

Office of the
Legislative Fiscal Analyst

FY 2003 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 Archives maintains a small reading room along with administrative offices on Capitol Hill and leases a West Valley warehouse in which 80,000 cubic feet of records are maintained.

	Analyst FY 2003 Base	Analyst FY 2003 Changes	Analyst FY 2003 Total
Financing			
General Fund	1,986,500	(2,700)	1,983,800
Dedicated Credits Revenue	39,000		39,000
Total	\$2,025,500	(\$2,700)	\$2,022,800
Programs			
Archives Administration	552,000	(50,700)	501,300
Records Analysis	337,200	13,100	350,300
Preservation Svcs	290,900	1,100	292,000
Patron Services	466,500	(6,000)	460,500
Records Services	378,900	39,800	418,700
Total	\$2,025,500	(\$2,700)	\$2,022,800
FTE/Other			
Total FTE	33		33

The *Analyst FY 2003 Base* budget recommendation includes the *Revised Estimate* from FY 2002 as approved by the Executive Appropriations Committee and the following items:

- Adjustment for FY 2002 one-time programs;
- Payroll cost of an extra day in FY 2003;
- Transfers of Market Comparability Adjustments; and,
- Net changes for Internal Service Fund rates.

FY 2003 changes reflect the incremental costs of across the board reductions and annualization of partial budget cuts approved for FY 2002 along with adjustments for transfers made within the line item.

2.0 Issues: 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.

2.1 Employee Retention

During the 2001 General Session, the Legislature allocated \$100,000 for salary equity issues within the division. The money was designed to reduce turnover. Section 3.1 explains the Director's distribution of salary equity money.

2.2 Cataloging Governor's Records

The Legislature provided funds during the 2000 General Session to fund one temporary position within the Archives for the purpose of archiving records from former Governors. Section 3.5 provides a progress report.

2.3 Storing of Records

One of the largest users of Archives access is the Third District Court. The Analyst believes that this is due more to proximity than actual case load. The Analyst believes the Administrative Officer of the Courts should implement technology that will provide electronic access to documents rather than continue to rely on manual retrieval of documents.

2.4 Archives Master Plan

For years the Division of Archives has sought a new place from which to operate. The current Capitol Hill location is insufficient for long term needs. Last year the Legislature approved a \$40,000 program study to determine the best option for the Archives. At the time of printing, the report was still unavailable. DFCM and the Division of Archives hope to present the report to the Legislature during the 2002 General Session. The Analyst offers potential solutions in the Capital Budget report.

3.0 Programs: Division of Archives

3.1 Administration

	2001	2002	2003	Est/Analyst
Financing	Actual	Estimated	Analyst	Difference
General Fund	426,400	562,700	501,300	(61,400)
General Fund, One-time		(60,500)		60,500
Beginning Nonlapsing	95,200	63,100		(63,100)
Closing Nonlapsing	(63,100)			
Total	\$458,500	\$565,300	\$501,300	(\$64,000)
Expenditures				
Personal Services	267,200	276,600	221,500	(55,100)
In-State Travel	2,200	2,700	2,500	(200)
Out of State Travel	5,000	7,600	7,100	(500)
Current Expense	61,000	157,200	154,600	(2,600)
DP Current Expense	123,100	116,200	115,600	(600)
Other Charges/Pass Thru		5,000		(5,000)
Total	\$458,500	\$565,300	\$501,300	(\$64,000)
FTE/Other				
Total FTE	6	6	5	1

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. Employees leave for a variety of reasons, including 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. Last 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.

To address this problem the Legislature provided \$100,000 to Archives for a salary equity initiative. With the salary equity money, the division was able to increase salaries in key areas by as much as twelve percent. Equity raises of five steps (12.5 percent) were given to those who with “excellent” or “satisfactory” performance evaluations but were below midrange. Those with “excellent” or “satisfactory” evaluations who were at or above midrange received three steps (7.5 percent). Some employees also received one additional step for outstanding performance.

It should be noted that in the last round of cuts the Governor’s recommendation to eliminate two positions in the Division was approved by the Legislature, reducing their budget by \$58,000.

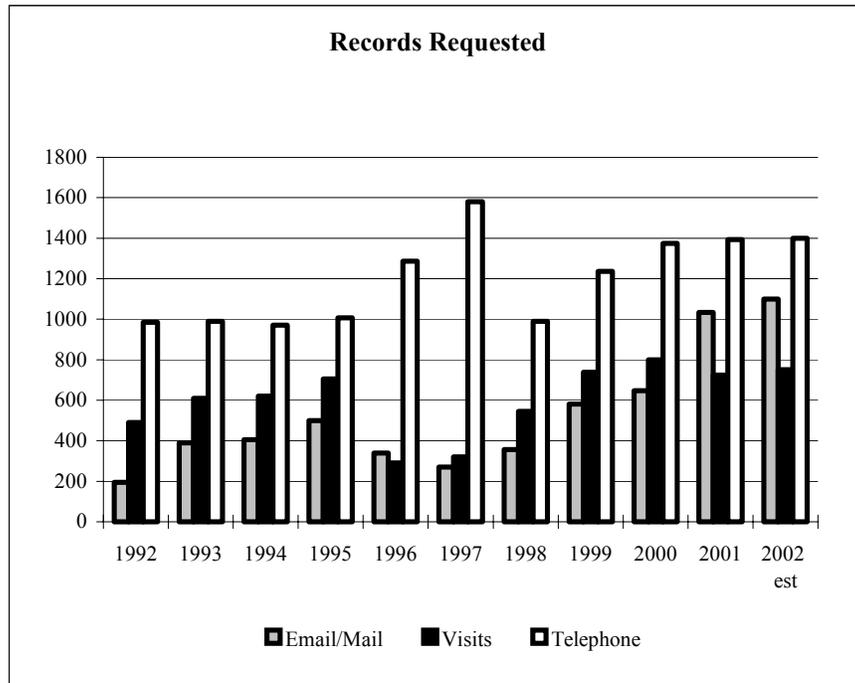
3.2 Records Services

	2001	2002	2003	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
General Fund	462,300	416,700	414,700	(2,000)
General Fund, One-time		(1,400)		1,400
Dedicated Credits Revenue			4,000	4,000
Total	\$462,300	\$415,300	\$418,700	\$3,400
Expenditures				
Personal Services	218,000	216,700	259,800	43,100
Current Expense	239,800	198,600	133,200	(65,400)
DP Current Expense	4,500		25,700	25,700
Total	\$462,300	\$415,300	\$418,700	\$3,400
FTE/Other				
Total FTE	6	6	5	(1)

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 warehouse space in which approximately 80,000 cubic feet of public records are stored.

Performance Measures

Telephone requests are again rising after the 1997 peak, and electronic requests have almost tripled since 1998.



3.3 Preservation Services

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

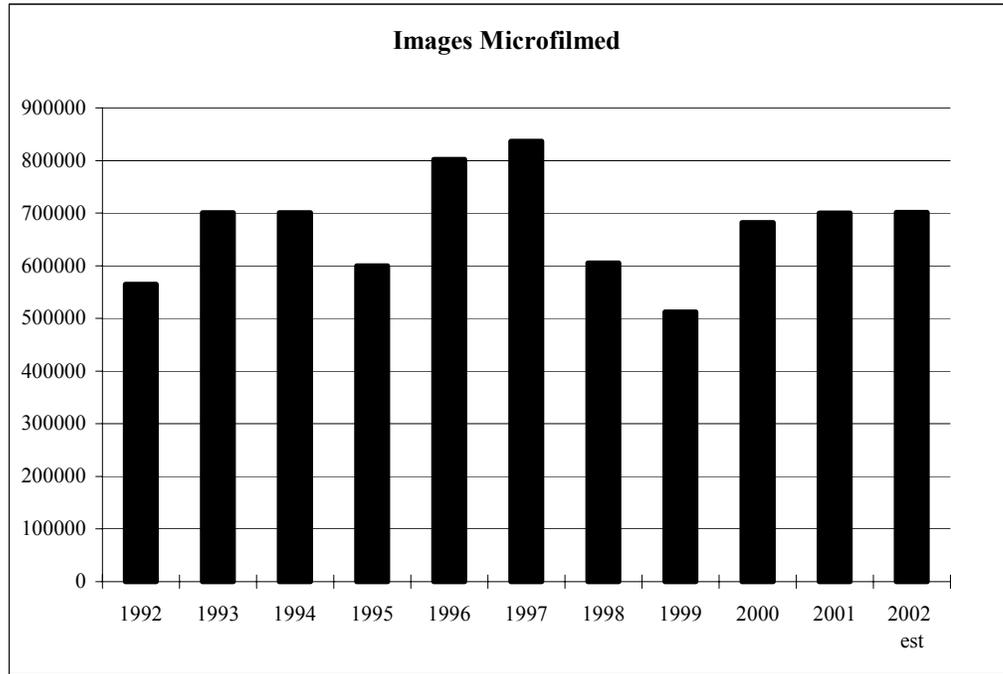
	2001	2002	2003	Est/Analyst
Financing	Actual	Estimated	Analyst	Difference
General Fund	296,100	259,300	257,100	(2,200)
General Fund, One-time	17,800	(1,500)		1,500
Dedicated Credits Revenue		33,000	34,900	1,900
Total	\$313,900	\$290,800	\$292,000	\$1,200
Expenditures				
Personal Services	238,400	251,900	259,100	7,200
In-State Travel	500		200	200
Out of State Travel	300			
Current Expense	74,700	38,900	32,700	(6,200)
Total	\$313,900	\$290,800	\$292,000	\$1,200
FTE/Other				
Total FTE	7	7	7	

Purpose This program is responsible for providing microfilming services to State agencies and quality assurance to agencies that possess their own microfilm cameras. Consulting services are provided to all State agencies for their microfilming needs.

The items sold by State Archives primarily include copies of records such as divorce decrees, military discharge records, and copies of microfilm records. Both the general public and State agencies access records from archives. Fees charged represent the actual costs of State Archives in providing these services.

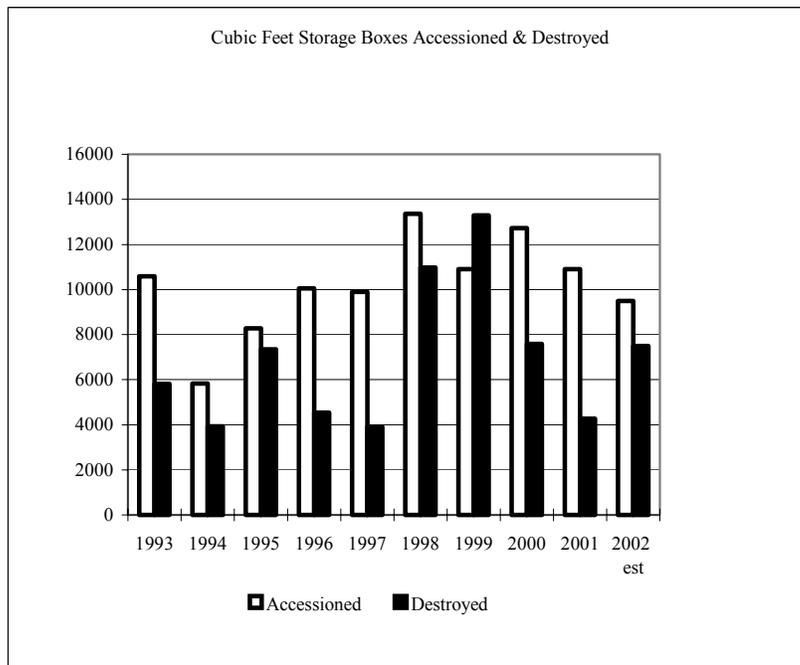
Performance Measures

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.



Storage of Records

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

	2001	2002	2003	Est/Analyst
Financing	Actual	Estimated	Analyst	Difference
General Fund	305,300	350,800	350,300	(500)
General Fund, One-time		(400)		400
Total	\$305,300	\$350,400	\$350,300	(\$100)
Expenditures				
Personal Services	296,500	350,400	336,800	(13,600)
In-State Travel	1,000		500	500
Out of State Travel	2,200		1,100	1,100
Current Expense	3,900		6,900	6,900
Other Charges/Pass Thru	1,700		5,000	5,000
Total	\$305,300	\$350,400	\$350,300	(\$100)
FTE/Other				
Total FTE	7	7	7	

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.

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. For the last two years the Analyst encouraged the Division of Archives to work with the Court System to find more cost-effective means of storage for active records.

To provide an incentive to the Courts, the Analyst believes that a fee should be charged to state agencies and the Courts for delivery of records. To accomplish this, the Analyst recommends the following intent language:

It is the intent of the Legislature that the Division of Archives establish an appropriate fee for delivery of documents to the Courts and State agencies. It is further the intent of the Legislature that this fee be in place no later than July 1, 2002, and that dedicated credits earned in this program be used to replace the two positions lost during FY 2002 Budget cuts.

3.5 Patron Services

Recommendation

	2001	2002	2003	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
General Fund	383,400	461,400	460,400	(1,000)
General Fund, One-time		(700)		700
Dedicated Credits Revenue	7,500	5,900	100	(5,800)
Total	<u>\$390,900</u>	<u>\$466,600</u>	<u>\$460,500</u>	<u>(\$6,100)</u>
Expenditures				
Personal Services	383,100	444,900	228,900	(216,000)
In-State Travel			200	200
Out of State Travel	500			
Current Expense	7,300	21,700	229,400	207,700
DP Current Expense			2,000	2,000
Total	<u>\$390,900</u>	<u>\$466,600</u>	<u>\$460,500</u>	<u>(\$6,100)</u>
FTE/Other				
Total FTE	9	9	9	

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

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 completed work on Governor Rampton’s records now is working on Matheson’s records.

Record Type	Cubic Feet
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
Total Cubic Feet of Cataloged Records	<u>179.0</u>

4.0 Division of Archives

	1999	2000	2001	2002	2003
Financing	Actual	Actual	Actual	Estimated	Analyst
General Fund	1,789,700	1,831,100	1,873,500	2,050,900	1,983,800
General Fund, One-time			17,800	(64,500)	
Dedicated Credits Revenue	28,800	44,800	7,500	38,900	39,000
Transfers		86,900			
Beginning Nonlapsing			95,200	63,100	
Closing Nonlapsing		(95,200)	(63,100)		
Lapsing Balance	(15,700)				
Total	\$1,802,800	\$1,867,600	\$1,930,900	\$2,088,400	\$2,022,800
Programs					
Archives Administration	438,000	464,500	458,500	565,300	501,300
Records Analysis	325,400	310,800	305,300	350,400	350,300
Preservation Svcs	252,800	276,700	313,900	290,800	292,000
Patron Services	441,000	467,700	390,900	466,600	460,500
Records Services	345,600	347,900	462,300	415,300	418,700
Total	\$1,802,800	\$1,867,600	\$1,930,900	\$2,088,400	\$2,022,800
Expenditures					
Personal Services	1,254,300	1,316,000	1,403,200	1,540,500	1,306,100
In-State Travel	2,800	3,500	3,700	2,700	3,400
Out of State Travel	12,200	10,500	8,000	7,600	8,200
Current Expense	369,500	388,500	386,700	416,400	424,200
DP Current Expense	156,000	146,700	127,600	116,200	275,900
DP Capital Outlay	200				
Capital Outlay	7,800				
Other Charges/Pass Thru		2,400	1,700	5,000	5,000
Total	\$1,802,800	\$1,867,600	\$1,930,900	\$2,088,400	\$2,022,800
FTE/Other					
Total FTE	34	31	35	33	33