New York State Archives

GRANTS ADMINISTRATION UNIT • 9A81 Cultural Education Center • Albany, NY 12230 • (518) 474-6926

LOCAL GOVERNMENT RECORDS MANAGEMENT IMPROVEMENT FUND

Grant Application Guide

2013–2014

Application Deadline:

1 March 2013

All applications must be submitted electronically. If you have difficulty completing an online application, contact the Grants Administration Unit at 518-474-6926

The University of the State of New York
The State Education Department
www.nysed.gov

This publication is distributed by the New York State Archives. If you have any questions concerning its contents, please call (518) 474-6926, or send an email to the State Archives at archgrants@mail.nysed.gov
New York State Archives web address: **www.archives.nysed.gov**

Table of Contents

General Information

Introduction

The Local Government Records Management Improvement Fund (LGRMIF) grants program provides funds to help local governments establish records management programs or develop new program components. It is a competitive program, awarding grants based on the merits of applications. The LGRMIF, created in 1989, consists of fees collected by county clerks and the New York City Register for the recording of selected documents and for the assignment by county clerks of index numbers for certain court cases. The amount of grant funding available depends on the number of documents recorded and index numbers assigned each year. This will vary with the state of the economy (as reflected in the recording of deeds and mortgages from housing sales).

The purpose of LGRMIF grants is not to support local government records management programs indefinitely. Local governments are expected to assume primary responsibility for ongoing support of their programs by providing the resources to manage their records on a continuing basis. This is consistent with the 1987 Local Government Records Law (Article 57-A, Arts and Cultural Affairs Law), which requires most local governments to designate a Records Management Officer (RMO) and to develop a records management program.

On average, between 300 and 500 local governments apply each year. To increase their chances of funding, applicants should closely adhere to the application instructions and address the general application, relevant category, and grant type requirements outlined in this guide. The State Archives encourages local government officials to attend one of the many LGRMIF grant application workshops held in all regions of the state in the fall. In addition, applicants may direct questions regarding applications to their respective Regional Advisory Officer (RAO), to the State Archives' Grants Administration Unit in Albany at (518) 474-6926, or via email to archgrants@mail.nysed.gov. (See the directory of regional offices, with contact information for each of the RAOs, in the appendix.) NYC Mayoral Agencies (DORIS), however, should contact the New York City Department of Records' Grant Administration Unit at (212) 788-7513 or via email at grants@records.nyc.gov for information and assistance with requirements that are specific to them.

To comply with formal bidding procedures, the State Archives must receive by 16 February 2013 any questions that have not already been addressed in this guide or the FAQs, which can be found at http://www.archives.nysed.gov/a/grants/grants_lgrmif_faq.shtml. All questions and their answers will be posted to the New York State Archives' website (www.archives.nysed.gov), which will be updated every week. Additional information may be found on the Archives' website under "Grants and Awards."

Summary of Major Changes for 2013-2014

- **All LGRMIF grant applications must be submitted electronically effective 2011-2012.**
- Shared Services proposals will receive an allocation of approximately 30% of the total funds available, as this application type has been designated a high priority.
- Disaster Management projects will no longer be considered a priority for funding. However, local governments can still apply for two grants if the second application is for Disaster Management planning.
- Eliminated the Cooperative as an application type, leaving Individual and Shared Services as the only options available under which to apply.
- Registration forms requesting new user accounts will no longer be processed if submitted within 5 business days of the application due date**.**
- Digital imaging services are no longer available under state contract. All applicants proposing a digitization project in excess of $10,000 must use a state approved preferred vendor or provide 3 quotes**.**

Timetable for 2013–2014 Grants Projects

1 Mar 2013	Grant applications must be **submitted electronically before 5:00 pm** on this date. Also, the paper signature forms required for all applications must be **postmarked** by this date.
25 June 2013	Scheduled date to email notification letters to all applicants.
1 July 2013	Grants projects may start **contingent on final approval from the Office of the State Comptroller**.
1 June 2014	All budget amendment templates must be **submitted electronically before 5:00 pm** on this date. Also, the paper FS-10-A form must be **postmarked** by this date, if required.

30 June 2014	All work on grants projects must be completed.
31 July 2014	All Final Reports must be **submitted electronically** or **postmarked** (FS-10-F only) by this date.

Eligibility Requirements

To be eligible to apply for an LGRMIF grant, most local governments in New York State are required to have the following in place by the application deadline:

- Records Management Officer (RMO) appointed
- Appropriate State Archives records retention and disposition schedule adopted

The only exceptions to this are the City of New York and its five county clerks and five district attorneys, community school districts in New York City, and housing authorities, all of which are **not** required to have RMOs or to adopt State Archives records retention and disposition schedules.

The State Education Department's (SED's) Grants Finance Unit will not release grant funds if you have failed to file the required final fiscal or narrative reports for any SED grant (which includes LGRMIF grants). Please also note that an application will not be forwarded for review if you have not submitted all final reports associated with previously awarded grants, exclusive of the current grant award period.

Public Benefit Corporations

Public benefit corporations with local or regional jurisdiction are independent units of local government and are therefore eligible to apply for LGRMIF grants.

Community Colleges

A community college sponsored by a single county may apply for grant funding only through its county's RMO and with the approval of the county's chief administrative official. A community college sponsored by more than one county may apply as a separate local government.

Fire Districts, Volunteer Fire Companies, Emergency Rescue Services, and Ambulance Services

Fire districts are eligible to apply for LGRMIF grants because they are local governments. However, not-for-profit volunteer fire companies, ambulance services, and emergency rescue services are not local governments under the Local Government Records Law, and are therefore not eligible to apply for LGRMIF grants.

For questions on eligibility, contact the Grants Administration Unit at (518) 474-6926.

Types of Grants

1. Competitive Grants

Competitive grants can be for one of two types of projects: Individual projects or Shared Services projects.

Applicants may submit or be a party to only one Individual or Shared Services application, unless the second application is for a project under the Disaster Management category. The maximum amount for Disaster Management projects is $10,000 per grant when an applicant applies for this as a second application. If an applicant is submitting only one application and that application is for Disaster Management, the applicant may request up to $75,000 (for an Individual project), or $150,000 (for a Shared Services project).

Shared Services projects are again a priority for funding, with no limit on the number of Shared Services grants that the LGRMIF may support. Instead, before the May grants review, available funding will be divided between Shared Services proposals and all other proposals, giving preference to Shared Services. Approximately 30% of all available funding will be set aside to fund Shared Services grants.

- **Individual Projects** involve a single local government. The applicant may request up to $75,000.

- **Shared Services Projects** involve two or more local governments working together, with one government acting as the lead.

  Applicants proposing a **Shared Services** project may request up to $150,000. To be eligible for funding, a Shared Services application must demonstrate how the grant project will establish a permanent cooperative relationship between governments that results in sustainable programmatic change.

  Applicants for **Shared Services** grants must meet all of the following requirements:

- Prove there is need for the project. If a needs assessment is essential for proving the viability of a project, it is the responsibility of the governments involved to ensure a needs assessment is submitted with the application

- Demonstrate the clear financial and administrative advantages of working together by including a cost-benefit analysis

- Demonstrate the mutual benefits of the project to all participants

- Provide baseline information about the governments, governmental departments, functions, and records that will be the focus of the project and the basis of all costs

- Demonstrate the full participation and support of all participants

In addition, proposals for Shared Services projects must

- **Demonstrate the proposed project will result in permanent, positive programmatic change involving an alliance of two or more local governments; is sustainable; and all participants are committed to supporting project results for the long term.**

All of the following administrative requirements must also be met by **Shared Services** applicants:

1. One of the local government participants must be designated to serve as the lead applicant and fiscal agent for the grant. The lead applicant and participating local government partners must be eligible grant recipients, as defined by the program statute or regulation.

2. The lead applicant must be responsible for the greatest percentage of the budget relative to the other collaborating members.

3. In the event a grant is awarded for a Shared Services project, the award will be prepared in the name of the lead applicant only.

4. The lead applicant must meet the following requirements:

    a. Must be an eligible grant recipient as defined by statute.

    b. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds.

c. Must require local government partners to provide a letter of intent. Each letter must explain what the government will do in the course of the project; how funds, personnel, facilities, and tasks will be shared; and what benefits will be gained. Each letter must be signed by the chief administrative officer of the participating government.

d. Must be an active member of the partnership.

e. Cannot act as a flow-through for grant funds to pass to other recipients.

f. Is prohibited from subgranting funds to other recipients. The lead applicant is permitted to contract for services with other partners or consultants to provide services that the lead applicant cannot provide itself.

g. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each will participate.

If applicants for **Shared Services** grants do not meet all of these administrative and other requirements as indicated above, their proposals are ineligible for funding.

Applicants for Shared Services grants should note that General Municipal Law Section 119-O states that municipal corporations and districts have the power to enter into agreements, including shared services agreements, with each other but that the maximum term of such agreements cannot exceed five years, unless another law otherwise provides for a longer term. Also, applicants for Shared Services arrangements for the storage of records in any form are required, by the Arts and Cultural Affairs Law Sect. 57.31, to obtain the consent of the Commissioner of Education for each cooperating member that is storing in records in a facility that it itself does not maintain. Contact the State Archives for further information.

A coterminous town-village, wherein a town and a village share the same boundaries and governing structure, is not eligible to apply as two partners in a Shared Services project (with the exception of the Town and Village of Green Island, which function as totally separate entities). However, the coterminous town-village can be involved in a Shared Services project with a third local government.

2. New York City Department of Records and Information Services

By law, the City of New York can receive up to $1 million in LGRMIF grant funds each year. The departments of New York City apply through the usual process and must compete for funding, just as other applicants. As part of this $1 million allowance, the Department of Records and Information Services (DORIS), which directly administers LGRMIF grants to New York City departments, is also eligible for a grant of up to $200,000 to support the administration of these grants and may also apply for a grant to address its own archives and records management issues.

3. Disaster Recovery Grants

The LGRMIF program will set-aside $150,000 this year to fund this grant type, offering grants up to $20,000 to support disaster recovery projects. All local governments, **except** New York City municipal agencies, are eligible to apply whenever a disaster involving records occurs. Disaster recovery grant applications must be submitted within thirty days of the disaster, unless extenuating circumstances preclude this. The disaster grant due date is based on the date of the disaster, and these applications are reviewed separately as they occur.

If you experience a records disaster, contact your Regional Advisory Officer (RAO) **immediately**. If your RAO is not available, call Local Government Advisory Services in Albany at (518) 474-6926.

Project Categories

General Application Requirements

All applicants must directly address the following requirements in their LGRMIF applications. Individual categories may have additional requirements.

1. Records Focus

Demonstrate that your project focuses on improving the management of records and information in your local government. Methods of doing this include, but are not limited to, the following:

- Demonstrate that you are prepared to address the appropriate retention and disposition of the records involved in your project. If you are proposing to implement new technology, explain how you will maintain the records and make them available for the full retention period (especially if the records are permanent) and destroy the records appropriately when the retention period has passed.

- Base project costs on the records involved as much as possible (such as volume, condition, or other characteristic of the records). For example, determine the number of hours needed for support staff to inventory and organize records based on the cubic feet of records.

- Address specific records management issues, including increased access to records, vital records protection and disaster management, preservation, confidentiality, security, compliance with FOIL and other records laws, and the legal admissibility of information.

Projects that propose to create data or records or to improve a business process are not eligible for funding. Examples of these include water meter reading projects, projects to initiate or enhance a government's ability to transact business over the Internet, the implementation of incident voice recording systems, the creation of GIS data by use of Global Positioning System (GPS) units, and the installation of billing programs and other software applications that do not manage records as their primary purpose. Business Process Analyses (BPAs) are also ineligible.

If you need assistance with framing your project in records management terms, contact your RAO or staff in Albany.

2. Adherence to Archives' Standards and Guidelines

Cite the State Archives' standards and guidelines you used to plan your project. These can include the Archives' standards for digital imaging and microfilming, and guidelines in the form of workshops, publications, or advice from a State Archives' Regional Advisory Officer. References to appropriate written standards and guidelines are included in the descriptions for most grant categories.

3. Increased Capacity

Explain how this project will help you develop or enhance the capacity of a records management program or system.

LGRMIF grants are not intended to support ongoing operational costs needed to maintain a records management program. Funds are not awarded to address records that have accumulated since the completion of a previous project, to pay for software and hardware upgrades, or to cover payroll costs that are not directly associated with the grant project.

If you are proposing to redo a project funded under a previous grant, you must provide compelling justification. For example, if you are planning to re-inventory and organize a set of records addressed under a previous grant project, fully explain your need for the project and how you will keep the inventory up to date in the future.

4. Intent and Ability to Maintain

Discuss how you will maintain project accomplishments and support your records management program once grant funding ends. Ways to address this issue of maintenance include, but are not limited to, the following:

- ♦ Indicate how you will ensure initial and ongoing staff training.
- ♦ If your project involves the development of a records management plan or disaster recovery plan, describe how you will update that plan so that it remains relevant.
- ♦ Describe how you will develop and maintain policies and procedures for the function that is the focus of your project.
- ♦ If you are implementing a new records system, indicate whether you have included system-enforced business rules and audit trails in your implementation plan.
- ♦ Demonstrate that your local government clearly accepts the responsibility of maintaining any proposed technology (including electronic systems and data contained in and generated by a system) after the end of the grant period. Such maintenance would include budgeting for software and hardware upgrades, annual maintenance agreements, data migration plans, and staff costs to run the system.
- ♦ Demonstrate that you have included a clause in any software development contract that requires the software code for customized software be placed in escrow and also requires the vendor to deliver software documentation that meets industry standards.

5. Supporting Documentation

Applicants are responsible for ensuring they submit the documentation required by their specific project category. We strongly encourage applicants to obtain electronic versions of any documentation from a vendor (for example, needs assessments, responses to RFQs, floor plans and shelving layouts, conservation treatment proposals), so that they can more easily integrate the documentation into their grant applications when applying online.

- ♦ If required, applicants must submit all supporting documentation in any one of the following electronic formats only: Microsoft Word (DOC) or PDF for text-based documents; Excel (XLS) for spreadsheets; and PDF, JPEG, BMP, or PNG for images.

- Needs assessments are not required for technology implementation projects and are no longer eligible for funding from this grants program. However, if a needs assessment is essential for proving the viability of a project, it is the responsibility of the government or governments involved to ensure a needs assessment is completed and submitted with the application. Applicants may either use government funds to pay a consultant or work with their RAO to develop a needs assessment in house.

- **Three** quotes are required when applying for funds to purchase equipment with a *unit cost* in excess of $10,000; to purchase computer software with a *unit cost* in excess of $10,000; for purchased services where the fee paid to any single vendor or consultant exceeds $10,000; and for remodeling, where the cost of any one activity exceeds $10,000 or where any one contractor will receive over $10,000. This requirement does **not** apply to services or products to be procured off state contract, from preferred source vendors, from sole-source vendors, or by following your local government's procurement requirements.

  Submit your RFQ, a Vendor Quote Form, and detailed quotes from the vendor or contractor for any service or minor remodeling that costs over $10,000, **even if the vendor or contractor providing these services is on state contract, is a preferred source vendor, is a sole-source vendor, or you are following your local government's procurement requirements**. If you are using a vendor on state contract, indicate the state contract number on the Vendor Quote Form and in the budget narrative. Detailed quotes are defined as quotes that clearly delineate individual project costs and vendor or contractor qualifications.

  (For more information about requirements for vendor quotes, see "Instructions for Completing the Vendor Quote Form" in the appendix.)

- If you are proposing a project that involves vital records (birth, death, marriage, and burial records), you must first talk to the Department of Health, which oversees those records, and confirm that your proposed project meets with their approval, and you must indicate that you have done so in your grant application narrative.

- If you are proposing a project that involves court records, you must first talk to the Unified Court System, which oversees those records, and and confirm that your proposed project meets with their approval, and you must indicate that you have done so in your grant application narrative.

Category Descriptions

Disaster Management

Disaster Management supports projects to develop, test, and implement disaster and business recovery plans and systems to protect local government archival and vital records. Projects under this category must address both hardcopy and electronic records systems.

Local governments may apply for two grants only if the second application is for Disaster Management planning. The maximum award for projects under this category is $10,000 when an applicant applies for this as a second application. If an applicant is submitting only one application and that application is for Disaster Management, the applicant may request up to $75,000 for that Disaster Management project.

Category Requirements

- A project proposing the creation of a disaster plan must also include a detailed accounting of the specific risks faced by the applicant and its facilities.

- Any proposed disaster plan must include a section on mitigation that addresses the specific risks faced by the applicant and its facilities.

- The Archives encourages, but does not require, governments to produce their own disaster plans to help ensure the relevancy of the plans and the governments' investment in disaster preparedness and response.

Inactive Records

This category encompasses projects to plan, develop, or improve the management of records during the inactive phase of their life cycle. Inactive records are records that are used infrequently but must be retained because their retention periods have not yet expired.

This category also includes projects for governments to conduct records inventories and surveys to determine what records they have, identify obsolete records, improve how they organize and control records, and, generally, chart a course for the future of their records management programs. Inventory and Planning projects frequently focus on a backlog of inactive records, although they may also include active records.

Types of Projects

- A comprehensive inventory of all government records (active and inactive), or an inventory focused on the records of a specific department or departments.

- An inventory focused on a specific record format (maps and plans, email, or electronic records).

- Projects to inventory, organize, and enhance the accessibility of inactive records. These include identifying and consolidating all inactive records, integrating records into an inactive storage area, purging obsolete records, developing retrieval methods, and formulating policies for managing inactive records. Inactive Records projects may also involve hiring a consultant to develop a strategy, help formalize policies and procedures, and map the required technology infrastructure for managing inactive electronic records.

- Projects to improve an inactive records storage facility. Funding is available to purchase and install intruder alarm systems, fire-detection systems, fire-suppression systems, water detectors, environmental monitoring equipment, and stationary or mobile shelving for inactive records storage facilities. Minor renovations and improvements to storage facilities are also eligible. This may include the services of architects or engineers to develop plans and specifications for a proposed facility to store hardcopy records.

- A records survey, which collects information on records stored in a local government but in a way less labor-intensive than an inventory.

For information on records inventory and planning, consult State Archives Publication #76, *Inventory and Planning*. This publication includes a worksheet to use for entering information directly by hand or for designing a database to ensure the uniformity of data collection.

For information about managing Inactive Records, see Publication #48, *Developing an Inactive Records Storage Facility*; Publication #49, *Administration of Inactive Records*; and Publication #65, *Recommendation for Shelving for Inactive Storage*.

For information about developing office retention schedules, consult State Archives Publication #41, *Retention and Disposition of Records.*

Category Requirements

- All records inventory and survey projects must involve the development of a records management needs assessment and program plan that address short- and long-term goals. Describe the process you will use to develop the needs assessment and records management plan.

- Indicate, in cubic feet or bytes, the approximate quantity of records you intend to inventory, survey, or organize. Use the “Table of Cubic-Foot Equivalents” in the appendix to estimate cubic footage. Estimate inventory rates for electronic records by conducting a test inventory of a single electronic recordkeeping system.

- Indicate an inventory, survey, or purging rate. The standard rate is one to two cubic feet per hour for paper records. This rate may be slower for inventory or inactive projects involving a small volume of records and will be faster for a records survey.

- If planning a partial inventory or survey, specify which offices or government functions or records formats (paper or electronic) the grant project will cover and why.

- Explain why you selected a particular site for records storage. Identify the departments that will use the storage area and the controls that will ensure the security of the records.

- Include floor plans of proposed storage areas. Draw the plan to scale, indicating all dimensions (length, width, and height) of the storage area. Include the proposed layout of shelving on this plan, and indicate the number of cubic-foot boxes that will fit on each unit of shelving.

- Indicate that the floor load capacity of the chosen site can support the weight of the stored records unless the storage area proposed is in the basement.

- Plan for at least 130% of the current cubic footage of volume. For example, if you have 100 cubic feet of records to store, your plan should include room to store 130 cubic feet of records.

- If applicable, explain how you will use the data to develop office retention schedules. Include a plan or list of interview questions for evaluating how individual departments or offices use their records.

Historical Records

Historical records, also known as archival records, are those records worthy of permanent preservation and special care because of the continuing importance of the information they contain. These records are frequently identified on records retention and disposition schedules as having permanent retention periods or potential historical importance.

Historical records may exist in a variety of formats, including paper files, maps, photographs, videotapes, or computer files. Funds cannot be used to care for published materials, which include newspapers (including clippings), books, magazines, and published maps.

Applicants under this project category are strongly encouraged to work with the State Archives when planning to create series descriptions, catalog records, and collection guides in electronic format for use on a local website or through the Historic Documents Inventory (HDI). For assistance, call the State Archives' Archival Services Program at (518) 474-6926.

In addition, this category also supports projects that propose to use local government records as teaching tools in the community and in the classroom. Educational Uses projects promote the management of local government records and increase public awareness of the educational and historical value of these records. Many projects under this category also address state standards for K-12 education.

If you are considering an Educational Uses grant, direct your questions to either your RAO, or to the Archives Coordinator of Educational Programs at (518) 474-6926.

Types of Projects

- Assessing the current status of archival activities in order to identify needs, develop plans, write policies and procedures, and recommend future activities for a formal historical records program. When developing an archival needs assessment project, refer to State Archives Publication #59, *Archival Needs Assessment Guidelines and Template.*

- Improving access by arranging, rehousing, and describing historical records, or by reproducing and distributing guides and other finding aids in paper or electronic format. These activities may involve hiring a professional archivist as a consultant or purchasing pH-neutral or alkaline (pH not less than 7.5), lignin-free storage supplies, including folders, boxes, records cartons, and paper to wrap volumes.

- Hiring a professional conservator to survey the preservation needs of historical records and to develop a plan to address those needs, or to apply conservation methods directly to deteriorated or damaged items to return them to stable and usable condition.

- ♦ Developing websites, brochures, exhibits, walking tours, or other products that use local government records to educate the public and students about community history, the value of records, or other subjects.

- ♦ Preparing document-based instructional materials for classroom use, including a collection of documents relating to a particular topic, historical background information about the topic and learning activities that incorporate the documents into classroom instruction. Additional materials might include worksheets, constructed response questions, document-based questions, resource lists, and bibliographies.

- ♦ Developing programs to train teachers to use local government records as teaching tools in the classroom.

Category Requirements

For all projects:

- ♦ Provide a list of each records series involved in the project.

- ♦ If you intend to use records of local governments other than your own, provide a list of the governments and demonstrate that you involved these governments in the early stages of preparing the grant application.

- ♦ Indicate that you will submit copies of any products, including brochures, collection guides, and procedures manuals, to the State Archives and your RAO.

For projects focused on managing historical records:

- ♦ Indicate the volume (in cubic feet) and condition of records you intend to use.

- ♦ Demonstrate that your government has clear custody of the records involved.

- ♦ If arrangement and description are involved, follow the standards described in the State Archives' manual, *Guidelines for Arrangement and Description of Archives and Manuscripts*. To determine the time needed to complete the project, use the following as a guideline:

    - o Completely unorganized collection: 16 hours per cubic foot

    - o Complicated series, such as correspondence or subject files: 8 hours per cubic foot

- Fairly straightforward series that may need some work, such as case files or business records: 4 hours per cubic foot

- Well organized series consisting primarily of bound volumes or voluminous series with uniform or repetitive information, such as invoices: 2.5 hours per cubic foot

♦ Demonstrate that by the end of the project you will house the historical records in a safe, secure environment with appropriate temperature and humidity controls.

♦ Explain your policies and procedures relating to access, storage, and security of the historical records, unless these will be developed during the project.

For conservation projects:

♦ Justify the intrinsic value of any records that must be preserved in their original form through conservation treatment rather than on microfilm. Also, submit a copy of vendor treatment proposals and estimated price quotes for each item to be conserved. Treatment proposals should describe specific tasks, proposed materials and techniques, estimated number of hours needed, and itemized costs for the project.

For educational projects:

♦ Demonstrate your grant project's substantive use of local government records. You may use non-government records such as business, organization, and church records, as well as historical records from a local historical society and library, where such use supplements and provides essential support to the use of local government records.

♦ Address how the proposed project will support both your overall records management objectives and the State Education Department's learning and common core standards.

♦ Include the following project participants for teacher training projects:

- Trainers with the necessary experience in using local government records in the classroom, who will instruct other teachers, and who will provide guidance during site visits. Trainers may have acquired this experience by conducting research at a local government and developing educational materials based on that research; participating in a workshop, such as "Primarily Teaching," offered by the National Archives and Records Administration; or participating in a training workshop on how to use local government records in the classroom.

- Local government officials, who will identify and provide access to relevant records.

- Participating teachers, generally eight to twenty teachers per one-week training session.

♦ Strong preference will be given to projects that offer teachers professional development credit from individual school districts, or graduate credit from colleges and universities, rather than stipends for attending training workshops. If you are requesting stipends, you must justify the amount according to relevant union contracts.

♦ Develop a plan to distribute copies of the grant's final products to local governments whose records were used or who contributed to the project; to participating teachers; to the school district libraries of participating teachers; and to appropriate community, educational, and research institutions.

Files Management

Files management is the systematic control of active files, preferably beginning at the point when the files are created. Active files can be paper, electronic, or micrographic. If files are managed well when they are active, managing them as inactive files will be easier.

Types of Projects

♦ Projects under this category may involve reorganizing or centralizing paper or electronic files, implementing file classification systems, developing written policies and procedures, and training staff. The implementation of a new filing system may require the purchase of specialized filing supplies (end-tab, color-coded file folders) and equipment (lateral, locking files).

Category Requirements

♦ Describe the problems with the current filing system and the proposed changes to it, including anticipated improvements in the speed and accuracy of retrieval.

♦ Explain why you chose one files management solution over another.

Document Conversion and Access

Local governments may choose to convert records to another format through the use of microfilming or imaging, or a combination of these. Microfilming is especially appropriate for records that are used infrequently and have retention periods of ten years or more. Imaging is a valuable tool for enhancing access to records.

Types of Projects

- Converting paper records to microfilm or digital images or producing a microfilm master (or preservation) image and digital use image.
- Converting microfilmed records to digital images, or copying digital images or information to microfilm.
- Addressing the deterioration of acetate-based or nitrate microfilm, including the costs of assessing the problem, duplicating deteriorating film, and re-filming original records previously filmed on acetate-based or nitrate microfilm.
- Improving access to microfilm or scanned images through manual indexing, converting images to electronic text, implementing full-text-searching software, or a combination of solutions.
- Improving access to images through the implementation of an electronic document management system.
- Improving access to records with the creation of a database

Category Requirements

- Describe how you will manage all of the phases of a conversion project, which include document preparation, document conversion (through microfilming, imaging, or both), image verification and quality control, and the provision of access to the images.
    - Describe the individual tasks required for preparation (unfolding paper, removing staples, purging obsolete records and duplicates), and indicate the staff time you will need to accomplish these tasks. The baseline rate for preparing records is 1,000 sheets per hour; more time may be required for older, worn records with many staples and clips.

- o Indicate that the images will be verified to ensure they are legible and all of the records have been captured. One hundred percent of the images must be verified before destroying the original records.

- o Describe the chosen method for improving access: manual indexing, full-text searching, or a combination of solutions. If using off-the-shelf software, indicate the name and version (such as Access 2007).

- o If microfilming, request $18 per roll for third-party testing of every fourth roll of original microfilm. This testing will verify adherence to State Archives' guidelines for density, resolution, targeting, and general quality.

♦ If your government has received a previous grant focused on microfilming and imaging records, provide a list of those records filmed or scanned during those projects in order to prove that those records have not been filmed or scanned before and to show that you are not proposing a project to address a backlog that has developed after a previous microfilming or imaging project paid for with LGRMIF funds.

♦ If you are developing a database index, indicate the number of hours you estimate the indexing will take, including the number of hours you will need to prepare for the project and develop a policies and procedures manual. The usual estimate for indexing minutes is seven pages per hour. The usual estimate for indexing birth, death, and marriage records (and for similar types of objective indexing) is 4,000 keystrokes per hour. A sample master list of terms and policy and procedures manual is available in State Archives Publication #78, *Indexing Minutes.*

♦ For projects involving the creation of digital images, follow standards outlined in the State Archives' *Imaging Production Guidelines*.

♦ For projects with microfilming as a component, see Publication #9, *Producing High-Quality Microfilm*. See also Publication #77, *Managing Imaging and Micrographics Projects*. Applicants proposing to microfilm or scan court records must also adhere to all Unified Court System guidelines.

♦ Complete a separate Imaging and Microfilming Project Information Form for *each* records series involved in the project. (See the appendix for instructions on completing this form.)

♦ Identify how you will maintain the master image copy. For example, explain how camera-negative microfilm will be stored off site under environmentally controlled conditions.

- If applicable, demonstrate that establishing an in-house microfilming or imaging operation is more economical and efficient than outsourcing.

- If implementing a document management system, demonstrate your ability to implement and maintain the system. For example, discuss your ability to budget for systems maintenance, store image files, protect file integrity, and migrate images to the next platform and format.

Geographic Information Systems (GIS)

A GIS is a robust database system designed to store, retrieve, view, and allow the analysis of geographically referenced information. GIS makes it possible to link, or integrate, information from multiple sources that would be difficult to associate through any other means.

GIS needs assessment are not eligible for funding in this grants program. Projects to create data (for example, by using GPS units or hiring a professional surveyor) are also not eligible for funding. Data conversion projects that include the scanning of geographic records or the georeferencing of hardcopy maps are eligible.

Types of Projects

- Creating a base map, building the capacity to transfer data between governments or government departments, collecting or converting data from hardcopy or other sources to integrate into a GIS, and enhancing an existing GIS to allow internal, public, and inter-government viewing access via a web interface.

Category Requirements

- All applications for funding to implement a GIS must be for Shared Services projects. (For information on the requirements of these projects, see “Types of Grants.”)

- All applications must indicate how they will coordinate the development of the proposed GIS regionally with the respective county government or other local governments that have implemented GIS. The application must demonstrate compliance with this rule by providing a Letter of Acknowledgment from any relevant government that indicates how it will share in the management of data and expertise during the grant period, and how the proposed GIS will ensure conformance with extant geographic information systems and reduce potential redundancy of effort. Upon completion, please scan the letter and upload it to your application in eGrants, using “Letter of Acknowledgment” as the description for your attachment.

- Fully explain why your government needs GIS and specific GIS applications.

- Specifically identify your government’s geographic records involved in your application and how this project will improve the management of those records.

- If imaging is a component of your GIS project, complete a separate Imaging and Microfilming Project Information Form for *each* records series involved in the project.

Records Systems

This project category supports implementation projects for any recordkeeping system not covered under another category. Projects under this category must address the effective management of records rather than merely create records or improve a business process.

Types of Projects

The following are examples of implementation projects that establish or enhance the management of records:

- Implementation of database management systems and enterprise content management (ECM) systems.

- Projects to enhance access to a government’s records via the Internet.

- Email management projects, which may involve assessing the current email system, implementing an email management system, or developing policies and procedures for enforcing the appropriate management of email.

Projects that will not manage records as their primary purpose are not eligible for funding. Examples of such projects include those that create data or records or merely improve a business process, such as water meter reading projects, incident voice recording systems, projects to initiate or enhance a government’s ability to transact business over the Internet, and the implementation of time and attendance reporting software.

The eGrants System

First Steps for Using eGrants

Submit your LGRMIF grant application using the LGRMIF eGrants System, now available at eservices.nysed.gov/ldgrants.

All applications must be submitted electronically. If you have difficulty completing an online application, contact the Grants Administration Unit at 518-474-6926.

The eGrants System will save your local government money in paper and postage, you won't have to worry about the order in which you submit the forms and supporting material, and we will be able to process all information concerning your application (including the funding decision) more quickly than we can in paper. If you are awarded a grant, you will also use the eGrant System to file interim and final reports for your project.

Below are step-by-step instructions on using the eGrants system to apply for an LGRMIF grant.

Registering for a User Account

To log into the system, you must have a New York State Directory Service (NYSDS) username and password. If you do not have these, your Records Management Officer (RMO) or designee (where an RMO is not required by law) must register for an account. If you are not sure whether your government already has an account, contact the Grants Administration Unit at archgrants@mail.nysed.gov.

We strongly recommend that you complete or verify your registration at least two weeks before the application deadline. Registration forms requesting new user accounts will no longer be processed if submitted within 5 business days of the application due date.

1. To register, go to eservices.nysed.gov/ldgrants/ldgext/cnRegistration.do.

2. Enter all required information, including your RMO's name, title, institutional address, and contact information. Then click Submit.

3. A username and password will be emailed within 48 hours to the institutional email address you enter on the registration form. Please be sure to provide the correct email address, otherwise receipt of your new account will be delayed.

Only one username and password will be established for your local government, so delegate use of this account information to others as needed.

The new user account is associated with the institution you represent. The account will allow you to access the eGrants System to submit grant applications on behalf of that institution only.

Logging into the LGRMIF eGrants System

You can find the LGRMIF eGrants System at eservices.nysed.gov/ldgrants.

1. Enter your username and password, and click Login. Your username is usually your first name followed by your last name, with a period between your first and last names: firstname.lastname. (See "Registering for a User Account" if you do not have a New York State Directory Service username and password.)

2. The first time you log into the system, you will be asked to change your password and set up security questions. The security questions will be used in case you forget your password. The standards for passwords are as follows:

    - Passwords must be at least eight characters long, one of which must be a numeric character.

    - Passwords cannot be the same as your username or default password.

3. If you forget your password, click on "I forgot my password" and answer the security questions to reset your password. If you don't remember the answers to your security questions, please contact Frank Campione at fcampion@mail.nysed.gov or Stefanie Husak at shusak@mail.nysed.gov.

4. Click on the link for the LGRMIF grants program.

Applying for a Grant

Summary of Initial Application Forms

The eGrants system is designed to manage all information about a grant project from the initial application for funding to the closeout of a project after the submission of the final reports. Unfortunately, forms that require signatures must still be submitted in paper, and supporting documentation for some projects must be submitted as an electronic attachment to an application. Below is a breakdown of which forms can be submitted electronically, which must still be submitted in paper, and which must be attached as electronic files.

Electronic forms in eGrants

- Application Sheet
- Project Narrative
- Project Budget
- Participating Institutions (if applicable)
- Vendor Quote Form (if applicable)
- Imaging and Microfilming Project Information Form (if applicable, only one copy of this form can be submitted via the electronic form in eGrants; if more than one form is needed, subsequent forms must be submitted as attachments)

Forms that cannot be filled out electronically include

- Budget Summary (FS-20): 3 copies
- Payee Information Form
- Standard Data Capture Form
- Institutional Authorization Form

See “Submitting Paper Forms with the Initial Application” for more information.

Documents that must be attached as electronic files

- Shared Services Agreement Form (for Shared Services projects only)
- Detailed vendor quotes
- Needs assessments
- Vendor treatment proposals (for relevant projects in the Historical Records category)
- Floor plans (for Inactive Records projects that involve minor remodeling or the installation of shelving)
- Letters of Acknowledgement (see GIS requirements)
- Any other documentation required for your project

See “Attaching Documents to the Application” for instructions on adding files to your application electronically.

It is important that your grant application information is entered into the appropriate sections of the proposal, as failure to do so will affect the scoring of the application.

Creating and Accessing an LGRMIF Grant Application

The LGRMIF eGrants homepage is where you go to create a new application.

1. To create a new grant application, click on “Create new application.” You can create only one new individual grant application or be a participant in one Shared Services application per grant year, unless you apply for a second grant under the Disaster Management category. (For information about the number of grant applications allowed per government per grant year, see “Types of Grants.”)
2. Participants in a Shared Services application (other than the lead government) have read-only access to the application, except for the Shared Services Agreement Form.
3. When a new blank application appears, you will be directed to the Checklist and can begin filling out the application.
4. Return to the LGRMIF eGrants homepage to access an application already in progress or view an application already submitted. The homepage first lists all grant

applications that your institution has created as an individual applicant. It then provides a list of grant applications in which your government is a participant. Simply click on the project number for the grant application you wish to view.

Using the Checklists

The checklists are designed to help you navigate the forms that are required for your specific project and monitor your progress on an application and project. There is a checklist on the drop-down menu for Initial Application Forms and for Post-Grant Award Forms.

The checklist for the Initial Application Forms links to the Application Sheet, Project Narrative, Project Budget, Payee Information Form and Standard Data Capture Form, Vendor Quote Form (if applicable), Imaging and Microfilm Project Information Form (if applicable), Institutional Authorization, Budget Summary Form (FS-20), Attachments/Uploads, Application Printouts, Participating Institutions Form (if applicable), and Shared Services Agreement Form (if applicable).

The checklist for the Post-Grant Award Forms links to the Request for Additional Funds Form (FS-25), Budget Amendment Template, Amendment Form (FS-10-A), Final Project Narrative, Final Project Budget (Expenses Submitted), Final Statistical Report, Final Report for Educational Uses Projects, Final Expenditure Report (FS-10-F), Final Report Sign-Off, and Attachments/Uploads.

1. The forms that have a check-off box to the left are required of all applicants. As you complete each required form on the Checklist, check the box to the left of that form and click Save Progress.

2. For instructions on how to submit the forms you cannot complete online, see “Attaching Documents to the Application.”

3. The due date for LGRMIF grant applications is **1 March 2013**. You must submit your application before 5:00 pm on that date, except under the following circumstances.

    - If a state or federal disaster emergency is declared in your area, the local governments affected by the disaster will receive an extension of the grant application deadline of one week.

    - If the LGRMIF eGrants System is down because of a technical failure on our end, all local governments will be given an extension to the application deadline of one additional business day. Please visit the Archives’ website at www.archives.nysed.gov/a/grants/grants_lgrmif.shtml for announcements and updates.

4. To submit your application, click the yellow Submit button. A warning message will appear if you have not completed an Application Sheet, a Project Budget, and filled out all sections of the Project Narrative. The system will ask you to confirm your submission of the application, and will automatically generate an email to the Project Director and RMO indicating that the application was submitted. You cannot edit the application once you have submitted it. Please see the section on "Submitting the Application."

5. On the Checklist under Application Printouts are links that allow you to view parts of the application in HTML or PDF formats. These links open a new window. You can print or save the PDF document to your own computer.

6. "View Application Submission" displays information on when you submitted the application and who submitted it.

Application Sheet

The Application Sheet includes contact information for your institution, chief administrative officer (CAO), project director (PD), and records management officer (RMO). It also includes sections where you provide basic information about your proposed grant project, including the type of application (Individual or Shared Services), project category, and project summary.

1. The institutional information and CAO information are supplied by an internal database of the State Education Department (SED) and cannot be modified by applicants. If any of the information is incorrect, please include the correct information on the Payee Information and Standard Data Capture forms.

2. If you are applying on behalf of a department of the City of New York, check "yes." If you are not, check "no." If yes, you must apply through the NYC Department of Records and Information Services (DORIS) and also select the specific name of your agency from the drop-down menu.

3. Enter eligibility information, which requires that you confirm an RMO has been appointed, enter the year of that appointment, confirm an appropriate retention schedule has been adopted, and indicate the year of that schedule adoption. Select N/A if these requirements do not apply to your institution. See "Eligibility Requirements" for more information.

4. Enter information for the Project Director and RMO, including name, title, and contact information. If the Project Director does not have a specific title in your government, repeat Project Director as that person's title.

5. Select the appropriate government region and type from the respective drop-down menus. The system will automatically complete the county field.

6. Indicate your government's population, annual operating budget, number of employees, and the specific department or unit applying for the grant. For annual operating budget, provide a whole number only (do not add a dollar sign, cents, or comma).

7. Check the appropriate application type (Individual or Shared Services). For more information about the requirements of each of these types of applications, see "Types of Grants."

8. From the drop-down menu, select the category (only one is allowed) that is appropriate for your project. The category "Administrative" is for the NYC Department of Records (DORIS) only, and may be checked only once per grant cycle.

9. The Amount Requested field will be populated automatically by the system after you complete your Project Budget.

10. Enter a brief summary description of your proposed project in the bottom section of the Application Sheet. This field is limited to 2500 characters, including spaces, so please be concise. Then click Save.

11. To specify participants in a Shared Services grant project, click on "Participating Institutions" at the bottom of the Application Sheet. You can also access the list of Participating Institutions via the Application Checklist or drop-down menu under Initial Application Forms.

Participating Institutions

Use the Participating Institutions form to specify participants in a Shared Services project.

1. Click on Participating Institutions at the bottom of the Application Sheet. You may also add Participating Institutions via the Application Checklist and the drop-down menu under Initial Application Forms.

2. Each project participant (other than the lead government) will have read-only access to the online grant application, except for the Shared Services Agreement Form. Each participant must complete and attach a Shared Services Agreement Form to the application.

3. Enter the name of your institution and click Search. The system will display a list of matching names.

4. Select the appropriate institution name, and that institution will be listed as a participant in the Shared Services grant project.

5. If the name of the institution is not in the search results, try searching by another form of the name. If you still cannot locate your institution's name, contact the State Archives' Grants Administration Unit at archgrants@mail.nysed.gov.

6. Add additional participants' names as needed, and delete participants as needed by clicking Delete to the left of the corresponding institution name.

Shared Services Agreement Form

A separate Shared Services Agreement must be completed and attached to the application by each government participating in a Shared Services project.

1. Access the Shared Services Agreement Form from the Application Checklist or from the drop-down menu under Initial Application Forms (at the top of the screen).

2. Print either the HTML or the PDF version of the form, then sign and date it.

3. Scan the form and save the scanned image on your computer. Then upload the image to the grant application using the "Add Document" link. See instructions for "Attaching Documents to the Application" for further assistance.

Failure to complete a necessary Shared Services Agreement will prevent your application from moving forward in the review process.

Project Narrative

The Project Narrative is the most important part of your application. Seventy-five percent (75%) of your application's score is based on the information you provide in the application narrative. The narrative consists of the following four sections:

1. Statement of the Problem (maximum 20 points)

2. Intended Results (maximum 15 points)

3. Plan of Work (maximum 30 points)

4. Local Government Support (maximum 10 points)

Each section of the Project Narrative consists of subsections. Address each of these subsections, being as detailed as possible. Keep in mind that the Narrative directly corresponds to the criteria that reviewers will follow when ranking your application. (See the appendix for a breakdown of the Project Narrative and points assigned to each subsection.)

For more information on what to include in the Project Narrative, see General Application Requirements, category descriptions, and requirements for certain types of grants, and talk with your Regional Advisory Officer.

1. From the Application Checklist or the drop-down menu under the Initial Application Forms, choose Project Narrative. This will display the first subsection of the project narrative (1a). Use the links on the left-hand side of the screen to access and complete the ten subsequent subsections of the project narrative.

2. Instructions for each section of the narrative are listed above the text area. Type the narrative directly into the application, or copy and paste the narrative from a Microsoft Word document. Click Save each time you complete a subsection of the narrative before moving on to the next.

3. Please note that you cannot enter data in certain file formats (for example, spreadsheets and digital photos) directly into the Project Narrative or other sections of the eGrants System. You may add these as attachments to your application. For more information, see instructions for “Attaching Documents to the Application.”

4. The Word editing toolbar at the top of the text area is accessible only if you have Javascript enabled. If your browser does not have Javascript, you will not see this editing toolbar, but you can still type and save your Project Narrative directly into the system.

5. To enable Javascript, go to your web browser and click Tools -> Internet Options -> Security tab -> Custom Level button, scroll down to Active scripting, and choose Enable.

6. Once you submit the application, you will have read-only access to the Project Narrative. To print a copy of your Project Narrative or save it to your desktop, use the link at the bottom of the Project Narrative or select Application Printouts on the Checklist page.

Project Budget

Twenty-five percent (25%) of your application's score is based on the Project Budget. Applications will be evaluated on how well applicants justify all project expenditures, and demonstrate the proposed expenditures are reasonable. (See the appendix for a breakdown of the points assigned to parts of the Project Narrative and to the Project Budget.)

The Project Budget consists of nine budget codes: Professional Salaries (Code 15), Support Staff Salaries (Code 16), Purchased Services (Code 40), Supplies and Materials (Code 45), Travel Expenses (Code 46), Employee Benefits (Code 80), BOCES Services (Code 49), Minor Remodeling (Code 30), and Equipment (Code 20). The Project Budget directly corresponds to the criteria that reviewers will follow when ranking your application.

Each budget code consists of two sections:

- ♦ Budget Table (top half of the Project Budget page): Enter all costs to be paid with grants funds for each relevant budget code.

- ♦ Budget Narrative (bottom half of the Project Budget page): Justify all project expenditures, and demonstrate the proposed expenditures are reasonable.

Complete only those budget codes that apply to your project. Also, include only those costs for which you are seeking funding; do not include your government's contributions on the budget forms.

1. From the Checklist or the drop-down menu under Initial Application Forms, choose Project Budget. The Project Budget page will display the first of nine budget codes. You can navigate between budget codes by using the links for them at the top of the page.

2. Instructions for completing each Budget Table are directly below the list of budget codes.

3. You can find detailed information on eligible and ineligible expenses for each code by using the corresponding "eligible/ineligible expenditures" link.

4. For each budget code that is relevant to your project, click Add to add a blank record.

5. Enter the required financial information for each budget code, and click Save. Data in the gray text boxes are for calculation purposes only; data in these boxes are not saved to the system.

6. If you have not entered all required data, an error message will warn you to enter all data before you can save information for a particular budget code.

7. If you need to delete an individual budget item, click the Delete link next to the record, and you will be asked to confirm the deletion.

8. The bottom of the page has the total amount requested for a given budget category.

9. The Grand Total section has totals for all budget categories of the grant application.

10. Provide a full description and justification for each expense in the text box for the Budget Narrative for each budget code. Please note that you cannot enter data in certain file formats (for example, spreadsheets and digital photos) directly into the Project Budget or other sections of the eGrants System. You may add these as attachments to your application. For more information, see “Attaching Documents to the Application.”

11. You cannot update the project budget after you submit the application.

12. Please check the FS-20 form to make sure it is correct. The form should indicate only the funds you are requesting from the LGRMIF grants program.

Attaching Documents to the Application

Applicants must submit supporting documentation in any one of the following electronic formats only: For text-based documents: Microsoft Word (DOC) or PDF; spreadsheets: Excel (XLS); and images: PDF, JPEG, BMP, or PNG.

Applicants are responsible for ensuring they submit the documentation required by their specific project type or category. If you are working with paper originals, you are responsible for ensuring the documents are in an appropriate electronic format and for uploading them into the eGrants system.

If possible, obtain electronic versions of any documentation required from a vendor (for example, needs assessments, responses to RFQs, floor plans and shelving layouts, and conservation treatment proposals), so that you can more easily integrate the documentation into your grant application.

The following form must be printed out, completed (and signed), and submitted electronically:

- ♦ Shared Services Agreement Form (for Shared Services projects only)

Documents that must be attached as electronic files include, but are not limited to

- Vendor quotes: See “Instructions for Completing the Vendor Quote Form”

- Needs assessments: Needs assessments are not required for technology implementation projects and are no longer eligible for funding from this grants program. However, if a needs assessment is essential for proving the viability of a project, it is the responsibility of the government or governments involved to ensure a needs assessment is completed and submitted with the application. Applicants may either use government funds to pay a consultant or work with their RAO to develop a needs assessment in house.

- Vendor Treatment Proposals: Required for certain projects in the Historical Records category.

- Floor plans: Required of Inactive Records projects that involve minor remodeling and the installation of shelving.

- Letter(s) of Acknowledgement for any GIS applications.

To attach a document to your application

1. Select Attachments/Uploads in the drop-down menu under Initial Application Forms.

2. Use the link at the bottom of the page to “Add an Attachment” to the application.

3. On the Add Attachment page, click on Browse to navigate to the document on your own computer that you want to attach. Highlight the file title, and click OK. Please use a meaningful name for your document, because it will be the name saved to our system. Another option is to enter a short description of the document, and then click Upload to save the document directly into the application.

4. See Attachments/Uploads in the drop-down menu under Initial Application Forms to display all of the documents you have uploaded to your grant application.

5. Click on the Delete link to the left of a document title if you wish to remove that document from the application. You will be asked to confirm the deletion. Click the document’s name link to open or save the document on your desktop. You must have the appropriate software to open the document type (for example, you must have Microsoft Excel to open a spreadsheet with an .xls file extension).

Submitting Paper Forms with the Initial Application

You cannot use eGrants to submit forms that require a signature, or where a paper copy of the form is required. These forms include the Payee Information Form/Substitute W-9, Standard Data Capture Form (no signature required), Institutional Authorization, and Summary Budget (FS-20). **You must submit paper copies of these forms, as indicated below, postmarked by the application deadline of 1 March 2013.**

Where indicated, the forms require the signature of your Chief Administrative Officer (CAO). The CAO is the CEO of your local government (county executive, town supervisor, village mayor, school district superintendent, or equivalent). The head of an individual department or agency cannot be listed as the CAO of a local government on your grant application.

1. All of these forms are accessible from the drop-down menu under Initial Application Forms and the Application Checklist. Print out either the HTML or the PDF versions of the forms when needed.

2. Submit **3 copies** of the Proposed Budget Summary (FS-20), signed in blue ink by your Chief Administrative Officer (CAO). Please make sure the FS-20 form is correct. The data on the FS-20 form comes from the data you enter in the Budget Tables of your Project Budget. The form should show only the amounts you are requesting from the state.

3. Submit **1 copy** of the Institutional Authorization. The CAO or designee **and** the Records Management Officer (RMO) must sign the Institutional Authorization and print or type their names and titles. The authorization must be signed in blue ink. Local governments not required to have an RMO should mark the RMO signature line "N/A."

4. Submit **1 copy** of the Payee Information Form (signed in blue ink by your CAO or an authorized designee) and Standard Data Capture Form. A signature is not required on the Standard Data Capture Form.

5. Mail the above forms to:

    New York State Archives
    Grants Administration Unit, 9A81
    Cultural Education Center
    Albany, NY 12230

Failure to submit any of these forms (signed in blue ink and postmarked by the application deadline) will prevent your application from moving forward in the review process.

Submitting the Application

1. When you are sure your Initial Application is complete, click Submit on the Checklist page.

2. Warning messages will appear if you have not completed the Application Sheet, the Project Budget, and filled out all sections of the Project Narrative. Return to and complete any section that is noted in the warning as incomplete. Then confirm the submission of the application by again clicking the Submit button.

3. Once you submit your application, you will be redirected to the LGRMIF eGrants homepage. You cannot edit the application after you have submitted it.

4. The Project Director and RMO of the grant project will receive an email notification that the grant application has been submitted to the Grants Administration Unit.

5. Remember to mail all paper forms so they are postmarked by the application deadline. These are the Payee Information Form/Substitute W-9; Standard Data Capture Form; Institutional Authorization Form; and three copies of the FS-20, Proposed Budget Summary.

Viewing the Status of an Application

1. The bottom of the Checklist page contains a link to View Application Submission. Data includes the date the application was submitted and the name of the person who submitted the application.

2. After the Archives receives the required approvals from the Division of the Budget and the Office of the State Comptroller, we will notify the Project Director and the RMO by email concerning the award status of each application submitted.

Finding Help

Click on "Help" to access the LGRMIF eGrants System Help options.

There are links to an accessible PDF version of this complete guide, which includes our application guidelines and instructions on using the LGRMIF eGrants System. A copy of this guide is also available via the State Archives' website.

To report error messages, problems, login issues, or questions regarding the LGRMIF Online Grant System, contact Frank Campione at fcampion@mail.nysed.gov or Stefanie Husak at shusak@mail.nysed.gov. Report the error message you received, along with a description of the steps you completed just prior to receiving the error message.

For any other grant-related questions, contact either the Grants Administration Unit at ARCHGRANTS@mail.nysed.gov or talk to your Regional Advisory Officer.

Grants Review

Priorities for Funding

Shared Services projects have been identified as the priority for funding in the 2013-2014 grant year. To encourage Shared Services projects, the State Archives will allocate the highest level of funding to this type of grant application.

Project Ranking

All grant applications are evaluated and scored based on established criteria. The Project Narrative is worth 75% of an application's score, and the Project Budget is worth 25% of the score. The questions applicants are required to address in the narrative and budget directly correspond to the reviewers' ranking criteria. (See the appendix for a breakdown of points assigned to each section of the Project Narrative and to the Project Budget.)

Review Process

State Archives staff in the Grants Administration Unit first review applications for eligibility and completeness. They will not send forward for further review applications that do not meet basic eligibility requirements, do not include all the required forms, are not submitted by the deadline, or do not have the appropriate signatures. **A local government is responsible for meeting all eligibility requirements and for submitting a complete application by the deadline.**

Except for applications involving Shared Services, all applications are separated by grant categories and ultimately ranked against all other applications for that particular category. Review panels are assembled based on grant categories, again except for applications involving Shared Services. Applications involving Shared Services will be assigned to a separate review panel. Outside expert reviewers are assigned to panels to review grants in their areas of expertise. Each reviewer evaluates twenty-five to forty grant applications and assigns each proposal a score based on information in the

Project Narrative and Project Budget. (See the appendix for a breakdown of points assigned to each section of the Project Narrative and to the Project Budget.) Each application is scored by four reviewers. To be considered for funding, applications must score a minimum average of 60 points. The cut-off score for funding may be higher than 60, depending on the quantity of applications and the amount of funding available at an individual panel.

Each panel is assigned an amount of funding based on the following allocation method:

Per an annual Revenue and Expenditure Plan, the LGRMIF program is provided with an approved dollar amount that is available to be awarded in a given grant year. From the available funding, we first allocate up to $1 million to the Department of Records and Information Services (DORIS) panel, per legislative mandate. Secondly, we assign funds to applicable panels for any activities that have been identified as priorities. Shared Services proposals have been identified as the only priority for funding for the 2013-14 grant cycle. Finally, we calculate how much money is being requested from the remaining grant applications, and divide this figure into the remaining funds available to award. This calculation provides us with the percentage or factor that is used to allocate available funds amongst the remaining review panels.

Reviewers in each of the panels meet to discuss the applications they have scored, reconcile differences in conclusions from their preliminary reviews, assign each application a final average score, rank applications, and make funding recommendations in order of rank. When there are multiple panels for a specific category, reviewers from the multiple panels discuss the ranking of all the applications until they reach consensus on the final ranking order of all applications for that category.

Funding recommendations are made in the order of ranking until available funds for that panel are depleted. Applications are recommended for full funding, partial funding, or no funding. Applications may be recommended for partial funding if they include ineligible expenses, include elements that are not essential to the project, or attempt a project that cannot be completed within the grant cycle. In the case of a tie, the application with the higher funding request will be given priority.

After scoring and the tentative award of grant amounts, one or more of the panels may have funds remaining from its initial allocation but no remaining applications that are fundable (e.g., for failure to achieve the minimum score). In such cases, the remaining funds from those panels are pooled as one source. Awards will then be made, regardless of panel, starting with the top scoring application and moving down until the funds have been exhausted or not enough money remains to fund the next lowest scored application. In the event of a tie where there is not enough money to fund all tying projects, the application or applications that will be funded are those that are recommended for the highest amount of funding without exceeding the amount available.

If there are any unused funds following this action, they will be used to address Disaster Recovery activities that may occur throughout the grant year.

Awards

The Local Government Records Advisory Council (LGRAC) recommends which applications to fund based on reviewers' evaluations, and presents these recommendations to the Commissioner of Education, who makes the final decision on the awarding of grants. The New York State Division of the Budget provides the authority necessary to make grant payments.

The State Archives does not release information regarding the status of an application until all applications have been reviewed, the Commissioner of Education has approved the proposed grant awards, and both the Division of Budget and the Office of the State Comptroller have given their approval. After this point, the Archives notifies all applicants by email concerning the status of their applications. In the notification letter, a summary of the reviewers' recommendations is provided explaining the decision and why the decision was made.

Contract Award Protest Procedures

Applicants who receive a notice of non-award may protest the NYSED award decision subject to the following:

The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.

The protest must be filed within ten (10) business days of receipt of the notice of non-award. The protest letter must be filed with:

NYS Education Department
Contract Administration Unit
89 Washington Avenue
Room 505W EB
Albany, NY 12234

The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with OSC when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.

The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

Schedule of Payments

For approved applications, payments will be made as follows: 50% of the total as an initial disbursement; up to 40% of requested additional funds based on monthly (not quarterly) estimates of funds needed to continue project work; and the final 10% at the end of the project, upon timely submission of satisfactory final reports on the completed work.

Expenses incurred prior to the start of the grant year, 1 July 2013, cannot be paid using grant funds.

Project Administration

Basic Requirements

Each project must achieve results that substantially meet the objectives outlined in the application as approved. If you are awarded a grant, you must conduct your project in accordance with the proposed project budget, plan of work, and LGRMIF grant guidelines. In addition, you must follow your government's policies concerning wages, mileage and travel allowances, overtime compensation, and fringe benefits, as well as adhere to state rules pertaining to competitive bidding, safety regulations, and inventory control.

Successful applicants must complete several required forms to document their projects, as listed and described under "Post-Grant Award Forms." In addition, supporting or source documents are required for all grant-related transactions that involve the disbursement of grant funds. These documents include, but are not limited to, purchase orders, contracts, time and effort records, delivery receipts, vendor invoices, travel receipts, and travel payment documents. You must retain these records for at least six years after the last payments are made, and, if requested, make all records available for inspection by State Education Department officials or representatives.

Local governments must also record in their files grant expenditure details in a manner consistent with the internal pages of the FS-10-F Long Form, maintain the information in their files, and make these details readily available upon request from authorized individuals. Authorized individuals include staff from SED; the Office of the State Comptroller; federal agencies; and state, federal, and local auditors.

In all cases, local governments must maintain complete and accurate records, and be prepared to provide additional detail, such as time and effort records, vendor invoices, and travel receipts, to support reported expenditures.

State Archives Oversight

State Archives staff will monitor each grant-funded project, and will make site visits during the course of projects to determine the rate and quality of progress. Some projects may be selected for more extensive review at the conclusion of the grant period.

Post-Grant Award Forms

Required Forms

All awardees must complete and submit a series of forms to document the progress and completion of their projects. These forms include the Final Project Narrative, Final Expenditure Report (FS-10-F), Final Statistical Report, and Final Report Sign-off. In addition, the Budget Amendment Summary and the Amendment Form (FS-10-A), if applicable, may be required if there are changes to the approved budget.

- Forms that cannot be filled out electronically include the Request for Additional Funds (FS-25), Amendment Form (FS-10-A), and the Final Expenditure Report (FS-10-F). See “Submitting Post-Grant Award Paper Forms” for more information about completing and submitting each of these forms.

- The Final Project Narrative, Final Project Budget, Final Statistical Report, and Budget Amendment Summary are electronic forms that can be completed directly in eGrants. See relevant instructions for completing each of the above electronic forms in the eGrants System.

- The Final Sign-Off Form must be attached as an electronic file to the Final Project Narrative. See “Final Sign-off” for instructions on submitting this document electronically via the eGrants System.

- After you hit the “Submit” button (orange pattern) on the Checklist page under the section ‘Post-Grant Award Checklist’, the Project Director and the RMO of the grant project will receive a email notification from eGrants confirming that the required online final reports have been submitted.

Submitting Post-Grant Award Paper Forms

The Request for Additional Funds (FS-25), Amendment Form (FS-10-A), and Final Expenditure Report (FS-10-F) are accessible from the drop-down menu under Post-Grant Award Forms and the Checklist. For Amendments, please see the section “FS-10-A Budget Amendments (Optional)” on the Checklist page.

Where indicated, the forms require the signature of your Chief Administrative Officer (CAO). The CAO is the CEO of your local government (county executive, town supervisor, village mayor, school district superintendent, or equivalent). The head of an individual department or agency cannot be listed as the CAO of a local government on your grant application.

1. Print out either the HTML or the PDF versions of the forms when needed.

2. Submit **1 copy** of the Request for Additional Funds (FS-25) to the Grants Finance Unit, NYS Education Department, Room 510 W EB, Albany, NY 12234 to request funds beyond the initial payment. Your Chief Administrative Officer (CAO) must sign the FS-25 in blue ink. Please note that you can request up to 40% of additional funds based on monthly (not quarterly) estimates of funds needed to continue project work.

3. Submit **3 copies** of the Amendment Form (FS-10-A) to the Grants Administration Unit if you need to amend your approved budget. You must receive approval of the amendment from your Regional Advisory Officer (RAO) **before** submitting the request. For budget changes that do not fall into an approved code and do not require the formal filing of an FS-10-A, complete the Budget Amendment Summary in eGrants and “Submit” the request no late than June 1st each year.

   Be sure to provide a clear reason for amending the budget and indicate the amended budget amounts in the appropriate budget codes in the Budget Amendment Summary section in eGrants. The data entered electronically in the Summary will automatically populate the FS-10-A form, which, if applicable, must be signed by your CAO in blue ink. Mail the copies of the FS-10-A to the New York

State Archives, Grants Administration Unit, Room 9A81, Cultural Education Center, Albany, NY 12230.

4. Submit **3 copies** of the Final Expenditure Report (FS-10-F) to the Grants Administration Unit when submitting your final reports. Your CAO must sign the FS-10-F in blue ink. Please make sure the FS-10-F form is correct. The financial data on the FS-10-F comes from the data you entered as actual expenses under the 'Final Project Budget (Expenses Submitted)' section in eGrants.

Any local government submitting their required online Final Reports and/or their final fiscal report after the 31 July 2014 deadline must submit an FS-10-F Long Form.

Failure to submit the FS-10-F will prevent us from closing out your project. Failure to close the project in a timely manner could also jeopardize any potential future award.

Final Budget Form

All successful applicants must complete the Final Project Budget to report what funds were actually expended.

1. Access the Final Project Budget via the drop-down menu under Post-Grant Award Forms or the Checklist.

2. Enter actual expenses for each approved budget code, making sure to save your entries.

3. Data from the Final Project Budget populates the Final Expenditure Form (FS-10-F form). Print and submit three copies of the FS-10-F (signed in blue ink by your Chief Administrative Officer) to the Grants Administration Unit.

Final Narrative Report

If your application is funded, you must complete the Final Project Narrative report at the conclusion of the project.

1. Select the Final Project Narrative from the Checklist page or from the drop-down menu under Post-Grant Award Forms (at the top of the screen).

2. Type your report narrative directly into the text area provided, or copy and paste it from a Microsoft Word document. Click Save to save your changes to the system.

3. The Word editor toolbar at the top of the text area is accessible only if you have Javascript. If your browser does not have Javascript enabled, you will not see this

toolbar, but you can still type and save your final report narrative. To enable Javascript, from your web browser click on Tools -> Internet Options -> Security tab -> Custom Level button, scroll down to Active scripting, and choose the Enable option.

4. You will have read-only access to the Final Narrative Report once you click “Submit.”

Final Statistical Report

If your application is funded, you must complete the Final Statistical Report at the conclusion of the project. Educational Uses Projects must also complete the “Final Report for Educational Uses.”

1. Select Final Statistical Report from the Checklist page or from the drop-down menu under Post-Grant Award Forms.

2. Enter whole numbers only. Text, commas, spaces, blanks, etc. are not allowed by the system, except in the field “Other”.

3. Do not leave any fields blank; instead enter a “0”.

4. If the Statistical Report does not apply to your project, enter “0” for all fields EXCEPT for the field “Other”, where you should type “N/A”.

5. You will have read-only access to the Final Statistical Report once you click the orange Submit button.

Final Report Sign-off

The Final Report Sign-off is required when you submit the Final Report Narrative.

1. The Final Report Sign-off is accessible from the drop-down menu under Post-Grant Award Forms and from the Checklist page.

2. Print out either the HTML or the PDF version of the form when needed, then sign and date the form.

3. Scan the signed form, and save the scanned image on your desktop. Upload the image to the eGrants System using the “Add a Document” link. If you need additional assistance, see instructions under “Attaching Documents to the Application.”

Failure to submit the Final Report Sign-off will prevent us from closing out your project. Failure to close the project in a timely manner could also jeopardize any potential future award. **Remember to click the "Submit" button after completing all of the required online final reports**.

Budget Amendment Summary (if necessary)

The Budget Amendment Summary is required if your approved budget has been modified during the course of the year. Note this summary is **not** the FS-10-A form, **which may or may not be required**.

1. Contact your Regional Advisory Officer (RAO) to obtain approval of your amendment **before** proceeding with the request. No amendments/changes will be processed without prior RAO approval.

2. Login to eGrants at https://eservices.nysed.gov/ldgrants

3. Click on the project number link that requires the amendment.

4. On the Checklist page, scroll down to the section "FS-10-A Budget Amendments (Optional)."

5. Click on the link "Budget Amendment Summary."

6. Complete the summary, specifying the budget category, reason/description for the budget amendment, and the increase or decrease to your approved budget amount**. Be sure to provide sufficient details in the description field for each of your changes, as this will allow the Grants Administration Unit to process your request in eGrants**.

7. Hit "Save."

8. Return to the Checklist page – hit "Submit" (gray button) under the section "FS-10-A Budget Amendments (Optional)." This will serve as your electronic request to the NYS Archives' Grants Administration Unit that you now have a pending amendment/change to your approved budget. **The Budget Amendment Summary must be submitted electronically no later the June 1st each year**.

9. The Amendment form (FS-10A) will automatically be populated upon completion of the "Budget Amendment Summary."

10. **Important**: Print, sign in blue ink (CAO only), and mail 3 copies of the FS-10A form **only if** there are budget changes that are designated as formal by the State Education Department and thus, require the submission of this budget form. These budget changes are as follows:

- Personnel positions, number and type
- Equipment items having a unit value of $5,000 or more, number and type
- Any increase in a budget subtotal (professional salaries, purchased services, travel, etc.) by more than 10 percent or $1,000, whichever is greater
- Any increase in minor remodeling
- Any increase in the total budget amount

11. IF the FS-10A form is required, the Grants Administration Unit must have a completed one in hand **no later than June 1st each year** before we can begin to process the amendment request. Otherwise, Budget Amendment Summaries submitted that do not require the FS-10A will be processed as soon as possible.

Appendix

Instructions for the Project and Budget Narratives

Project Narrative (maximum 75 points)

1. Statement of the Problem (maximum 20 points)

    a. Describe the specific records management problem the project will address, provide qualitative descriptions and quantitative data about the problem, and explain why the project is a high priority. (10 points)

    b. Identify the specific records that will be involved, and any previous grant-funded projects related to these records and this project. (5 points)

    c. Explain why funding from this grant program is essential to accomplishing the project. (For example, explain why you need funding if you've previously received funding for a similar project.) (5 points)

2. Intended Results (maximum 15 points)

    a. Identify each intended result (specific products, time and cost savings, or services), and describe the anticipated benefits. (5 points)

    b. Describe in detail how the project will contribute to the development of a records management program. (5 points)

    c. Describe in detail how the project will improve local government services to the public. (5 points)

3. Plan of Work (maximum 30 points)

    a. Provide a detailed outline of the proposed work activities and a timetable that shows when each phase of the project will be completed, demonstrates the soundness of the method proposed, and demonstrates the project's goals are attainable by 30 June 2014. (15 points)

    b. Address each of the General Application Requirements **and** the requirements of the specific project category and type. (10 points)

    c. Explain who will be responsible for performing each project activity, including project management. Indicate the qualifications of key project staff (including consultants and vendors) in terms of education, training, and experience. (5 points)

4. Local Government Contributions (maximum 10 points)

It is important to demonstrate your commitment to records management. Types of support may include government funds, staffing, equipment, supplies, or the allocation of space. Provide specific budget amounts whenever possible.

Include information only on the support your local government provided and will provide with its own funds. **Projects funded by the LGRMIF do not constitute local support.**

a. Demonstrate contributions to this project. (5 points)

b. Describe how this project and records management in general will be maintained over the long term. (5 points)

Project Budget (maximum 25 points)

Justify all project expenditures, and demonstrate the proposed expenditures are reasonable. (25 points)

Eligible and Ineligible Expenditures

Salaries for Professional Staff (Code 15)

Provide the specific position title, number of hours needed, hourly rate of pay, and total project salary for each staff person you propose to pay with grant funds. Include only staff who will be professional employees of your local government in this budget code. Do not include consultants, per diem staff, or support staff.

Explain in detail how these positions will support project activities and goals. Clearly outline the responsibilities of each position, describe the project-related activities, and demonstrate why the requested number of hours is needed.

Eligible Expenditures

Grant funding must be used only to pay staff involved with project-related activities. You may use grant funds to hire new staff or increase work hours of existing staff to carry out project-related work. If you are proposing to transfer existing staff to grant funds, justify the need and explain how these staff will be replaced in their former assignments using non-grant funds.

Note to Town Applicants

Refer to Sections 27 and 108 of the Town Law, which prescribe procedures for changes in the town clerk's salary. If the town clerk will work on the project *and receive funds from the grant* in addition to his or her regular duties, the application should clearly state that the clerk will perform these grant duties separately from and beyond his or her existing duties as town clerk or RMO. If the town receives a grant, the town board should adopt a resolution designating the clerk by an appropriate title (such as “project director”) for the project work. The resolution should specify that the project duties will be performed separately from and beyond the person’s responsibilities as town clerk or Records Management Officer.

Salaries for Support Staff (Code 16)

Provide the specific position title, hours needed, hourly rate of pay, and total project salary for each support staff you intend to pay with grant funding. Include only those individuals who will be support staff of your government in this budget code. Do not include consultants, per diem staff, or professional staff.

Justify in detail the need for these positions and explain how they will support project activities and goals. Clearly outline the responsibilities of the position and demonstrate why the requested number of hours is needed.

Eligible Expenditures

You may use grant funds to hire new staff or increase work hours of existing staff to carry out project-related work. If you propose to transfer existing staff to grant funding, justify the need and demonstrate that you will replace these staff in their former assignments using non-grant funds. Demonstrate that grant-funded salaries will be used only to support project-related activities.

Note to Town Applicants

See note under “Salaries for Professional Staff (Code 15).”

Equipment (Code 20)

Briefly describe the item to be purchased and specify quantity, unit cost, and proposed expenditure.

Describe how this equipment will be used to support project activities and goals. Be sure to address how this equipment is important to records management needs.

Demonstrate that such equipment is critical to the project and will be used on an ongoing basis after the grant to support records management.

Other Required Forms

You must complete a Vendor Quote Form for each proposed item with a unit cost over $10,000, except when you are purchasing equipment from a preferred or sole-source vendor, off a state contract, or you have followed the Local Government’s Procurement Requirements (LGPR). In order to use the LGPR exemption, you **must** demonstrate that you are following your government's procedures by showing what those relevant procedures are and indicating what you are doing to follow them. Please note the Vendor and Contract number where applicable, including for the exceptions.

Eligible Expenditures

Equipment with a unit cost of $5,000 or more. Itemize equipment with a unit cost under $5,000 (such as steel shelving) under Code 45, Supplies and Materials.

Ineligible Expenditures

- Photocopiers
- Office furniture
- Computer software (eligible under Code 45, Supplies and Materials)

Minor Remodeling (Code 30)

Briefly describe and provide the cost of each proposed remodeling activity.

Justify the need and describe the plan for the remodeling project. Explain how it will support the project goals outlined in the Application Narrative.

Eligible Expenditures

Any facility proposed for minor remodeling must be in existence before the grant application deadline. Activities eligible for funding under Minor Remodeling include, but are not limited to

- feasibility studies and facility design
- renovations to facilities to improve them for records storage, or to prepare them for the installation of eligible equipment (including labor and construction materials)

- installation of fire detection and suppression systems and water detectors
- purchase, modification, and installation of heating, ventilating, and air conditioning systems to control temperature and humidity
- installation of walls, doors, locks, alarms, and other security systems to secure a records storage facility
- minor modifications necessary to install microfilming or other project-related equipment
- actions required to render the facility safe for occupancy and use by staff

Ineligible Expenditures

- Purchase or construction of facilities, or additions to existing structures

- Construction of or repairs to the roof, exterior walls, or foundation of a building

Other Required Forms

- Applicants must complete a Vendor Quote Form for any single remodeling activity that exceeds $10,000 or for any request where any one vendor will receive over $10,000, except when using a preferred vendor, sole-source vendor, or a vendor under state contract, or you have followed the Local Government's Procurement Requirements (LGPR). In order to use the LGPR exemption, you **must** demonstrate that you are following your government's procedures by showing what those relevant procedures are and indicating what you are doing to follow them. Please note the Vendor and Contract number where applicable, including for the exceptions. If one contactor is responsible for multiple activities, the quote from that contractor must provide a breakdown of costs by activity.

- Include a floor plan of any records storage area that is the focus of a remodeling project.

Purchased Services (Code 40)

Identify the type of service by general category (such as training, software installation, rentals), and provide the total expenditure for each. Indicate the number of days or hours a consultant will work, multiplied by a daily or hourly fee. List purchased services from a BOCES under Code 49.

Eligible Expenditures

- ♦ Consultant work, such as staff training, the preparation of records management needs assessments, and the development of records management policies and procedures

- ♦ Production of manuals, finding aids, teaching guides, or other publications directly related to the project

- ♦ Contractual services such as imaging, microfilming, geocoding, system and application design, and software and hardware installation

Ineligible Expenditures

- ♦ Consultant fees paid to an employee of a local government

- ♦ Consultant fees for developing a needs assessment for the implementation of new technology

- ♦ Consultant fees for conducting a Business Process Analysis

- ♦ Annual technical support fees for software and electronic systems; annual rental fees or leases for equipment, records storage space, and server space; annual fees for web and data hosting services; and fees for equipment warranties

- ♦ Ongoing operational expenses, such as routine repairs, building maintenance, magazine subscriptions, membership fees, and systems maintenance

- ♦ Hiring a grantswriter

Other Required Forms

- ♦ If the fee paid to consultants or vendors from grant funds exceeds $10,000, applicants must submit **three** quotes and complete a Vendor Quote Form*,* except when purchasing services from a preferred vendor, sole-source vendor, or a vendor under state contract, or you have followed your Local Government's Procurement Requirements (LGPR).

  Submit your RFQ, a Vendor Quote Form, and detailed quotes from the vendor or contractor for any service that costs over $10,000, **even if the vendor or contractor providing these services is on state contract, is a preferred source vendor, is a sole-source vendor, or you have followed the local government's procurement requirements**. In order to use the

LGPR exemption, you **must** demonstrate that you are following your government's procedures by showing what those relevant procedures are and indicating what you are doing to follow them. Please note the Vendor and Contract number where applicable, including for the exceptions. If you are using a vendor on state contract, indicate the state contract number on the Vendor Quote Form. Detailed quotes are defined as quotes that clearly delineate individual project costs and vendor or contractor qualifications.

(See “Instructions for Completing the Vendor Quote Form.”)

Supplies and Materials (Code 45)

Briefly describe each requested item and specify quantity, unit cost, and proposed expenditure. Request any equipment items with a unit cost of less than $5,000, and **all** computer software regardless of the unit price, under this budget code.

Eligible Expenditures

- Supplies, such as shelving, storage boxes, records management software, alkaline supplies (folders and boxes), and equipment with a unit cost of less than $5,000
- Side-tab file folders for files management projects
- All computer software, regardless of the unit price
- Lateral open shelving with pull-down or flip-down locking doors
- Fire-resistant file cabinets are also eligible

Ineligible Expenditures

- Standard file cabinets, including lateral file cabinets
- Office furniture
- Office supplies, such as tape measures, calculators, marking pens, toner, printer paper, and file folders
- Wooden shelving of any kind, including shelving with particle board decking
- Records center cartons other than standard cubic-foot boxes, unless the applicant provides sufficient justification for their purchase
- *Consider the Source: Historical Records in the Classroom*, a State Archives publication, **cannot** be purchased with funds from this granting source

Other Required Forms

- Applicants must submit three quotes and complete a Vendor Quote Form for computer software costing more than $10,000, except when purchasing supplies and materials from a preferred vendor, sole-source vendor, state contract, or you are following the Local Government's Procurement Requirements (LGPR). In order to use the LGPR exemption, you **must** demonstrate that you have followed your government's procedures by showing what those relevant procedures are and indicating what you are doing to follow them. Please note the Vendor and Contract number where applicable, including for the exceptions.

- For shelving purchases, include a floor plan indicating the number of boxes you will store on each unit.

Note: For information on appropriate shelving for records storage, consult State Archives Publication #65, *Recommendations for Shelving for Inactive Records Storage*.

Standard one-cubic-foot records storage cartons (10″ x 12″ x 15″) may be purchased through the New York State Industries for the Disabled, 11 Columbia Circle Drive, Albany, NY 12203; telephone (518) 463-9706. Available in lots of twenty-five at $45.93/case (approximately $1.83/box). Grant funds will not be approved for cartons in excess of this price.

Travel Expenses (Code 46)

Identify the purpose of travel, position of the person traveling, proposed mileage rate (if applicable), and total expenditure.

Eligible Expenditures

- Only travel that you can demonstrate is essential to the successful completion of a project is eligible for funding.

- Airfare, if you can clearly demonstrate that it is the most cost-efficient method of travel available.

Ineligible Expenditures

- Travel to State Archives workshops and to other educational opportunities

- Expenses for travel to a conference, including registration fees, lodging, meals, bus or train fares, and mileage reimbursement

Purchased Services with BOCES (Code 49)

Briefly describe the proposed services. Provide the name of the BOCES providing the service, calculation of cost, and total proposed expenditure.

Eligible and Ineligible Expenditures

See the list of eligible and ineligible expenditures under general purchased services (Code 40).

Employee Benefits (Code 80)

Provide an itemized list of all benefits to be paid. Agencies may choose to calculate the proposed employee benefits using their agency's fringe benefits rate or itemizing the specific benefits. The rate for project personnel must be the same as those used for other government personnel.

Eligible Expenditures

- Employee benefits payable to professional staff and support staff identified in Code 15 and Code 16, respectively

- Benefits equal to no more than 35% of the salaries for professional and support staff positions supported by grant funds

Ineligible Expenditures

- Benefits in excess of 35% of salaries, unless you **provide convincing justification for requests in excess of this limit**. Such evidence includes the fact that the rate for benefits for project personnel is the same as for other government personnel.

Instructions for Completing the Vendor Quote Form

Complete this form in the following cases (exceptions are noted below under State Contracts, Preferred Vendors, Sole-Source Vendors, and following your Local Government's Procurement Procedures)*:*

- When applying for funds to purchase equipment with a *unit cost* in excess of $10,000

- When applying for funds to purchase computer software with a *unit cost* in excess of $10,000

- When applying for funds for purchased services where the fee paid to any single vendor or consultant exceeds $10,000

- Remodeling, where the cost of any one activity exceeds $10,000 or where any one contractor will receive over $10,000. If more than one contractor is used, this form must be completed for each.

All quotes must clearly delineate individual project costs (for example, travel, staff training, and equipment installation) and hours for each service provided. Also submit a copy of the RFQ that outlined the requirements used to collect the detailed quotes.

State Contract Purchases: You are no longer required to submit three quotes if one of your quotes is for a service or product off a state contract. If a service from a vendor on state contract is over $10,000, include your RFQ, the Vendor Quote form (with contract number noted), and the detailed quote clearly delineating individual project costs. For more information on state contracts, contact the New York State Office of General Services, Corning Tower, 37th Floor, Albany, NY 12242; telephone (518) 474-6717.

Preferred Vendors: You are no longer required to submit three quotes if one of your quotes is for a service or product from a preferred vendor. Certain providers have “preferred source” status under the law. It is your responsibility to make sure the vendor cited as preferred actually has that status, and to indicate this in the Project Narrative and Budget Narrative. If a service from a preferred vendor is over $10,000, include your RFQ, the Vendor Quote form, and the detailed quote clearly delineating individual project costs.

Sole-Source Vendors: You are no longer required to submit three quotes if one of your quotes is for a service or product from a sole-source vendor. If there is only one vendor who can provide the required supplies, equipment, or contracted services, discuss in the Project Narrative and Budget Narrative your attempts to find additional vendors. A prior working relationship with a vendor (or consultant) does not, by itself, constitute justification for a sole-source contract. If a service from a sole-source vendor is over $10,000, include your RFQ, the Vendor Quote form, and the detailed quote clearly delineating individual project costs.

Following Local Government’s Procurement Procedures (LGPR): You are no longer required to submit three quotes if your local government can demonstrate that the vendor you have selected to carry out grant project work has been chosen using the standard requirements your own local government has for selecting vendors. For instance, if you have a longstanding relationship with an existing vendor and your local government does not require you to re-bid for the services of this vendor periodically, then you can provide a quote from that vendor without providing two other quotes. State rules pertaining to competitive bidding, whenever necessary, must be followed. Unless your government has no written procedures on procurement, your application must demonstrate compliance with these procedures by providing copies of the official procurement procedures you are following along with an explanation of how you will follow these during your proposed grants project. In the absence of any written procedures, you must provide a description of your standard procedures along with a separate written explanation of how you will be adhering to these. If a service following your local government's procurement procedures is over $10,000, include your RFQ, the Vendor Quote form, and the detailed quote clearly delineating individual project costs.

We encourage applicants to search for the best quality at the least expensive price. **If you do not choose the lowest quote identified on this form, provide substantial justification** for that decision in the budget narrative. It is also **not** acceptable to use an averaged quote in the budget.

Instructions for Completing the Imaging and Microfilming Project Information Form

Complete one form for each separate series you are imaging or microfilming

Local Government Name: Enter the name of your local government.

Activities: Check the activities you will carry out with this records series.

Paper documents to digital image: Scanning of paper
Microfilm documents to digital image: Scanning microfilm images
Digital documents to digital image: Converting e-documents (like Word files) to digital images
Paper documents to microfilm: Microfilming of paper
Digital images to microfilm: Printing digital images directly to microfilm

RECORDS DESCRIPTION

Name of Records Series: Enter the title of the records series you intend to scan or microfilm (such as "Birth Records," "Payroll Records," etc.).
Retention Period (Years): Enter the retention period for the records series to be scanned or microfilmed (such as "6 years," "Permanent," etc.).
Date Range of Records: Enter the earliest and latest years of the records series you intend to scan or microfilm.
Records Schedule (Name and Item Number): Enter the records retention schedule name and item number (such as "MU-1, Item 1").
Total Number of Images: Enter the number of images to be scanned or microfilmed.

For directions on how to estimate the number of images, see State Archives Publication #9, *Producing High Quality Microfilm,* p. 13–14. If microfilming, note that the number of images on a roll may not equal the number of pages.

Format of use copies: If you are microfilming, enter format of your use copies (digital images or microfilm), the total number of camera (original) rolls, and the total number of duplicate (use) microfilm rolls, if applicable.

CHARACTERISTICS

Electronic Data: Indicate whether the INITIAL RECORDS you will be imaging or scanning are digital images versus other electronic formats (such as word processing files or database reports).

Document Size: Indicate whether the physical size of the paper documents or images (in the case of digital images) within the series is uniform or varies. Enter the maximum and minimum sizes of documents in inches. For electronic documents, assume the documents are 8½" X 11", unless the series has digital images of various sizes.

Paper Type: For paper documents, indicate each type of paper present in the records series.

Paper Condition: For paper documents, indicate the physical conditions of the records and the approximate percentages of documents in the series exhibiting those characteristics.

Imprint: For paper documents, indicate each type of imprint present on any of the pages in the records series.

Paper Color: For paper documents, indicate each of the colors of paper present in the records series and the approximate percentages of paper in the series with those colors.

Fasteners: For paper documents, indicate the type of fasteners used to hold pages together.

Frequency of Fasteners: Indicate how frequently documents in the records series are held together by fasteners.

Table of Cubic-Foot Equivalents

FILE FOLDER DRAWERS	CUBIC FT.		RECORDS CTR. CONTAINERS	CUBIC FT.
Letter	1.5		10" x 12" x 15" – standard	1.0
Letter Lateral	2.0		0.5" x 8"x 14" – tab	0.2

Legal	2.0		3.5" x 8" x 24"	0.4
Legal Lateral	2.5		6" x 6" x 36" – map 6" x 6" x 48" – map 4" x 4" x 48" – map	0.7 1.0 0.4
SHELF UNITS	CUBIC FT.			
Letter, 36" long	2.4			
Legal, 36" long	3.0			
MAP OR PLAN DRAWERS	CUBIC FT.		MAP OR PLAN TUBES	CUBIC FT.
2" x 26" x 38" flat	1.1		2" x 2" x 38" roll	0.1
2" x 38" x 50" flat	2.2		2" x 2" x 50" roll	0.1
4" x 26" x 38" flat	2.3		4" x 4" x 38" roll	0.3
4" x 38" x 50" flat	4.4		4" x 4" x 50" roll	0.5

GOVERNMENT RECORDS SERVICES **Geof Huth, Director** ghuth@mail.nysed.gov	
David F. Lowry, Manager **Local Government Advisory Services** dlowry@mail.nysed.gov	**Jennifer O'Neill, Manager** **Scheduling and State Agency Services** **joneill@mail.nysed.gov**
9A47 Cultural Education Center, Albany, NY 12230 **Phone (518) 474-6926 Fax (518) 486-4923** www.archives.nysed.gov	

Local Government Advisory Services

REGION 1	**REGION 3**	**REGION 4**
New York State Archives 55 Hanson Place, Suite 414 Brooklyn, New York 11217 Phone (718) 923-4300 Fax: (718) 923-4302 **Lorraine Hill** **Interim Regional Advisory Officer** lhillcam@mail.nysed.gov	Records Center Building 21, Suite 102 1220 Washington Avenue Albany, NY 12226-2152 Phone (518) 485-6233 Fax (518) 485-6236 **Denis Meadows** **Interim Regional Advisory Officer** *(Covering Albany, Rensselaer, and Schoharie counties)* **Linda Bull** **Interim Regional Advisory Officer** *(Covering Columbia, Greene, Sullivan, and Ulster counties)*	Records Center Building 21, Suite 102 1220 Washington Avenue Albany, NY 12226-2152 Phone (518) 485-6233 Fax (518) 485-6236 **Denis Meadows** **Regional Advisory Officer** dmeadows@mail.nysed.gov
REGION 5	**REGION 6**	**REGION 7**
Utica State Office Building 207 Genesee Street, Room 404 Utica, NY 13501 Phone (315) 542-5909 **R. Kent Stuetz** **Regional Advisory Officer** kstuetz@mail.nysed.gov	Binghamton State Office Building 44 Hawley Street, Room 1604 Binghamton, NY 13901-4406 Phone (607) 721-8428 Fax (607) 721-8431 **Suzanne Etherington** **Regional Advisory Officer** setherin@mail.nysed.gov	Buckingham Commons Rochester, NY 14608-1800 **Suzanne Etherington** **Interim Regional Advisory Officer** *(Covering Steuben and Yates counties)* **Gail A. Fischer** **Interim Regional Advisory Officer** *(Covering Livingston, Monroe, and Ontario counties)* **R. Kent Stuetz**

		Interim Regional Advisory Officer *(Covering Cayuga, Seneca, and Wayne counties)*
REGION 8 Mahoney State Office Building 65 Court Street, Room 313 Buffalo, NY 14202 Phone (716) 847-7905 **Gail A. Fischer** **Regional Advisory Officer** gfischer@mail.nysed.gov	**REGION 9** Eleanor Roosevelt State Office Bldg 4 Burnett Blvd., Suite 308 Poughkeepsie, NY 12603 Phone (845) 431-5847 **Linda Bull** **Regional Advisory Officer** lbull@mail.nysed.gov	**REGION 10** Suffolk State Office Building Veterans Memorial Highway, Room 2B-46B Hauppauge, NY 11788-5501 Phone (631) 952-6864 Fax (631) 952-6867 **Lorraine Hill** **Regional Advisory Officer** lhillcam@mail.nysed.gov
Mary Beth Sullivan **Coordinator, Training and Publications** (518) 473-7546 msulliva@mail.nysed.gov		

Rev. 07/2012