

## County of Santa Clara Office of the County Executive



---

CE05 091404

Prepared by: Sally Logothetti  
Administrative Services  
Manager

Reviewed by: Gary A. Graves  
Chief Deputy County  
Executive

DATE: September 14, 2004

TO: Board of Supervisors

FROM:

A handwritten signature in black ink, appearing to read "Peter Kutras Jr.".

Peter Kutras Jr.  
County Executive

SUBJECT: Establishment of a Countywide Records Management Program

### **RECOMMENDED ACTION**

Consider recommendations relating to establishment and maintenance of a Countywide Records Management Program within the County of Santa Clara.

Possible actions:

a.

Adopt Board Policy Resolution No.04–14 adding Board of Supervisors' Policy Manual section 3.43 adding an Archive Policy. (Roll Call Vote)

b. Direct Clerk of the Board to include Policy in Board of Supervisors' Policy Manual.

c. Approve Request for Appropriation Modification No. 35 – \$100,000 transferring one-time funds from the Contingency Reserve to the Office of the County Executive, Budget Unit 107. (Roll Call Vote)

### **FISCAL IMPLICATIONS**

The Contingency Reserve will be reduced by \$100,000, and one-time funds will be budgeted in the Office of the County Executive to support activities related to development of a county archives facility.

### **CONTRACT HISTORY**

None.

### **REASONS FOR RECOMMENDATION**

A documented and adopted policy will provide support and direction to current efforts to establish an archives facility and a centralized records maintenance program. In the absence of a Countywide policy regarding archival preservation, individual agencies and departments have established their own business processes for handling records and artifacts. Although many currently use the records storage facilities managed by the Facilities and Fleet Department, there are articles and documents of historical significance located throughout the County that may be at risk of being damaged or lost.

Current efforts are focused on securing outside funding for the Archives Program. Application for a competitive two-year grant from the National Historical Publications and Records Commission will be submitted in October 2004. Contact with State and Federal grant staff has made it clear that a Board policy supporting the archives program is critical to the success of any grant application.

Grant staff have also commented that a local cost-sharing investment will be seen as an

indication of commitment to the project, and will strengthen the competitiveness of the grant application. The recommended one-time funding will be used to develop a site design and purchase shelving that will make it possible to begin placing archival materials at the facility. Although material sorting and cataloging will require the services of an archivist (one of the needs being requested in the grant), immediate use of the facility for storage will allow the County to claim a percentage of the lease cost as in-kind grant matching costs. Use of the facility is greatly hampered without shelving, and a review of potential grants reflects an unwillingness to fund some equipment needs, including shelving.

### **BACKGROUND**

Recognizing the need to establish the means to preserve County historical records of state and local importance, the Board of Supervisors approved space for an archives facility in January 2004. The facility, located on Senter Road in San Jose, will serve as a repository for historical records and artifacts created by County departments since 1850. Records that are currently dispersed among many department and records retention locations will be appropriately preserved in a central location, and can be made accessible to the public.

Also in January 2004, the Board of Supervisors approved creation of the Santa Clara County Archives Committee to begin the organization and collection of historic artifacts in the County. The Committee consists of representatives from various agencies and departments, volunteers from the general public and a representative from the Historical Heritage Commission. The Committee is charged to work with departments to locate and consolidate the County's historical articles, objects and documents for recording, storage, and access at an archives facility. A needs assessment has been completed and the Committee is working with the County Executive on issuance of a survey/directive to all County departments regarding their historical holdings.

In addition, the Committee is responsible for pursuing grant opportunities for archival start-up funds, and partnerships with County departments, cities, universities, historical foundations, and interest groups to identify other means of support for the archive facility.

### **CONSEQUENCES OF NEGATIVE ACTION**

A policy in support of the County archives project will not be available for inclusion in grant application efforts and the County will not have a policy for use by the Administration.

### **ATTACHMENTS**

- POLICY RESOLUTION NO. 04-14 (Resolution)
- APPROPRIATION MODIFICATION # 035 (Appropriation Modification (F-85))

# County of Santa Clara

Historical Heritage Commission

Office of the Clerk of the Board of Supervisors  
County Government Center, East Wing  
70 West Hedding Street  
San Jose, California 95110-1768  
(408) 299-5001 FAX 298-8460 TDD 993-8272

THIS RELATES TO:

September 14, 2004 Item No. 33  
Supplemental Information No. 1



September 14, 2004

Santa Clara County Board of Supervisors  
County Government Center  
70 West Hedding Street, 10<sup>th</sup> Floor, East Wing  
San Jose, CA 95110

Honorable Board of Supervisors:

*Enables*

The Santa Clara County Historical Heritage Commission fully supports adoption of the Resolution approving amendment to the Board Policy Manual regarding the addition of an Archive Policy. This Resolution will give direction and set policy for development of a Countywide Records Management Program to provide greater access for research and use of the County's historical records and artifacts. Over the years, the Historical Heritage Commission has advocated for better access and preservation of the County's records and has met with staff on these concerns.

As one of the oldest counties in California, Santa Clara County has a rich history documented in records from the early Spanish Colonial period through today's quickly changing technological culture. The County's records reflect the diverse community and culture and document numerous aspects of governmental development and growth. The records, both historical and current, are vital for our understanding of who we are and to help chart where we are going.

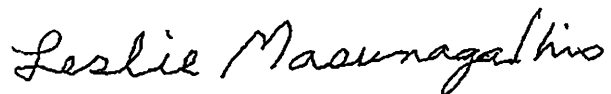
At the August 19, 2004 meeting the Commission voted unanimously to support this key step in preserving the County's records. In spirit, many past commissioners who have worked hard to promote the County's heritage are also encouraged and support the development of this policy and the development of the Archive facility. We are looking forward to the future development of a full Archive program benefiting the entire County.

Board of Supervisors: Donald F. Gage, Blanca Alvarado, Pete Hugh, James T. Beall, Jr., Liz Kniss  
County Executive: Pete Kutas, Jr

*Board of Supervisors  
September 14, 2004  
Page 2*

On behalf of the Historical Heritage Commission, thank you for your support and for taking the necessary steps to provide a facility suitable for the collection, cataloging, preservation and access to historical materials pertaining to Santa Clara County.

Yours truly,

A handwritten signature in cursive script that reads "Leslie Masunaga".

Leslie Masunaga, Chair  
Santa Clara County Historical Heritage Commission

cc: Brenda Davis, Clerk-Recorder  
Phyllis Perez, Clerk of the Board

# County of Santa Clara

Office of the County Executive

County Government Center, East Wing  
70 West Hedding Street  
San Jose, California 95110  
(408) 299-5105

THIS RELATES TO:

September 14, 2004 Item No. 33

Supplemental Information No. 2



September 9, 2004

TO: Board of Supervisors

FROM: Peter Kutas, Jr.  
County Executive

RE: Additional Information – Agenda Item 33  
Establishment of a Countywide Records Management Program

Item 33 addresses efforts to establish an archives facility and a centralized County records management program. The Board of Supervisors approved space for the archives facility in January 2004 and directed an Archives Committee to begin planning efforts. Those efforts are currently primarily focused on securing a two-year federal grant to provide an outside source of support for startup activities in the facility.

The grant submittal process includes review of the draft grant proposal by State and Federal grant program staff. Initial comments from the State review indicated that County support and cost-sharing would strengthen the competitiveness of the grant, and prompted this transmittal seeking both Board policy support and \$100,000 in one-time funding for materials not covered by the grant.

On August 27<sup>th</sup>, we received comments from the federal program staff specifically criticizing the lack of ongoing County support for archives program staffing after the two year grant period, and indicate that the grantor “does not normally look favorably upon applications that do not exhibit a strong commitment to continuing programs that are started with grant funds”.

The grant application describes the County’s contributions to the project, including provision of the archives space, valued at \$110,000 annually, and the in-kind cost of staff on the Archives Committee. If approved, the description will also include the materials and services to be purchased with the \$100,000 in one-time funding. It does not include any language committing County funds to staffing for the facility. If the County is successful in competing for the grant, grant funding would support archival staff in Fiscal Years 2005 and 2006. County funding support for staff would become necessary in Fiscal Year 2007. Recognizing our continuing financial difficulties, the Administration has not included a statement committing future General Fund resources in the grant document.

This late information is provided to assist the Board in decision-making regarding the archives development grant application.