

Office of the  
Legislative Fiscal Analyst

## **FY 2002 Budget Recommendations**

Joint Appropriations Subcommittee for  
Capital Facilities and Administrative Services

Utah Department of Administrative Services  
**Division of Archives**

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**1.0 Summary: Division of Archives**

The Utah State Archives is the depository for official records of the State and its political subdivisions. The Division of Archives serves State government and the public by managing records created by the legislative, judicial, and executive branches. Records created by government agencies are divided into record series, or documents of like purpose that reflect the various functions of the agency.

The Division of Archives is the official custodian of all non-current public records of permanent value that are not required by law to remain in the custody of the agency of origin.

Utah Code 63-2-75 defines the role of State Archives:

*The archivist shall establish and administer in the executive branch of State government a records management program which will apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of State records.*

The Division has a small reading room and administrative offices on Capitol Hill and leases a West Valley warehouse in which 80,000 cubic feet of records are maintained.

	<b>Analyst FY 2002 Base</b>	<b>Analyst FY 2002 Changes</b>	<b>Analyst FY 2002 Total</b>
<b>Financing</b>			
General Fund	1,840,600		1,940,600
	37,400		
Beginning Nonlapsing			49,600
	<u>\$1,927,600</u>		<u>\$2,027,600</u>
Archives Administration		100,000	
Records Analysis			320,200
	278,500		
Reference Services			445,400
	416,900		
<b>Total</b>		<u>\$100,000</u>	
<b>FTE/Other</b>			
Vehicles	33	0	

**2.0 Issues: Division of Archives**

**2.1 Cataloging Governor's Records**

temporary position within the Archives for the purpose of archiving records from Governors Rampton and Matheson. A progress report is provided in

**2.2 Employee Retention**

Annual turnover since 1997 within the Division of Archives averages fifteen

Analyst to recommend an increase in general fund to address salary issues within the Division.

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**3.0 Programs: Division of Archives**

**3.1 Administration**

**Recommendation**

The Analyst recommendation reflects a recommendation to fund a salary equity increase for the Division.

	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>Est/Analyst</b>
<b>Financing</b>	<b>Actual</b>	<b>Estimated</b>	<b>Analyst</b>	<b>Difference</b>
General Fund	464,500	472,700	566,600	93,900
<b>Total</b>	<b>\$464,500</b>	<b>\$472,700</b>	<b>\$566,600</b>	<b>\$93,900</b>
<b>Expenditures</b>				
Personal Services	240,100	264,000	349,400	85,400
In-State Travel	1,900	1,900	1,900	
Out of State Travel	7,000	6,500	6,500	
Current Expense	73,100	82,100	80,700	(1,400)
DP Current Expense	142,400	114,200	128,100	13,900
Other Charges/Pass Thru		4,000		(4,000)
<b>Total</b>	<b>\$464,500</b>	<b>\$472,700</b>	<b>\$566,600</b>	<b>\$93,900</b>
<b>FTE/Other</b>				
Total FTE	5	5	5	
Vehicles		1	1	

**Purpose**

The Administration Program provides financial management, strategic planning, organizational development, and public relations for the Division. The Director of the Division serves on the State Data Processing Review Committee and also coordinates the efforts of other programs in the division as they relate to the management of public records.

*Employee Retention*

The Division of Archives loses approximately fifteen percent of its employees each year. Reasons for leaving include promotions, career opportunities or family relocation. One constant among the twenty individuals who have left Archives in the last four years is that each one of them went to a job with a higher salary.

This year the Department of Human Resources Management found that compensation for professional archivists employed by the Division of Archives lags 6.2 percent behind market average. The State’s goal is to ensure that employees are within five percent of market average, but the Archives deficit can not be corrected under the current pay plan that is based on steps of 2.75 percent. Without adjustments in salaries for core professionals, Archives will continue to lag behind in market comparability and will not be able to retain its best employees. **The Analyst recommends a \$100,000 appropriation for personal services to be used by the Director of Archives to address salary issues within the Division to be distributed in the following manner:**

*It is the intent of the Legislature that the Division of Archives use these funds to improve employee retention through enhanced salaries. The funds may be used for any non-exempt position within the division that is demonstrated to have high turnover or below market wages but may not be used to add additional staff.*

### 3.2 Records Services

#### Recommendation

The Analyst recommendation accounts for reduced personal services costs in FY 2002.

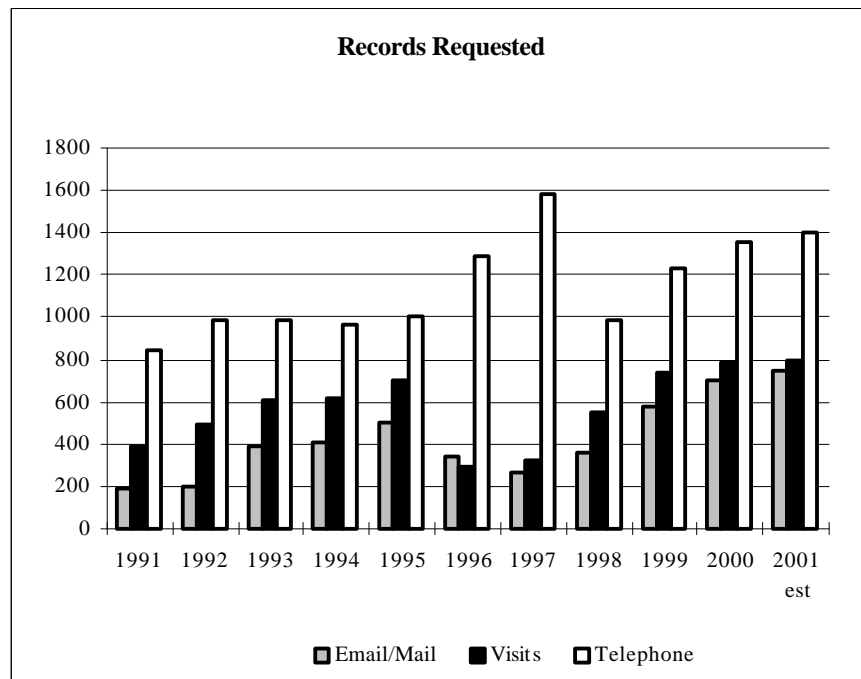
Financing	2001		2002	Difference
	Actual		Analyst	
General Fund	310,800		320,200	(7,500)
	<u>\$310,800</u>	<u>\$327,700</u>		<u>(\$7,500)</u>
<b>Expenditures</b>				
	301,000	322,100		(17,000)
In-State Travel		500	500	
	1,200	1,100		
Current Expense	5,200		8,500	4,500
	2,400		5,000	
<b>Total</b>	<u>\$310,800</u>		<u>\$320,200</u>	<u>(\$7,500)</u>
Total FTE		7	7	

#### Purpose

Records Services destroys records that are no longer needed, retrieves records for State agencies, and administers vault storage of microfilm master copies. The division currently leases 36,000 square feet in which approximately 80,000 cubic feet of public records are stored. Lease costs are averaging \$5.16 per square foot

#### Performance Measures

Telephone requests are again rising after the 1997 peak, and electronic requests have almost doubled in the last two years.



### 3.3 Preservation Services

**Recommendation** The Analyst has recommended an essentially level budget for this program.

	<b>2000</b>		<b>2002</b>	<b>Est/Analyst</b>
	<b>Actual</b>	<b>Estimated</b>		<b>Difference</b>
Dedicated Credits Revenue	238,300	250,100		(5,100)
Beginning Nonlapsing		25,000	33,500	
		9,000		
<b>Total</b>	<u>\$276,700</u>		<u>\$278,500</u>	<u>(\$5,600)</u>
Personal Services	232,300		242,900	(12,400)
	300	200		
Current Expense	44,100		35,400	6,800
	<u>\$276,700</u>	<u>\$284,100</u>		<u>(\$5,600)</u>
<b>FTE/Other</b>				
	7	7		

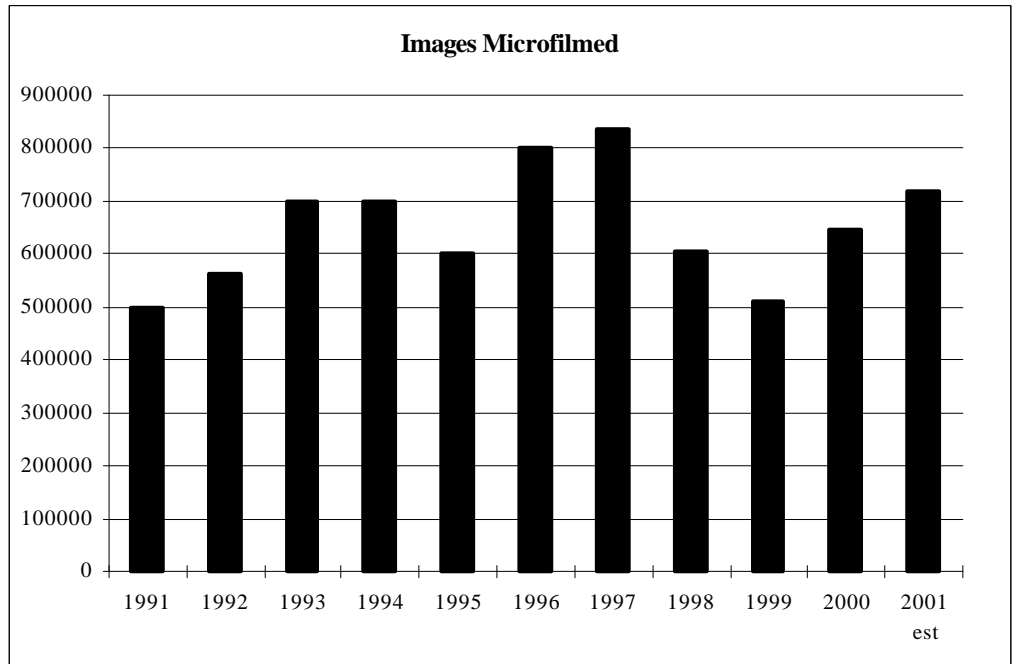
**Purpose** This program is responsible for providing microfilming services to State cameras. Consulting services are provided to all State agencies in their

The items sold by State Archives primarily include copies of records such as divorce decrees, military discharge records, and copies of microfilm records. charged represent the actual costs of State Archives in providing these

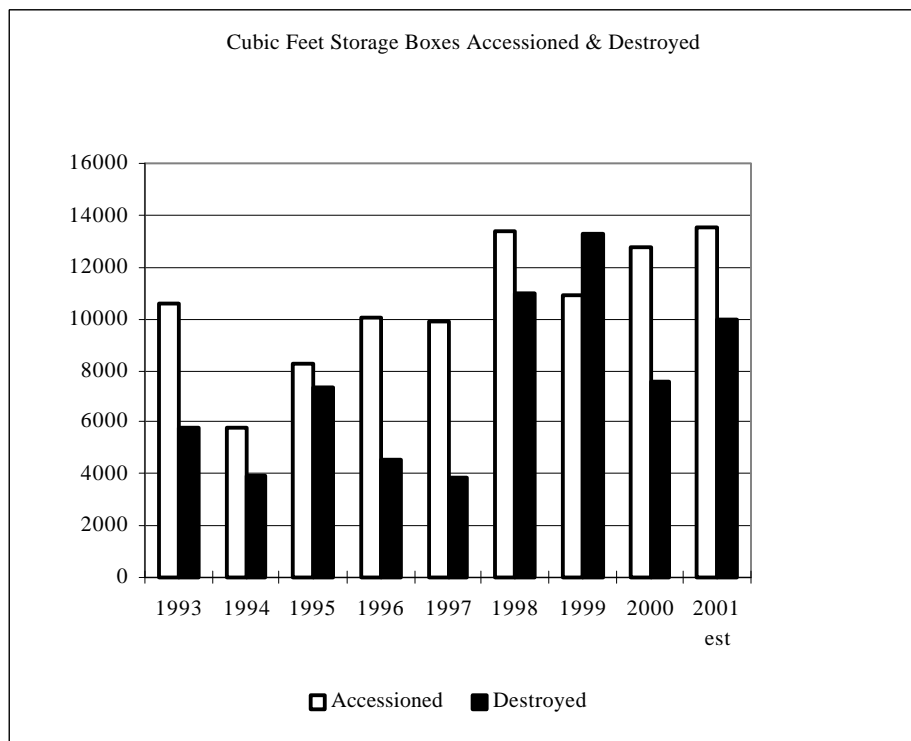


**Performance Measures**

The current expense in this budget is mostly for microfilming. Utah Correctional Industries provides some microfilming services on a contract basis. Archives initially found some quality problems, but UCI improved its processes and is now doing a better job of imaging.



Another significant area that impacts this budget is the cubic feet of storage boxes. Increases beginning in FY 1994 have leveled out slightly in recent years. However, the net increase each year continues to demand a significant amount of storage space. Part of the Capitol Hill master plan will address future needs for the Division.



### 3.4 Records Analysis

**Recommendation**

The Analyst is recommending a small decrease in personal services resulting from lower retirement rates.

	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>Est/Analyst</b>
	<b>Actual</b>	<b>Estimated</b>	<b>Analyst</b>	<b>Difference</b>
<b>Financing</b>				
General Fund	465,900	454,600	445,500	(9,100)
Dedicated Credits Revenue	1,800		(100)	(100)
<b>Total</b>	<u>\$467,700</u>	<u>\$454,600</u>	<u>\$445,400</u>	<u>(\$9,200)</u>
<b>Expenditures</b>				
Personal Services	213,700	221,800	205,900	(15,900)
In-State Travel	300	200	200	
Current Expense	249,400	230,600	237,300	6,700
DP Current Expense	4,300	2,000	2,000	
<b>Total</b>	<u>\$467,700</u>	<u>\$454,600</u>	<u>\$445,400</u>	<u>(\$9,200)</u>
<b>FTE/Other</b>				
Total FTE	5	5	5	

**Purpose**

The Records Analysis section of the Division of Archives provides consulting services to State agencies in the management of their records. This responsibility includes retention scheduling, freedom of information and privacy classification, staffing of the State Records Committee, and records and information management training.

#### 3.4.1 Archives and Court Records

A large part of the expenses incurred by the Division of Archives is the result of retrieving and filing documents for the 3rd District Court. No other Court approaches the usage level of the 3rd District Court, and the Analyst believes that proximity is a large part of the reason for the high volume of traffic. The Analyst encourages the Division of Archives to work with the Court System to find more cost-effective means of storage for active records.

In the meantime, the Analyst recommends a purchase of equipment to assist the courts in storing files electronically. A transfer of \$30,000 is recommend in the Finance-Mandated report.

### 3.5 Patron Services

#### Recommendation

The Analyst is recommending a level budget for FY 2002.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
<b>Financing</b>				
General Fund	351,600	368,100	363,300	(4,800)
Dedicated Credits Revenue	4,600	3,500	4,000	500
Transfers	86,900			
Beginning Nonlapsing		86,200	49,600	(36,600)
Closing Nonlapsing	(95,200)	(49,600)		49,600
<b>Total</b>	<u>\$347,900</u>	<u>\$408,200</u>	<u>\$416,900</u>	<u>\$8,700</u>
<b>Expenditures</b>				
Personal Services	328,900	390,300	388,000	(2,300)
Out of State Travel	2,300	1,200		(1,200)
Current Expense	16,700	16,700	1,200	(15,500)
DP Current Expense			27,700	27,700
<b>Total</b>	<u>\$347,900</u>	<u>\$408,200</u>	<u>\$416,900</u>	<u>\$8,700</u>
<b>FTE/Other</b>				
Total FTE	7	5	5	

#### Purpose

This program is responsible for referencing all data managed by Archives. They also develop "finding aids" to make existing materials more accessible to researchers. Dedicated Credits in this program are the result of sales of various publications and the providing of services to the public.

*Archives is ahead of schedule in cataloging records from Governors Rampton and Matheson*

During the 2000 General Session the Legislature redirected non-lapsing funds to the Division of Archives for a two year project to catalog records from Governors Rampton and Matheson. Governor Rampton left behind 202 cubic feet of documents that were safely stored, but never cataloged. The Division passed the 85 percent completion mark with Governor Rampton’s records by December and should be able to move forward with Governor Matheson’s records in the early part of 2001.

<b>Record Type</b>	<b>Cubic Feet</b>
Correspondence	59.0
State Agency Correspondence	55.5
Interstate Conference and Commission Records	18.0
Outgoing Correspondence	8.0
Board of Examiners Records	6.5
Proclamations and Declarations	5.0
Federal Correspondence	4.5
Issues Correspondence	3.5
Extradition Case Files	3.5
Speeches	3.0
Budget Records	2.5
Board and Commission Appointment Files	2.5
Democratic Party Records	2.0
Constituent Correspondence	1.5
Appointment Books	1.5
Publicity Files and Official Memoranda	1.0
Judicial Appointment Files	0.5
Board and Commission Appointment Log	0.5
County Trips	0.5
<b>Total Cubic Feet of Cataloged Records</b>	<b><u>179.0</u></b>

*Continuation of Cataloging Project*

This year Governor Leavitt requested a staff historian to be funded within his office. According to published reports, the position would serve more of a record keeping function rather than provide interpretations of events that took place during the Governor’s tenure. Given that the project to catalog records from the Rampton and Matheson administrations is ahead of schedule, the Analyst recommends intent language directing the Division of Archives to continue the cataloging process with Governor Leavitt’s records using non-lapsing balances identified for this purpose during the 2000 General Session:

*It is the intent of the Legislature that funds for the State Division of Archives not lapse and that those funds be used to catalog documents generated by Governors Matheson, Rampton, and Leavitt.*

**4.0 Division of Archives**

	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>
<b>Financing</b>	<b>Actual</b>	<b>Actual</b>	<b>Actual</b>	<b>Estimated</b>	<b>Analyst</b>
General Fund	1,772,800	1,789,700	1,831,100	1,873,200	1,940,600
Dedicated Credits Revenue	46,100	28,800	44,800	28,500	37,400
Transfers			86,900		
Beginning Nonlapsing	2,800			95,200	49,600
Closing Nonlapsing			(95,200)	(49,600)	
Lapsing Balance	(4,000)	(15,700)			
<b>Total</b>	<b>\$1,817,700</b>	<b>\$1,802,800</b>	<b>\$1,867,600</b>	<b>\$1,947,300</b>	<b>\$2,027,600</b>
<b>Programs</b>					
Archives Administration	433,600	438,000	464,500	472,700	566,600
Records Analysis	314,700	325,400	310,800	327,700	320,200
Preservation Svcs	279,500	252,800	276,700	284,100	278,500
Reference Services	442,900	441,000	467,700	454,600	445,400
Patron Services	347,000	345,600	347,900	408,200	416,900
<b>Total</b>	<b>\$1,817,700</b>	<b>\$1,802,800</b>	<b>\$1,867,600</b>	<b>\$1,947,300</b>	<b>\$2,027,600</b>
<b>Expenditures</b>					
Personal Services	1,242,200	1,254,300	1,316,000	1,453,500	1,491,300
In-State Travel	1,500	2,800	3,500	2,800	2,800
Out of State Travel	10,200	12,200	10,500	8,800	7,600
Current Expense	398,000	369,500	388,500	362,000	363,100
DP Current Expense	89,100	156,000	146,700	116,200	157,800
DP Capital Outlay	27,900	200			
Capital Outlay	48,800	7,800			
Other Charges/Pass Thru			2,400	4,000	5,000
<b>Total</b>	<b>\$1,817,700</b>	<b>\$1,802,800</b>	<b>\$1,867,600</b>	<b>\$1,947,300</b>	<b>\$2,027,600</b>
<b>FTE/Other</b>					
Total FTE	34	34	31	33	33
Vehicles				1	1