicable. The remaining thirty percent (30%) of the grant shall be paid to the grantee after successful grant completion. While the grantee cannot charge expenses incurred before the grant period begins, charges incurred after the grant period begins, but before the monies are available, are allowed.

2. Grants must be completed within the fiscal year (July 1 to June 30) in which the grant is awarded. One (1) extension may be given upon written permission of the secretary of state, pending funding by the general assembly. Under no circumstances will a grant be allowed to continue for more than two (2) years.

(I) Accounting and Auditing Requirements. Grantees must keep financial records for each grant in accordance with agreed upon accounting practices. In the application, the proposal must state how the local accounting will be done. These records, as public records, shall be subject to inspection by the local records program staff and the Historical Records Advisory Board during regular business hours throughout the grant period and for the following three (3) years after the grant period ends. If any litigation, claim or audit is begun before the end of the three (3) years, the records must be retained until it is resolved.

(J) Audits. Grantees must comply with the audit requirements set forth in Missouri statutes for local governmental units. The

grantee is responsible for ensuring that the local records program receives copies of the audit report for any audit performed during the grant period or for the following three (3) years. Specific accounting requirements for the local records grant program are—

1. Grant money must be deposited in an auditable, interest-bearing account and interest must be applied to the project;

2. Grant work must be monitored in progress. Local records program staff may visit the work site for review any time during the grant cycle;

3. The grantee must submit an interim narrative report on the grant project. A form will be provided;

4. Any changes in the project, including changes of personnel, must be submitted in writing to the local records program;

5. In the event of default on the grant project by the grantee, the grant will be revoked and all funds must be returned to the local records program. The grantee will be notified by letter by the local records program and will receive thirty (30) days' written notice of noncompliance before the grant is revoked; and

6. The grantee will prepare a final report on the grant project. Forms will be provided for both segments of the final report. The final report will include:

- A. Project summary; and
- B. Final financial report.

(K) Conflicts of Interest.

1. The Historical Records Advisory Board will not consider a proposal where a board member, or a member of the secretary of state's staff, derives compensation (other than travel reimbursement), is the project director or provides direct and immediate supervision over the project.

2. A board member will abstain from reviewing or voting on proposals if s/he is indirectly connected with a proposed project through employment at the same institution, indirectly (or remotely) supervises the project, would serve as an unpaid consultant to the project or is an officer of the institution or association submitting the proposal.

3. A board member may participate in discussion of, but not vote on, a grant proposal if s/he merely subscribes to membership in the local government entity or private organization submitting the proposal but holds no office.

*Auth: sections 59.319 and 109.221, RSMo (Cum. Supp. 1990). Emergency rule filed June 19, 1991, effective June 29, 1991, expired Oct. 28, 1991. Original rule filed June 19, 1991, effective Oct. 31, 1991. Amended: Filed Nov. 6, 1991, effective May 14, 1992*

# The Missouri Local Records Grant Program



## A GRANT PROGRAM FOR LOCAL GOVERNMENT RECORDS MANAGEMENT AND PRESERVATION PROJECTS

Funded through  
user fees

Administered by  
Judith K. Moriarty  
Secretary of State

### Program objectives

The Missouri Local Records Grant Program—a program to enhance the quality of archival preservation and records management of public records in local governmental entities.

### About the program

Missouri Local Records Grant Program has been established to support local public records preservation efforts by means of grants-in-aid to custodians of local public records. The grants-in-aid will provide financial assistance for preservation efforts beyond the normal scope of work of the applicant custodian.

In 1989 Secretary Blunt proposed the grant program, the General Assembly passed the initiative and the governor

signed it into law that same year. The grant initiative is part of several services offered by the Local Records Preservation Program to local governmental entities. Recordors of deeds collect user fees for the management of public records; one dollar of these fees funds the general Local Records Preservation Program while the grant initiative utilizes a portion of this one dollar user fee to more effectively reach greater numbers of government entities who require preservation services.

### Who may apply

All local governmental entities and political subdivisions including schools, libraries, fire districts, etc. (Private organizations that house public records can also be included in grant applications provided the local official in the office of record origin retains authority over those records and becomes the grantee.)

### Funding

Grants awarded by the Local Records Program require cost-sharing. Cost-sharing must be in the form of in-kind contributions and cash contributions to the project. The Local Records Program supports up to 70% of the project with outright funds. The applicant must contribute at least 30% in cost-sharing match. At least one-third (10%) of the match must be in cash. Any costs relating to the project that are contributed by the applicant may be included as cost-sharing. Cost-sharing can be non-Local Records Program cash (no user fee money from the Local Records Preservation Fund collected by recordors may be used) and in-kind contributions to the cost of the project. Certain projects may require more cash cost-sharing for specific items (i.e., equipment purchases). Applicants that have a higher percentage of cash cost-sharing will be given preference when all other things are equal. The maximum grant will be \$50,000.

### Awarding of grants

The Local Records Program staff will screen the grant applications for completeness, conformity, soundness of budget and relevance to objectives of the program. The Missouri Historical Records Advisory Board (MHRAB) reviews the applications and makes its recommendations on funding to the secretary of state.

### Grant period

The grant period begins and ends on the dates specified in the grant award letter. Grants must be completed within the fiscal year (July 1—June 30) in which the grant is awarded. One extension may be given upon written permission by the secretary of state, pending funding by the general assembly. Under no circumstances will a grant be allowed to continue for more than two years.

### Deadline

A postmark deadline for project applications in this grant cycle is April 2, 1992. Award letters will be mailed on or soon after July 1, 1992.

Planning grants up to \$2,000 are encouraged for major or technical grant projects. Planning grant deadline is April 2, 1992.

### Eligible projects

- \* Conservation treatment
- \* Educational activities (workshops, symposia, etc.)
- \* Equipment (if essential to project proposal)
- \* Inventories, finding aids, local guides
- \* Microfilming
- \* Survey/planning
- \* Technical advisors/consultants

### Grant application requirements

A. Specific items that must be included in the grant application are:

- 1) Statement of previous actions, if any, taken to protect the records that are the subject of the proposal;
  - 2) Letter of commitment from the funding authority of applicant;
  - 3) Resume of the proposed Grants Administrator and/or project Records Management Officer (RMO);
  - 4) Budget completed on the application budget form, with explanations attached;
  - 5) Project summary, including list of personnel and their roles;
  - 6) Description of records to be dealt with in the project, along with statement of their significance;
  - 7) Plan of work/narrative;
  - 8) Appropriate appendices;
  - 9) Plan for the evaluation of the project results;
- B. Potential sub-contractors or consultants must be identified in the application.
- C. Applicant should also be sure that the proposal includes:
- 1) Description of the importance of the project in terms of an overall/long-range records management program;
  - 2) A sound plan of work and discussion about techniques to be used;
  - 3) The qualifications of the staff which will be undertaking the project;
  - 4) A budget that is appropriate for the planned work; and
  - 5) An explanation of the need for outside funding.
- D. Be sure you used the grant application CHECKLIST.

### How to apply

To request an application form or for additional information, call or write:

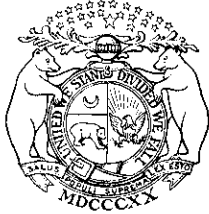
Local Records Program  
 Division of Records Management and  
 Archives Services  
 P.O. Box 778  
 600 W. Main St.  
 Jefferson City, MO 65102  
 (314) 751-2798

Local Records Preservation  
 Program  
 Division of Records Management  
 and Archives  
 P.O. Box 778, 600 W. Main Street  
 Jefferson City, MO 65102



# Missouri Local Records Grant Program

Administered by **Secretary of State Judith K. Moriarty**  
**P.O. Box 778, 600 W. Main St.**  
**Jefferson City, MO 65102**



*Grant application*  
*(See instructions on p. 4 and the administrative rules.)*

**Name of local government/entity**

Address (street, P.O. Box, county, city, ZIP code)  
Phone

**Authorizing individual**

Address (street, P.O. Box, county, city, ZIP code)  
Phone

**Records officer or Liaison** (Local Records Program will communicate with this person during the grant cycle.)

Address (street, P.O. Box, county, city, ZIP code)  
Phone

**Project director**  
(if not named above)

Address (street, P.O. Box, county, city, ZIP code)  
Phone

**Project summary** (See "completing the Grant Application," page 4.)

1. Statement of problem(s):

2. Project objective(s):

---

3. Specific result(s) or product(s) intended:

---

4. Plan of work:

Project start and end dates of your grant cycle.





**Budget summary**      Total project budget.      \$ \_\_\_\_\_

                                 Grant funds requested (not to exceed 70% of total project budget).      \$ \_\_\_\_\_

| Participants                                   | Grant funds | Matching (local funds only) | In-kind share (if applicable) |
|--|-------------|-----------------------------|-------------------------------|
| Salary   | \$ _____    | \$ _____                    | \$ _____                      |
| Salary   | _____       | _____                       | _____                         |
| Salary   | _____       | _____                       | _____                         |
| Consulting fees/expenses (sub-contract totals) | _____       | _____                       | _____                         |
| Travel expenses                                | _____       | _____                       | _____                         |
| Supplies/materials                             | _____       | _____                       | _____                         |
| Equipment                                      | _____       | _____                       | _____                         |
| Employee benefits                              | _____       | _____                       | _____                         |
| Space/utilities                                | _____       | _____                       | _____                         |
| Space/utilities (provided by grantee)          | _____       | _____                       | _____                         |
| Other (describe)                               | _____       | _____                       | _____                         |
| Totals   | =====       | =====                       | =====                         |

How will this project continue to be funded after grant has been expended?

**Certifications and assurances**

- 1) Compliance with RSMo 610 (Open Meetings and Records Law) for public access to the records which are being processed with state money.
- 2) Compliance with applicable state laws on purchasing procedures (for example RSMo 50.660 or 50.757 for counties and municipal laws for cities).
- 3) A silver original of all microfilm projects to be deposited with the Division of Records Management and Archives Services, Office of the Secretary of State.
- 4) Compliance with Title VI of the Civil Rights Act, the Rehabilitation Act of 1973, the Age Discrimination Act of 1975 and the Americans with Disabilities Act of 1990.
- 5) Access by the Office of the Secretary of State to all financial records relative to the grant.

**Authorized signature**

Name \_\_\_\_\_

Title \_\_\_\_\_ Date \_\_\_\_\_

Submit 5 copies to: Local Records Program  
P.O. Box 778, 600 W. Main St.  
Jefferson City, MO 65102

## Completing the Grant Application

Most sections of this application are self-explanatory, but do not hesitate to call if you have questions: (314) 751-9047 or (314) 751-2212

The four-part **PROJECT SUMMARY** section is intended to provide detailed information on the project—what it is intended to accomplish, how the local entity will benefit directly and indirectly, why the project needs outside funding and exactly how the work will be carried out. You may attach additional information as needed.

### 1. Statement of problem(s):

Describe the specific records problem(s) confronting the local entity and explain why the project cannot be undertaken or completed without grant funding.

Example: • The town of Robin has no organized system to manage its records.

- Information cannot always be located when needed.
  - Town hall is out of office and records storage space. Older records are stored in the attic and in a maintenance shed.
- Some records have received water and insect damage.
  - The town's centennial is three years away and little information can be located on the history of its creation.
  - The town does not have the resources to fund this work, due in part to the expense of the recent disaster.

### 2. Project objective(s):

Describe what the project is intended to do to resolve the problems listed.

Example: • Develop records management/archival policies and procedures for all Robin town offices.

- Locate and inventory all town records.
  - Identify and protect records of permanent value.
    - Microfilm all town minutes and ordinances.
    - Determine feasibility of a town archives or sharing facility being built by Creek County, of which Robin is the county seat.

### 3. Specific result(s) or product(s) intended:

Detail what the project will produce/accomplish.

Example: • Written policy and procedures on record keeping for all town officials to know and follow.

- Preserve valuable records through microfilm copies.
  - Free up needed space in town hall for records storage and avoid purchase of filing cabinets.
- Repair damaged records of permanent value.

### 4. Plan of work:

Itemize and explain as much as possible about how the project will be developed and administered to achieve the objective, including a timetable for different phases. The timetable can be as general or specific as needed to help in your planning and to help grant reviewers better assess the work plan.

Example: • Designate a town records officer to coordinate all project activity.

- Records officer and officials will generally assess town's records needs and priorities.
  - A records management specialist will be employed by the records officer, town manager and town council to conduct inventories, advise on microfilm and computer applications, study feasibility of a separate records facility or the prospect of a shared one with the county.
- Conduct and publish inventory of all town records.
  - Determine microfilming needs and best method to film town minute books and ordinances dating from ca. 1900 to the present.
- Microfilm minutes, make available original or research copies to a local historical or genealogical society, museum, or library.

Key Personnel

(Name) \_\_\_\_\_

Robin Town Manager, Project Director

(Name) \_\_\_\_\_

Robin Town Clerk, designated Records Officer

(Name) \_\_\_\_\_

Director of Information Services, Creek County, will serve as records consultant.

The **BUDGET SUMMARY** section includes a listing for in-kind services. These are what the local government will contribute in terms of support staff time, supplies, telephone expense, overhead, etc., in addition to the required minimum 10% cash match. Listing the in-kind services demonstrates the level of local support.