

# Chapter 434-670 WAC

## THE WASHINGTON STATE ARCHIVES LOCAL RECORDS GRANT PROGRAM

### WAC

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**WAC 434-670-010 Washington state archives local records grant program.** The Washington state archives local records grant program, administered by the office of the secretary of state, provides financial assistance to local government officials to support records management and preservation efforts, particularly for records of permanent retention. This grants-in-aid program is a significant effort in the overall mission of the program to enhance the quality of archival preservation and public access to records of enduring value. This grant program is governed by this chapter and by RCW 36.22.175.

[Statutory Authority: RCW 36.22.175(1). WSR 03-06-069, § 434-670-010, filed 3/3/03, effective 4/3/03.]

### **WAC 434-670-020 Eligible and ineligible activities.**

(1) The following activities, including but not limited to, are eligible for support through grants administered pursuant to this chapter:

- (a) Planning;
- (b) Records management;
- (c) Preservation;
- (d) Conservation;
- (e) Professional consultants;
- (f) Essential equipment;
- (g) Reference tools, and;
- (h) Education;
- (i) Temporary personnel.

(2) The following activities, including but not limited to, are ineligible for support through grants administered pursuant to this chapter:

- (a) Projects already completed;
- (b) Expenses incurred prior to the grant period;
- (c) Existing/permanent staff positions;
- (d) Equipment nonessential to the project;
- (e) Capital improvements to buildings;
- (f) Payments to lobbyists;
- (h) Hospitality expenses;
- (i) Prizes/awards;
- (j) Benefit activities (social, fund-raisers, etc.);
- (k) Educational outreach not available to the public;
- (l) Tuition reimbursement for academic credit;
- (m) Activities having a religious purpose;
- (n) Inventories/guides not available to the public and;

(o) Purchase of manuscripts/records.

[Statutory Authority: RCW 36.22.175(1). WSR 03-06-069, § 434-670-020, filed 3/3/03, effective 4/3/03.]

**WAC 434-670-030 Eligibility.** Local government entities, including special purpose districts, are eligible to apply for grants under this chapter. Entities other than local governments, such as individuals, state agencies, federal agencies, and private organizations are ineligible, but local public records housed by state agencies may be included in a grant application that is submitted and administered by the local official who has statutory authority over the records.

[Statutory Authority: RCW 36.22.175(1). WSR 03-06-069, § 434-670-030, filed 3/3/03, effective 4/3/03.]

### **WAC 434-670-040 Evaluation of proposals.**

(1) Washington state archives staff will review grant applications for completeness, conformity to application requirements, soundness of budget, and relevancy to the objectives of the Washington state archives local records grant program. (Staff may also consider, in addition to the factors specified above the potential for widespread citizen use, research value and value for ongoing governmental operation of the proposed project including improvements to existing operations.) The proposal may be returned to the applicant institution for further development or clarification, prior to application deadline.

(2) A summary will be prepared by the Washington state archives for each complete application and forwarded to the oversight committee. The committee will review the applications at its annual public meeting and make funding recommendations to the secretary of state.

(3) The office of the secretary of state will notify the applicant in writing as to whether the proposal has been funded or rejected.

[Statutory Authority: RCW 36.22.175(1). WSR 03-06-069, § 434-670-040, filed 3/3/03, effective 4/3/03.]

### **WAC 434-670-050 Grant application requirements.**

In order to be complete an application must include:

- (1) Identification of local government entity and project personnel;
- (2) A description of the activity proposed for funding including:
  - (a) Statement of purpose and goals;
  - (b) Project summary;
  - (c) Detailed analysis of plan, discussion of techniques and a timetable;
  - (d) Project objectives; and
  - (e) Specific end results or products.
- (3) A funding description, including:

- (a) Budget layout;
  - (b) Budget explanation;
  - (c) Need for outside funding;
  - (d) Funding of future management and preservation projects; and
  - (e) Local entity's accounting methods and audit procedures.
- (4) Relevant information, including:
    - (a) Evaluation of results (how will the success or failure be measured);
    - (b) Statement of any previous actions; and
    - (c) Description of importance of the project in terms of an overall, long-range record management program
  - (5) Authorization, including:
    - (a) Being signed and dated by proper official; and
    - (b) Identification of preparer of the application.
  - (6) Support material, including:
    - (a) Letter of commitment from the applicant's funding authority;
    - (b) Resumes of project personnel, consultants, volunteers, etc., and descriptions of their grant-funded duties
    - (c) Required forms;
    - (d) Identification of necessary services, equipment, supplies, etc.; and
    - (e) Other relevant information.

[Statutory Authority: RCW 36.22.175(1). WSR 03-06-069, § 434-670-050, filed 3/3/03, effective 4/3/03.]

**WAC 434-670-060 Grant calendar.** (1) The grant period begins on the date of the award issued by the Office of the Secretary of State. Grant projects must be completed in the awarded biennium.

(2) The grant payment and reporting schedule will be approved and published by the oversight committee for each grant cycle. All unused grant funds and interest in possession of the grantee must be returned to the Washington state archives local records grant program within sixty days of completion.

[Statutory Authority: RCW 36.22.175(1). WSR 03-06-069, § 434-670-060, filed 3/3/03, effective 4/3/03.]

**WAC 434-670-070 Accounting.** Grantees must keep financial records in accordance with the accounting practices generally applicable to their local government accounting practices and apply approved record retention schedules. These records, as public records, shall be subject to inspection by the Washington state archives staff and the oversight committee during regular business hours throughout the grant period. If any litigation, claim, or audit is begun before the end of the retention period, records must be retained until such proceeding is resolved.

[Statutory Authority: RCW 36.22.175(1). WSR 03-06-069, § 434-670-070, filed 3/3/03, effective 4/3/03.]

**WAC 434-670-080 Auditing requirements.** Grantees must comply with the audit requirements set forth in Washington statutes for local government units. The grantee is responsible for ensuring that the Washington state archives receives copies of the audit report for any audit performed during the grant period or for the following three years. Spe-

cific accounting requirements for the Washington state archives local records grant program are:

(1) Grant money must be deposited in an auditable, interest-bearing account. Interest received must be applied to the project.

(2) Grant work must be monitored in progress. The Washington state archives staff may visit the work site for review at any time during the project.

(3) Changes in the approved grant, including changes of personnel, must be requested in writing to the Washington state archives, local records grant program.

(4) In the case of default by the grantee, the grant will be revoked and all unused funds must be returned to the Washington state archives local records grant program. The Washington state archives will notify the grantee of default in writing.

(5) The grantee shall submit a final grant report by June 30.

(6) Grantees must submit copies of all invoices with the final report, and

(7) Grantees must adhere to local and state bid requirements and submit documentation with the final grant report.

[Statutory Authority: RCW 36.22.175(1). WSR 03-06-069, § 434-670-080, filed 3/3/03, effective 4/3/03.]

**WAC 434-670-090 Conflicts of interest.** (1) The Washington state archives oversight committee will not consider a proposal where a committee member or a member of the secretary of state's staff derives compensation from the proposed grant.

(2) A board member shall abstain from reviewing or voting on proposals if she/he is directly or indirectly connected with a proposed project through employment at the same institution, (directly or) indirectly supervises the project, or serves as an unpaid consultant to the project.

[Statutory Authority: RCW 36.22.175(1). WSR 03-06-069, § 434-670-090, filed 3/3/03, effective 4/3/03.]