

Schedule 13
Funding Request for the 2013-14 Budget Cycle

Department: Department of Personnel & Administration
 Request Title: Preservation of Historical Records at the Colorado State Archives
 Priority Number: R - 4

Dept. Approval by: *Adam Legner* 10/23/12 Date
 OSPB Approval by: *Erin L. Smith* 10/25/12 Date

- Decision Item FY 2013-14
- Base Reduction Item FY 2013-14
- Supplemental FY 2012-13
- Budget Amendment FY 2013-14

Line Item Information		FY 2012-13		FY 2013-14		FY 2014-15
		1	2	3	4	6
Fund		Appropriation FY 2012-13	Supplemental Request FY 2012-13	Base Request FY 2013-14	Funding Change Request FY 2013-14	Continuation Amount FY 2014-15
Total of All Line Items	Total	4,123,929	-	4,511,904	371,830	373,259
	FTE	8.0	-	8.0	0.9	1.0
	GF	1,530,793	-	1,534,373	371,830	373,259
	GFE	-	-	-	-	-
	CF	376,999	-	429,924	-	-
	RF	2,216,137	-	2,547,607	-	-
	FF	-	-	-	-	-
(1) Executive Director's Office, (A) Department Administration, Health, Life, and Dental	Total	2,323,160	-	2,494,554	4,421	4,421
	FTE	-	-	-	-	-
	GF	644,083	-	653,484	4,421	4,421
	GFE	-	-	-	-	-
	CF	169,530	-	162,319	-	-
	RF	1,509,547	-	1,678,751	-	-
	FF	-	-	-	-	-
(1) Executive Director's Office, (A) Department Administration, Short Tem Disability	Total	33,585	-	38,094	92	101
	FTE	-	-	-	-	-
	GF	12,230	-	13,007	92	101
	GFE	-	-	-	-	-
	CF	2,319	-	2,853	-	-
	RF	19,036	-	22,234	-	-
	FF	-	-	-	-	-
(1) Executive Director's Office, (A) Department Administration, S.B. 04-257 Amortization Equalization Disbursement	Total	635,318	-	731,798	1,874	2,272
	FTE	-	-	-	-	-
	GF	223,125	-	246,395	1,874	2,272
	GFE	-	-	-	-	-
	CF	48,191	-	55,741	-	-
	RF	364,002	-	429,662	-	-
	FF	-	-	-	-	-

Line Item Information		FY 2012-13		FY 2013-14		FY 2014-15
		1	2	3	4	6
		Appropriation FY 2012-13	Supplemental Request FY 2012-13	Base Request FY 2013-14	Funding Change Request FY 2013-14	Continuation Amount FY 2014-15
	Fund					
(1) Executive Director's Office, (A) Department Administration, S.B. 06-235 Supplemental Amortization Equalization Disbursement	Total	545,059	-	660,651	1,692	2,130
	FTE	-	-	-	-	-
	GF	190,830	-	222,440	1,692	2,130
	GFE	-	-	-	-	-
	CF	41,414	-	50,322	-	-
	RF	312,815	-	387,889	-	-
	FF	-	-	-	-	-
(1) Executive Director's Office, (B) Statewide Special Purpose, (3) Colorado State Archives, Personal Services	Total	530,013	-	530,013	58,098	63,385
	FTE	8.0	-	8.0	0.9	1.0
	GF	408,974	-	347,496	58,098	63,385
	GFE	-	-	-	-	-
	CF	110,302	-	153,446	-	-
	RF	10,737	-	29,071	-	-
	FF	-	-	-	-	-
(1) Executive Director's Office, (B) Statewide Special Purpose, (3) Colorado State Archives, Operating Expenses	Total	56,794	-	56,794	305,653	300,950
	FTE	-	-	-	-	-
	GF	51,551	-	51,551	305,653	300,950
	GFE	-	-	-	-	-
	CF	5,243	-	5,243	-	-
	RF	-	-	-	-	-
	FF	-	-	-	-	-

Letternote Text Revision Required? Yes: No: If yes, describe the Letternote Text Revision:

Cash or Federal Fund Name and COFRS Fund Number: Not Applicable

Reappropriated Funds Source, by Department and Line Item Name: Not Applicable

Approval by OIT? Yes: No: Not Required:

Schedule 13s from Affected Departments: Not Applicable

Other Information: Not Applicable



DEPARTMENT OF PERSONNEL & ADMINISTRATION

John W. Hickenlooper
Governor

*FY 2013-14 Funding Request
November 1, 2012*

Kathy Nesbitt
Executive Director

Kathy Nesbitt 10/17/10
Signature Date

Department Priority: R - 4
Preservation of Historical Records at the Colorado State Archives

Summary of Incremental Funding Change for FY 2013-14	Total Funds	General Fund	FTE
Preservation Program for Historical Records at the Colorado State Archives	\$371,830	\$371,830	0.9

Request Summary:

The Department of Personnel & Administration requests 0.9 FTE and \$371,830 General Fund in FY 2013-14, after consideration of the paydate shift, for the preservation of permanent legal and historical records at the Colorado State Archives. The Department requests 1.0 FTE and \$373,259 General Fund in FY 2014-15 and ongoing.

Problem or Opportunity:

The State of Colorado's permanent legal and historical records are at risk of being permanently lost if immediate and ongoing steps are not taken to preserve these records that provide critical historical context to complex legislative and legal issues throughout the State.

Brief Background:

The mission of the Colorado State Archives is to ensure the preservation of the state's permanent legal records and information and to promote their use by the citizens of Colorado. Permanent legal and historical records are records that have sufficient historical, administrative, legal, fiscal, or other value to warrant continued preservation beyond the time it is needed for administrative, legal, or fiscal purposes.

The Colorado State Archives is the legal repository for selected historical and contemporary records and information generated by state and local governments in Colorado. Records management, archives management, and micrographics quality control are administrative functions provided to state and local government agencies in Colorado to ensure the preservation of Colorado's vital records by the Colorado State Archives. Information and research functions provide for citizen access to public records created by the legislative, executive, and judicial branches of state government. As the records held by the Colorado State Archives age, these documents and recordings disintegrate, become increasingly inaccessible and ultimately are lost to time.

Currently, legislative recordings from 1973 through 1981 are very difficult to access because of machine failure due to age. It is likely that the legislative recordings between 1982 and 1998 will soon become inaccessible due to the unavailability of historical machines used to play the specialized, multi-track recordings. Additionally, the legislative tapes from 1998 through 2001 are becoming difficult to access due to the unavailability of historical proprietary

software. Each different era of audio recording utilizes a different historical machine, which are unique proprietary multi-track tape recorders and reproducers manufactured in those specific eras. Within this request, the Department has utilized the term 'machine' to refer to a mechanical device with moving parts and accompanying controlling electronics, which can fail to operate if one or several components in these machines malfunctions or no longer operates properly. These machines are not like consumer machines, such as commercial open reel recorders, cassette or other tape machines, but rather were manufactured in the historical time period with the very specific purpose of recording multiple voice inputs. In each case, there are no substitute machines that are capable of replaying these recordings. Initial estimates of the 1973-2001 recordings indicate that there are over a half of a million hours of recorded material on the tapes, which each hold two to three days of material, consisting of up to 12 legislative committee rooms being recorded simultaneously.

While these recordings are currently still accessible to professionals trained in the treatment and preservation of historical recordings, the fragility of the machines and the recordings themselves make it impossible to make the legislative recordings available directly to customers. As a result, each of these recordings must be individually accessed by a trained archivist and a digital recording must be made on an ad hoc basis for the customer. This ad hoc approach is not efficient and does not address the increasing inaccessibility of large volumes of historical recordings.

This request identifies the resources needed to implement ongoing preservation, digitization, and conservation of the vital historical records held within the Colorado State Archives to ensure continued access by the branches of the State of Colorado and its citizens to these critical records.

Proposed Solution:

The Department proposes the implementation of an ongoing program of preservation and

conservation of the multiple collections held by the Colorado State Archives. The permanent legal and historical records of the State of Colorado provide a critical context for the legislative, legal, and programmatic issues addressed by the branches of the State of Colorado. Without ongoing action to preserve these records, they will no longer be available to provide the institutional memory that is so essential for the State's legislative, executive, and judicial branches.

Anticipated Outcomes:

The Colorado State Archives will work to preserve the permanently valuable records of Colorado through the funding and implementation of the preservation program identified within this request. Successful preservation efforts are part of the fulfillment of the agency's mission "to ensure the preservation of the state's permanent legal records and information and to promote their use by the citizens of Colorado."

The Department's request for additional resources will address the preservation and conservation of the permanent legal and historical records of the State. These needs fall into the following categories:

Conservation attempts to preserve records in their original format by examining records and assessing their condition and the materials which comprise them. Recommendations are made for treatment to arrest deterioration or to improve condition of records.

Preservation encompasses the activities which prolong the usable life of archival records. Preservation activities are designed to minimize the physical and chemical deterioration of records and to prevent the loss of informational content.

The National Association of Government Archives and Records Administration and the Council of State Governments have said that "state archives are the guardians of much of a state's public documentary heritage, resources

essential in establishing a citizen's rights, understanding his past, coping with his present, and planning for his future. The value of a state archive stems from the information it contains and the evidence it provides. Its records are essential to administrative and cultural continuity."

Conservation and preservation are important to ensuring the continued availability of the records that have critical historical, administrative, legal, fiscal, or other value.

Assumptions for Calculations:

The Colorado State Archives has diverse material types including paper documents, photographs, and audio and video recordings, all of which have best practices associated with conservation and preservation. This request outlines the resources needed to adequately preserve and extend the usable life of the archival records of the State. The plan for this preservation includes the following components, based on guidance for state archives from the National Archives and the Smithsonian Institution Archives:

- *Preservation Management:* Including policies, assessments, prioritization systems, allocation of resources, and emergency and disaster planning.
- *Environmental Control:* Including external temperature and humidity controls, integrated pest management, housing of collections at the shelf, box, and folder level.
- *Collections Maintenance:* Including routine preservation actions such as rehousing, and handling, loan, and access policies.
- *Reformatting and Duplication:* Including digitization, preservation photocopying, and microfilm.
- *Conservation Treatment:* Including documentation, and hands-on treatment of selected artifacts.
- *Conservation Research:* Including materials characterization and treatment development.

- *Preservation Training:* Including outreach programs, development of bibliographies, and workshops.

The Department notes that because of the diverse material types, from paper documents to photographs, and audio and video recordings, held by the Colorado State Archives, many of the preservation activities and tactics will have to be completed by specialists. The Department has prioritized the legislative recordings from 1973 through 1981 which are currently inaccessible to customers due to machine failure.

The Department has received an estimate for digitizing these legislative recordings of \$2.5 million and estimates that it is reasonable to accomplish this digitization in approximately five to seven years, depending on the actual responses to the Department's request for proposals. The estimate of \$2.5 million was provided by a company specializing in multi-track recordings which is recognized internationally for working with old and fragile open reel tape systems. Utilizing this rate of records migration, the Department has identified a targeted appropriation of \$300,000 ongoing in operating expenses to maintain the integrity of the collections of the Colorado State Archives. The Department believes that this represents the optimal pace of preservation migration to meet the business needs of the legislative, judicial, and executive branches of the State, in addition to allowing for continued migration in the future. The cost and timeline is due to the fact that each tape holds two to three days of material, consisting of up to 12 legislative committee rooms being recorded simultaneously. Initial estimates of the 1973-1998 recordings indicate that there are over a quarter of a million hours of recorded material on the tapes.

The ongoing efforts of preservation and conservation require management of preservation policies, routine conservation actions, and training. The Department anticipates that 0.9 FTE at the General Professional IV level and \$71,830 General Fund in FY 2013-14, after

consideration of the payday shift, and 1.0 FTE and \$73,259 General Fund in FY 2014-15 and ongoing will be required to manage the migration, preservation, conservation, and collection integrity planning and actions for the Colorado State Archives. The Department believes that a General Professional IV is required to fill the role of Preservation Archivist, as this position will be assessing the value of individual records, organizing the entire collection of the State, and in needed, repair and restore items in the special collection that are too valuable to entrust to a contractor. In combination with the \$300,000 in operating expenses requested to fund ongoing preservation services by specialists, the Department requests a total of 0.9 FTE and \$371,830 General Fund in FY 2013-14, after consideration of the payday shift and 1.0 FTE and \$373,259 General Fund in FY 2014-15 and ongoing.

Alternatives:

The Department has investigated the possibility of utilizing grant funding to digitize the audio recordings that represent the highest risk of loss due to machine failure. The Department has learned that there are various grants available, but stipulations on eligibility have prevented the Department from submitting an application. Specifically, the Department has looked into the State Historical Fund Grant and the National Endowment for the Humanities Grant. The State Historical Fund Grants pertain specifically to the built environment and buildings, and therefore do not seem to be a good fit for this preservation program. Additionally, the National Endowment for the Humanities Grant requires that records be made available to the public free of charge. Per Section 24-80-102 CRS, the Department “shall establish by rule any fees as are necessary to pay for the direct and indirect costs of responding to requests for information and research.” While the Department acknowledges that this may be a feasible option for the future, the critical state of the legislative recordings prevents the Department from pursuing this option for immediate action. Additionally, the grant application cycle is typically a very lengthy

process. Because of the recent machine failure, the Department believes that it is impractical to wait for the grant submission deadlines and review cycle to proceed with the initial steps in the process of migrating from analog records to digital recordings. Also, this alternative does not address the ongoing needs of conservation and preservation of records of the Colorado State Archives. Finally, the Department has learned that many of the grants available are in the range of \$10,000 to \$30,000 annually, and focus primarily on arts, music, and other humanities.

The Department also considered requesting the full funding of \$2.5 million to hire a third party contractor to digitize the legislative recordings all in a single fiscal year rather than over the course of five to seven years. The benefit of this alternative is that it addresses the urgency of the situation. The Department determined that a five to seven year timeframe will be easier for the new FTE to manage the conservation program effectively, and it is more palatable for the budget to spread the cost over multiple fiscal years. Additionally, having all the tapes leave the Colorado State Archives for preservation within one year creates access issues for use of those recordings and could potentially increase the risk associated with having all original recordings leave the possession of the Colorado State Archives.

Consequences if not Funded:

If preservation and conservation of the State’s permanent legal and historical records is not funded, the records will no longer be accessible to the State’s legislative, executive and judicial branches or citizens. Included in the permanent collections of the Colorado State Archives are legislative recordings, information related to water rights cases, and other legal cases. These items are essential to the State for purposes of legal defense in many instances, such as cases relating to TABOR and the Colorado Governmental Immunity Act. Additionally, the legislative tapes provide critical insight into legislative intent and preserve the institutional memory lost due to term limits.

The permanent collections include historical photographs, plans for state buildings, and records from the period before statehood for Colorado. These records are invaluable to the State for historical and contextual purposes. The Colorado State Archives has diverse material types and without ongoing preservation and conservation, the permanent collections of photographs, books, and other documents will disintegrate to the point where access to them is no longer feasible. Additionally, records kept on tapes and other types of recordings are rapidly becoming inaccessible because of machine failure, lack of availability of proprietary machines used to play those tapes, or general disintegration of the media.

Impact to Other State Government Agency:

The Colorado State Archives is the legal repository for selected historical and

contemporary records and information generated by state and local governments in Colorado. Most State agencies access information held at the Colorado State Archives for critical reasons including documenting original legislative intent and utilizing records to defend the State in litigation.

Relation to Performance Measures:

Not Applicable.

Supplemental, 1331 Supplemental, or Budget Amendment Criteria:

Not Applicable.

Current Statutory Authority or Needed Statutory Change:

Current statutory authority is outlined in Section 24-80-101, C.R.S. No change is needed.

Appendix A		FY 2013-14		FY 2014-15	
Personal Services:		FTE	\$	FTE	
	Monthly Salary				
Position 1	\$ 4,733	0.9	52,059	1.0	56,796
PERA			5,284		5,765
AED			1,874		2,272
SAED			1,692		2,130
Medicare			755		824
STD			92		101
Health-Life-Dental			4,421		4,421
Subtotal Position 1, ## FTE		0.9	\$ 66,177	1.0	\$ 72,309
Subtotal Personal Services		0.9	\$ 66,177	1.0	\$ 72,309
Operating Expenses					
Regular FTE Operating	500	1.0	500	1.0	500
Telephone Expenses	450	1.0	450	1.0	450
PC, One-Time	1,230	1.0	1,230		
Office Furniture, One-Time	3,473	1.0	3,473		
Other			-		
Other			-		
Other			-		
Other			-		
Subtotal Operating Expenses			\$ 5,653		\$ 950
TOTAL REQUEST		0.9	\$ 71,830	1.0	\$ 73,259
<i>General Fund:</i>			\$ 71,830		73,259
<i>Cash funds:</i>					
<i>Reappropriated Funds:</i>					
<i>Federal Funds:</i>					

	FY 2013-14	FY 2014-15
PERA	10.15%	10.15%
AED	3.60%	4.00%
SAED	3.25%	3.75%
Medicare	1.45%	1.45%
STD	0.177%	0.177%
Health-Life-Dental	4,421.04	4,421.04