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

2014–2015

Application Deadline
3 March 2014

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

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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, is derived from 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 each year depends on the number of documents recorded and index numbers assigned that year.

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, about 300 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 appendices.) New York City mayoral agencies must also 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 additional requirements that are specific to them.

To comply with formal bidding procedures, the State Archives must receive by 14 February 2014 any questions that have not already been addressed in this guide or through the frequently asked questions (FAQs), which can be found at http://www.archives.nysed.gov/a/grants/grants_lgrmif_faq.shtml. Submit all questions to the Grants Administration Unit at archgrants@mail.nysed.gov. Questions and their answers will be posted to the New York State Archives' website, which will be updated weekly. Additional information may be found on the Archives' website under "Grants and Awards."

Summary of Major Changes for 2014-2015

- The LGRMIF will set aside up to $1 million this year to fund projects in the new Demonstration grant type. Demonstration projects are large-scale grants developing products and protocols that can be replicated by other local governments or consortia. This year the two demonstration project types eligible for funding are records management application and preservation of electronic records projects.

- Shared Services projects are, once again, a priority for funding, and 35% of available funds, minus the set-aside for New York City Department of Records grants, will be set aside for Shared Services grants. This amount will equal approximately $1 million. The LGRMIF will continue to focus more resources on such grants, and away from individual grants, in the future.

- Funding available for Individual grants will be about $2 million, and funding for grants for New York City agencies will be up to $1 million.

- All applicants are now required to comply with New York State Education Department's (NYSED) Minority and Women-Owned Business Enterprises (M/WBE) participation goals.

- A single county may now apply for an additional grant if that application focuses entirely on the records of its community college.

- The requirements for the project and budget narratives have been extensively rewritten and now provide more direction on what information to include and exclude from each section of the narrative.

- Narrative questions now must be answered in the section where asked in order for applicants to receive points for their responses. Applicants must not refer the reviewers to an attachment and must not provide a response for one section of the narrative within a different section.

- Applicants are responsible for ensuring their attachments conform to the file format standards for eGrants, are not corrupted, and can be read by reviewers. The Archives recommends that applicants download each of their files after uploading those to eGrants to ensure that these can be opened and read. **If reviewers cannot read an attachment, they cannot give an applicant any credit for the information that was supposed to be in that attachment.**

- If an applicant proposes a project, outside of New York City local government, that involves birth, death, marriage, or burial records, the applicant must indicate in the application narrative that it has discussed its proposed project with the Department of Health (DOH), which oversees those records, and confirm that the project meets with DOH’s approval. (Note: DOH is approving that the parameters of your project meet DOH guidelines. DOH is not approving your grant application).

- If an applicant proposes a project that involves court records, the applicant must indicate in the application narrative that it has discussed its proposed project with the Unified Court System (UCS), which oversees those records, and confirm that the project meets with UCS’s approval. (Note: UCS is approving that the parameters of your project meet UCS guidelines. UCS is not approving your grant application).

- Applicants must describe the suitability of any proposed inactive or historical records storage site based on location, size, security, and environmental conditions or based on the improvements that will occur because of the proposed grants project.

- Eliminated the Imaging and Microfilming Project Information Form (LG-IM), but now require that applicants provide, for each records series, the series title, dates, number of images, retention periods and references to schedule items, size of pages, and information about the condition of the records in narrative section 1b.

- Applicants must provide quotes for imaging and microfilming that include per-image costs for conversion.

- Eliminated the requirement that a vendor quote form be submitted if only one quote is required.

Timetable for 2014–2015 Grants Projects

24 Feb 2014	Registration forms requesting new eGrant user accounts must be submitted before 5:00 pm on this date.
3 Mar 2014	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 and necessary M/WBE documents should be submitted.
25 June 2014	Scheduled date to email notification letters to all applicants.
25 July 2014	Grant recipients who have not submitted the necessary M/WBE forms during the application process must submit them within thirty days from the date of notice of grant award. Failure to do so may result in loss of funding.
1 July 2014	Grants projects may start contingent on final approval from the Office of the State Comptroller.
1 June 2015	All budget amendment templates must be submitted electronically **before 5:00 pm** on this date. Also, the paper FS-10-A form, Proposed Amendment, must be **postmarked** by this date, if required.
30 June 2015	All work on grants projects must be completed.
31 July 2015	Final Reports must be submitted electronically and form FS-10-F, Final Expenditure Report, must be postmarked by this date. After this date, grant recipients must submit the FS-10-F long form.

SED Minority and Women-Owned Business Enterprise Participation Goals

Article 15-A of the New York State Executive Law authorized the creation of an Office (now Division) of Minority and Women's Business Development to promote employment and business opportunities on state contracts for minorities and women. Under this statute, state agencies are charged with establishing employment and business participation goals for minorities and women.

All LGRMIF applicants requesting more than $25,000 are now required to comply with SED's Minority and Women-Owned Business Enterprises (M/WBE) policy. The participation goal for LGRMIF grants is 20% of the FS-20 grant project budget, exclusive of professional and support salaries and fringe benefits. Applicants should use the M/WBE Goal Calculation Worksheet, located at the end of this RFA, to determine the dollar amount of the M/WBE goal for their applications.

Applicants should identify participating M/WBE firm(s) at the time of application submission. If this can not be done, applicants will have thirty days from the date of notice of grant award to submit the necessary documents and respond satisfactorily to any follow-up questions from SED. Failure to do so may result in loss of funding.

M/WBE participation includes purchased services, supplies and materials purchased from minority and women-owned firms certified with the NYS Division of Minority and Women Business Development. For additional information and a directory of currently certified M/WBEs, see:

https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687

Applicants can achieve compliance by one of the follow three methods:

- Full Participation
- Partial Participation
- No Participation

Full participation by meeting or exceeding the M/WBE participation goal for this grant is the preferred method. Applicants who are unable to achieve full participation may request a partial or complete waiver, by demonstrating a good faith effort and submitting the necessary M/WBE forms and documentation.

All necessary M/WBE forms and detailed information on compliance, good faith efforts and requesting a waiver, are available at the end of this RFA.

SED's M/WBE Coordinator is available to assist applicants in meeting M/WBE goals. The Coordinator can be reached at mwbe@mail.nysed.gov.

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 more than one county may apply as a separate local government. 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 single county may now apply for an additional grant so long as that application focuses entirely on the records of its community college.

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 three types of projects: Individual, Shared Services, or Demonstration projects.

- Applicants may submit or be a party to only one Individual, Shared Services, or Demonstration grant application, unless the second application is for a project under the Disaster Management category or in the case of a county where the second application is focused entirely on the records of its community college. The maximum amount allowed for a Disaster Management project 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 an Individual project) or $150,000 (for a Shared Services project). Demonstration projects cannot be submitted in the Disaster Management category. **No local government can be a party to three or more competitive grant applications in the same year under any circumstances.**

- Shared Services projects are again a priority for funding, and approximately 35% of all available funding, minus the set-aside for New York City Department of Records grants, will be set aside to fund grants of this type.

- Demonstration projects are a new LGRMIF priority. This year, projects will be funded for up to $1 million total.

A. Individual Grants

Individual Grants involve a single local government. The applicant may request up to $75,000. Approximately $2 million will be set aside for Individual grants.

B. Shared Services Grants

Shared Services Grants involve two or more local governments working together, with one government acting as the lead. To encourage Shared Services projects, the State Archives will allocate approximately 35% of all available funding, minus the $1 million set-aside for New York City Department of Records grants, to this type of grant application. Approximately $1 million will be available to fund Shared Services grants.

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 that demonstrates the cost savings of implementing the proposed project

- 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. Note that this participation and support cannot be fulfilled merely by submitting the required Shared Services agreement forms, which only address the willingness of a local government to participate in a Shared Services grant project. Each Shared Services application must include information about how the participants will continue to work together into the future

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, but 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.

C. Demonstration Grants

The goals of the LGRMIF demonstration grants program are

- To initiate large-scale projects that will serve as models for improving electronic archives and records management practices in local government.

- To develop replicable program models that will dramatically transform the management of digital records and archives in local government.

Funding Levels

The State Archives will set aside up to $1 million this year to fund Demonstration grant projects. Demonstration grants can support either planning or implementation projects. A planning project can last only one year, unless the time period is modified with authorization, and the level of funding per project cannot exceed $100,000 total. An implementation project can be funded for up to $500,000 total and cover a period of one or two years.

Two-Year Implementation Projects

For two-year implementation projects, the initial grant application must describe the full two-year project, include the estimated costs for the entire project, and submit a full budget covering the first year. For the second year, the applicant will submit evidence that its project is progressing well, along with the full budget for the second year and, if necessary, an updated plan of work. If the project remains essentially on schedule in its first year (or the applicant can demonstrate how the project will return to being on schedule) and if the budget for the second year is approved by a review panel, the project will receive funding for a second year. Money will be set aside every year to ensure that the budget for the second half of any two-year implementation can be funded in full, based on the estimated costs submitted with the initial grant application.

Project Requirements

All demonstration projects must plan for or develop an electronic records management program element that will continue into the future. Proposals must be for projects that are replicable by other local governments or consortia of local governments. Of particular interest to this program will be projects that propose solutions that have not been used extensively before.

Applications must demonstrate the sustainability of the chosen technological solution, including the methods proposed to maintain, upgrade, and transform the system into the future. Sustainability must be demonstrated at the system and the document levels and include information addressing access controls across government partners (where applicable), security, retention and timely destruction, and archival preservation.

Applicants for demonstration grants must meet all of the following requirements:

- Demonstrate the benefits of the project and the benefits of the project to other local governments.

- Submit as part of the grant application a needs assessment whenever one is needed to prove the viability of a project.

- Include a detailed estimated five-year cost-benefit analysis to demonstrate the clear financial and administrative advantages of the demonstration project into the future. This analysis must provide information on upfront and continuing costs, including system maintenance, and show the source of all estimated costs.

- Provide detailed information about the governments, governmental departments, archives and records management functions, and records that will be the focus of the project.

- Demonstrate the proposed project is sustainable and will result in permanent, positive programmatic change.

Applicants for multi-government demonstration projects must also meet the following requirements:

- Demonstrate the mutual benefits of the project to all participants and the benefits of the project to other future consortia of local governments.

- Demonstrate how the grant project will establish a permanent cooperative relationship between governments that will result in sustainable programmatic change.

- Articulate the proposed governance structure of this consortium describing the expected intergovernmental agreement that will be created, the bylaws that will be enacted for a proposed governance committee, and the proposed policies for running the consortium.

- Demonstrate the full participation and support of all members of the consortium for the duration of the project and for the long term.

- Demonstrate the ability and intention of the lead government to continue to lead this program into the future.

Applicants for multi-government demonstration projects must also meet the following administrative requirements:

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 demonstration project, the award will be prepared in the name of the lead applicant only.

4. The lead applicant must meet the following additional requirements:

   - Receive and administer the grant funds and submit the required reports to account for the use of grant funds.

   - Ensure that each local government partner provides a letter of intent, signed by the respective chief administrative officer, explaining 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 realized.

   - Be an active member of the partnership.

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

   - Not subgrant funds to other recipients, though lead applicant is permitted to contract for services with other partners or consultants to provide services that the lead applicant cannot provide itself.

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

   - Demonstrate the full participation and support of all participants. Note that this participation and support cannot be fulfilled merely by submitting the required Shared Services agreement forms, which only address the willingness of a local government to participate in a multi-government Demonstration grant project. Multi-government Demonstration application must include information about how the participants will continue to work together into the future

If applicants for multi-government demonstration grants do not meet all of these administrative and other requirements as indicated above, their proposals will be ineligible for funding.

Applicants for demonstration grants should note that General Municipal Law Section 119-O states that municipal corporations and districts have the power to enter into agreements, including multi-government agreements arising from Demonstration projects, with each other but that the maximum term of such agreements cannot exceed five years, unless another law otherwise provides for a longer term.

Applicants proposing demonstration projects that include digital records storage 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 storing records in a facility that it itself does not maintain. Contact the State Archives for further information.

Required Project Outcomes

All demonstration grant projects must achieve these outcomes in addition to those required of all LGRMIF grants:

1. Develop a webpage or a subsite of a website to publicize the program developed by the grant, including enough information to allow other local governments or consortia of local governments to replicate the program.

2. Develop a canned one-hour webinar that explains, in layman's terms, the elements of the program and how the program was developed.

3. Create and make available the governance documents of any consortium participating in a multi-government project, including the intergovernmental agreement for the consortium, the bylaws of its governance committee, and the policies for running the consortium. (Applicable only for the final year of an implementation project.)

4. Create a set of policies and procedures, including, at minimum, system management and maintenance, training and support, auditing systems, system performance assurance, information governance, and security, and make these policies and procedures (minus any sensitive information) available for use by others. (Applicable only for the final year of an implementation project.)

5. Publicize the results of the project through at least one public event, such as a one-day symposium or a presentation at a statewide or regional meeting of a local government, archives, or records management association.

6. Indicate in all of these materials that the source of startup funding for the project was the Local Government Records Management Improvement Fund, New York State Archives, State Education Department.

Projects to Fund in 2014-2015

This program will support up to $1 million in funding for the 2014–2015 fiscal year. To be eligible for funding, proposed projects must address one of the widespread digital records management and archives issues identified below:

1. **Records Management Application**

   Grant applications for this demonstration project must set up reusable products and protocols that will incorporate records retention and disposition controls for electronic records. Proposed projects must propose to use an electronic content management system (ECMS) or a cloud-based ECMS solution to implement the goals of this project. Applications for this project will be considered Records Systems grant applications for the purposes of review and must address all related requirements of that category. A demonstration project applicant must design a planning or implementation project that lays out how the applicant will

   - develop a method for implementing and/or implement within the ECMS the appropriate New York State Archives' retention schedules or big-bucket retention solutions based on those schedules

   - design and/or implement a filing schema for organizing records and associating retention schedule items to folders of records

   - design and/or implement a system of access controls to protect records from both inappropriate access and accidental or otherwise unauthorized modification, replacement, or destruction

   - design and/or implement systems that allow each local government in the consortium control over its own records (for multi-government projects only)

   - design and/or implement an auditing system to ensure that records cannot be changed without such changes being documented within the system

   - design and/or implement a process for authorizing retention and disposition and ensuring that records can be destroyed only after all appropriate authorizations have been granted

   - design and/or implement a system that completely destroys any obsolete electronic records from both the system and any backups once their destruction has been authorized

2. Preservation of Electronic Records

Grant applications for this demonstration project must set up reusable products and protocols that will provide for the preservation of digitized and born-digital archival electronic records. Proposed projects must propose to use an electronic content management system (ECMS) or a cloud-based ECMS solution to implement the goals of this project. Applications for this project will be considered Historical Records grant applications for the purpose of review and must address all related requirements of that category. A demonstration project applicant must design a planning or implementation project that lays out how the applicant will

- develop and/or implement protocols for ingesting electronic records into the archival records management system

- demonstrate that each local government in the consortium will maintain some level of control over its own records (for multi-government projects only)

- develop and/or implement standards for file conversion of both born-digital and paper archival records that will be managed in this system (including preferred file formats for long-term retention and conversion procedures that address all records that will at first be stored within the system)

- develop and/or implement standards for descriptive metadata that cover at least the most important or heavily used archival records of the government or consortium

- design and/or implement quality assurance protocols to verify the accuracy of any document conversions and of all metadata

- design and/or implement security controls to protect the archival records from both inappropriate access and accidental or otherwise unauthorized modification, replacement, or destruction

- design and/or implement methods to make the most important and heavily used archival records of the local governments accessible via any combination of methods, including the archival records system itself, a website or websites, media sharing sites on the Internet, removable media, email, or visits to the government or governments

- develop and/or implement backup protocols that will ensure that the archival electronic records cannot be destroyed by human or natural disaster

2. New York City Department of Records Grants

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, 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 a minimum of $150,000 this year to fund this grant type, offering grants up to $20,000 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 have additional requirements that you must also address.

1. Records Focus

Demonstrate that your project focuses on improving the management of records in your local government by addressing 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 their retention period has passed.

- Base project costs on the records involved whenever possible (such as volume, condition, or other characteristic of the records). For example, determine the number of hours needed to inventory and organize records based on the cubic feet of records and the specific work activities to be accomplished.

- 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 framing your project in records management terms, contact your RAO or Archives staff in Albany.

2. Adherence to Archives' Standards and Guidelines

Give details on how you will adhere to State Archives standards and guidelines relevant to plan your project. These can include the Archives' standards for digital imaging and microfilming, as well as guidelines in the form of workshops, publications, or advice from a State Archives' Regional Advisory Officer. For your convenience, references to applicable 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 your records management program or system. In other words, explain how this project will help build a program or improve an existing component of a program rather than just maintain it.

LGRMIF grants are not intended to support ongoing operational costs of a records management program. Funds are not awarded to address records that have accumulated since the completion of a previous project, to pay for upgrades to software and hardware already funded through an LGRMIF grant, 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 LGRMIF grant, you must provide compelling justification about why you could not maintain the results of that project and how you will ensure you can do so 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 provide ongoing staff training.

- Describe how you will maintain records management plans, policies, and procedures so they remain relevant.

- 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 on line.

- Submit any supporting documentation only in the following electronic formats: Microsoft Word (DOC) or PDF for text-based documents; Excel (XLS) for spreadsheets; and PDF, JPEG, BMP, or PNG for images. **Note:** Please do not attach MS Word 2007 or 2010 (.docx) files; they must be converted to MS Word 2003 (.doc) format.

- Needs assessments are not eligible for funding through the LGRMIF except for Demonstration grants (in the form of planning projects) and Inactive Records and Historical Records projects. However, if a needs assessment is essential for proving the viability of a project, it is the applicant's responsibility to complete and submit one with the grant 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 cos*t 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, unless 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.

  Detailed vendor quotes are still required of all requests 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, REGARDLESS OF WHETHER THREE QUOTES ARE REQUIRED.

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

- If an applicant proposes a project that involves birth, death, marriage, or burial records, the applicant must indicate in the application narrative that it has discussed its proposed project with the Department of Health (DOH), which oversees those records, and confirm that the project meets with DOH’s approval. Contact the Registration Unit at the Office for Vital Statistics at 518-474-8187. (Note: DOH is approving that the parameters of your project meet DOH Guidelines. DOH is not approving your grant application).

- If an applicant proposes a project that involves court records, the applicant must indicate in the application narrative that it has discussed its proposed project with the Unified Court System (UCS), which oversees those records, and confirm that the project meets with UCS’s. Contact Unified Court System records management staff at 212-428-2875 or records@courts.state.ny.us. (Note: UCS is approving that the parameters of your project meet UCS Guidelines. UCS is not approving your grant application).

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

Category Requirements

- If proposing the creation of a disaster plan, you must also include a detailed accounting of the specific risks faced by your government and its facilities.

- Any proposed disaster plan must include a section that addresses the specific risks faced by the applicant and its facilities and the government's plan to eliminate, avoid, or mitigate those risks.

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

For inventory and survey activities

- All records inventory and survey projects must involve the development of a records management needs assessment and program plan that addresses 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 appendices to estimate cubic footage. Estimate inventory rates for electronic records by conducting a test inventory of a single electronic recordkeeping system.

- If applicable, explain how you will use the data from any survey or inventory project to develop office retention schedules.

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

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

For inactive records activities

- Explain why you selected a particular site for records storage and describe the suitability of that site based on location, size, security, and environmental conditions or based on the improvements that will occur because of the proposed grants project. Identify the departments that will use the storage area and the controls you will employ to ensure the security of the records.

- Include to-scale floor plans of proposed storage areas that indicate all dimensions (length, width, and height) and include the proposed layout of shelving. 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 on a slab.

- Plan for at least 30% more space based on the volume of records. For example, if you have 100 cubic feet of records to store, include space to store 130 cubic feet of 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.

- 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 while preparing the grant application.

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

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:

    - Completely unorganized series: 16 hours per cubic foot

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

    - Fairly simple and organized 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: 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 reformatted. Also, submit a copy of vendor treatment proposals and estimated price quotes for each item to be conserved. Treatment proposals must describe specific tasks, proposed materials and techniques, estimated number of hours needed, and itemized costs.

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 share 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 and taxonomies, 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 other possibilities.

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, including document preparation, document conversion (through microfilming, imaging, or both), image verification and quality control, and providing access to the images.

  - Describe the individual tasks required for preparation (unfolding paper, removing staples, purging obsolete records and duplicates), indicate the staff time you will need to accomplish these tasks, and indicate how you arrived at these rates. The baseline rate for preparing records is 1,000 sheets per hour, but more time may be required for older, worn records with many staples and clips. Applicants may consider preparing a small portion of the records before applying in order to calculate the most accurate rate.

  - Indicate how you will verify that all of the digitized or micrographic images are legible and that images of the entirety of all records have been captured. One hundred percent of the images must be verified before destroying the original records. The base rate for verification is 300 images per hour.

  - 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.

  - If microfilming, request $18 per roll for third-party testing of every fourth roll of original microfilm. This testing must verify adherence to State Archives' guidelines for density, resolution, targeting, and general quality. Testing is conducted by Filmtek, Bill Hulik, 144 Genesee Street, Suite 102-214, Auburn, NY 13021; phone, 315-255-0367. Applicants can use other third-party vendors for microfilm testing only if they have received permission from the State Archives to do so.

- 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. Indicate you arrived at any indexing rate you chose. 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.

- Provide quotes for imaging and microfilming that include per-image costs for conversion.

- For projects involving the creation of digital images, indicate how you will follow standards outlined in the State Archives' *Digital Imaging Guidelines* (2014).

- For projects with microfilming as a component, indicate how you will follow the guidance outlined in the State Archives' Publication #9, *Producing High-Quality Microfilm*.

- Indicate how you will follow the guidance outlined in Publication #77, *Managing Imaging and Micrographics Projects*. Applicants proposing to microfilm or scan court records must also indicate how they will adhere to all Unified Court System guidelines.

- Provide, in section 1b of the project narrative, a listing of each of the records series you plan to digitize or microfilm that includes the series titles, dates, number of images, retention periods and references to schedule items, size of paper, and information about the condition of the records (such as any damage, large quantities of fasteners, or paper that is difficult to manage, such as onionskin).

- 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 and how you will ensure that the master digital copy will be preserved and maintained for the full retention period of the record.

- If proposing to establish an in-house imaging operation, demonstrate how doing so will be more economical and efficient than outsourcing.

- If implementing a document management system, demonstrate your ability to implement and maintain the system long term. For example, discuss your ability to budget for systems maintenance, store image files, protect file integrity, and migrate images to the newer platforms and file formats when needed.

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 assessments 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.

- All applications must indicate how they will coordinate the development of the proposed GIS regionally with their respective county government or other regional 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 among local governments. Digitize these letters and upload them to your application in eGrants, using “GIS Letter of Acknowledgment” as the description for your attachment.

- Fully explain why your government needs a GIS and the specific GIS applications you request in your grant application.

- Specifically identify your own government’s geospatial 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, provide, in section 1b of the project narrative, a listing of all the records you plan to digitize or microfilm and include the series titles, dates, number of images, retention periods and references to schedule items, size of paper, and information about the condition of the records (such as any damage, large quantities of fasteners, or paper that is difficult to manage, such as onionskin).

- If imaging is a component of your GIS project, provide quotes for imaging that include per-image costs for conversion.

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. Any records systems applications that do not manage records as their primary purpose are not eligible for funding.

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.

Category Requirements

- Indicate in the grant application, when applicable, that source code for customized software developed with LGRMIF funds becomes the property of the local government by including a clause to that effect in any contract with a software designer.

- Agree to make any customized software code developed with LGRMIF funds available on request to other New York local governments for the cost of the storage media.

- Ensure that electronic records are maintained in open, non-proprietary formats except in rare cases when such formats do not exist.

Instructions for the Project and Budget Narratives

To receive any points for your responses to the individual sections of the narratives, you must provide these responses within the appropriate section. Do not merely refer the reviewers to an attachment for your entire response, and do not provide your response to one section of the narrative within a different section.

The Project Narrative

The project narrative is the most important part of the application, so pay careful attention to the information requested within it. To improve your chances of writing a successful grant application, pay special attention to the points assigned to each section of the narrative.

Be sure to address past projects in section 1b of the Statement of the Problem. The grants review panels will have a list of all past LGRMIF grants received by your local government and will expect your application to explain that none of those previous projects included work proposed for your current application and that your proposed project will not conduct ineligible maintenance activities.

1. Statement of the Problem (maximum 20 points)

a. Describe the specific records management problem this proposed project will address, provide qualitative descriptions and quantitative data about the problem, and explain why this particular project is a high priority for your records management program. **Do not discuss any proposed solutions here, only the problems. Discuss solutions in Intended Results (2a).** (10 points)

b. Identify the specific records that will be involved in this project, and include the series titles, retention periods, and volume of each records series. Identify any previous grant-funded projects related to these records series and this project, identifying the names and date ranges of records involved and why this project would not replicate work already completed and, thus, would not constitute an ineligible request for maintenance. If your government has not received any past projects relevant to your current application, indicate so. If the proposed project includes imaging or microfilming, provide the required description and condition of each records series in this section. (10 points)

2. Intended Results (maximum 15 points)

a. Explain why the methodology you chose to solve your records management problem was the best one. Explain what other methodologies you considered, detail why these were rejected, and demonstrate why the chosen methodology was the best. (5 points)

b. Identify each intended result or anticipated benefit of this project and your chosen solution, including specific products, time and cost savings, and service improvements. Describe how the anticipated benefits of this project will contribute to the development of a records management program or enhance an already existing program. Provide both qualitative and quantitative data to support your arguments about the benefits of this project. (10 points)

3. Plan of Work (maximum 30 points)

a. Provide a detailed outline of the proposed work activities including a detailed description of each workstep and a timetable that shows when each phase of the project will be completed. Show how you calculated estimated work rates to prove that your local government can attain all the project's goals by 30 June 2015. (15 points)

b. Address each of the general application, project type, and project category requirements. If your application combines elements of two or more grant categories, address the requirements of each. (10 points)

c. Explain who will perform each project activity, including project management. Indicate the qualifications of project staff (including consultants and vendors), and explain how and why they are qualified to conduct their assigned tasks for this project. (5 points)

4. Local Government Contributions (maximum 10 points)

a. Demonstrate your local government's contributions to this project, including funds, staffing, equipment, supplies, or the allocation of space. Also, demonstrate your local government's contributions to its records management program, demonstrating its commitment to records management. Provide specific budget amounts whenever possible. Include only the financial and other support your local government has provided and will provide with its own funds. **Note that previous grant projects funded by the LGRMIF do not constitute local support and must not be listed in this section.** (5 points)

b. Provide concrete information to demonstrate how you will maintain the results of this project long term without additional LGRMIF grant funding. If additional funding will be required in the short term, explain why. (5 points)

5. Project Budget (maximum 25 points)

Justify the proposed project expenditures in terms of reasonableness of cost, the suitability of the chosen solution, and the necessity of the expenses to ensure the project's success. **Do not merely describe the items and services requested in the project budget.** For example, if purchasing a scanner for a project, do not simply explain that a scanner is needed to complete the project but also why the particular scanner make and model needs to be purchased to successfully complete the project. (25 points).

1. Salaries for Professional Staff (Code 15)
Justify in detail the need for these positions and clearly outline the responsibilities of the positions. Demonstrate why the requested number of hours is needed. Explain how the project staff will support project activities and goals.

2. Salaries for Support Staff (Code 16)
Justify in detail the need for these positions and clearly outline the responsibilities of the positions. Demonstrate why the requested number of hours is needed. Explain how the project staff will support project activities and goals.

3. Equipment (Code 20)
Describe how the requested equipment will be used to support project activities and goals, and demonstrate why this particular equipment is critical to the project's success. Demonstrate how such equipment will be used on an ongoing basis after the grant to support records management.

4. Minor Remodeling (Code 30)
Justify the need for the particular remodeling requested and why it is essential to the project.

5. Purchased Services (Code 40)
Describe how each of the purchased services supports the project's activities and goals. Clearly explain and justify the consultant or vendor's role in and time spent on the project, and demonstrate that the consultant or vendor is qualified to conduct this work.

6. Supplies & Materials (Code 45)
Describe how all the supplies and materials requested will the support the project activities and goals and why they are essential to the project.

7. Travel Expenses (Code 46)
Explain how the proposed travel will help achieve the intended results outlined in the application and why it is essential to the project.

8. Purchased Services with BOCES (Code 49)
Describe how each of the purchased services with BOCES supports project activities and goals. Clearly explain and justify the consultant or vendor's role in and time spent on the project, and demonstrate that the BOCES is qualified to conduct this work.

9. Employee Benefits (Code 80)
Justify the need for using grant funds to pay staff benefits. Provide justification for any fringe benefits that exceed 35% of the cost of the salaries requested.

Budget and Eligible and Ineligible Expenditures Instructions

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.

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, staff hired through an employment agency, or professional staff.

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 the quantity, unit cost, and proposed expenditure.

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). 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 how you are following them. If using the LGPR exception, please note the vendor and contract number where applicable.

Eligible Expenditures

Use this category for 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.

Eligible Expenditures

Any facility where proposed minor remodeling will take place 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). 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 how you are following them. If using the LGPR exception, please note the vendor and contract number where applicable. 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 (for inactive and historical records projects only), 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, 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 or 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 grantwriter

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). 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

- Computer software, regardless of the unit price

- Lateral open shelving with pull-down or flip-down locking doors

- Fire-resistant file cabinets

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). 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 how you are following them. If using the LGPR exception, please note the vendor and contract number where applicable.

- If purchasing shelving, you must include a floor plan indicating the layout of the shelving and the number of boxes you will store on each unit. 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

New York State Industries for the Disabled
11 Columbia Circle Drive
Albany, NY 12203
518-463-9706

These are available in lots of twenty-five at $45.93 per case (approximately $1.83 per box). Grant funds will not be approved for cartons in excess of this price.

Travel Expenses (Code 46)

Identify the purpose of the 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 is eligible 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. You may choose to calculate the proposed employee benefits using your local government's fringe benefits rate or by itemizing the individual 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.

The eGrants System

First Steps for Using eGrants

All LGRMIF grant applications must be submitted using the LGRMIF eGrants System, available at https://eservices.nysed.gov/ldgrants. **If you have difficulty completing an online application, contact the Grants Administration Unit at archgrants@mail.nysed.gov or 518-474-6926.**

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 or 518-474-6926.

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 March 3 application due date.

1. To register, go to https://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 entered 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 the RMO may 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 eGrants to submit grant applications on behalf of only that institution.

Logging into the LGRMIF eGrants System

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

Note: If you have already established an account but have not been in eGrants for six months, you will need to re-set your password.

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 your original 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 Denis Meadows dmeadows@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 electronic attachments 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.

Forms submitted electronically in eGrants

- Application Sheet
- Project Narrative
- Project Budget
- Participating Institutions (if applicable)
- Vendor Quote Form (if applicable)

Forms that cannot be filled out electronically (Blue ink signatures required)

- Budget Summary (FS-20) in 3 copies
- Payee Information Form
- Standard Data Capture Form
- Institutional Authorization Form
- M/WBE forms

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 and multi-government Demonstration projects only)
- Detailed vendor quotes
- Needs assessments
- Vendor treatment proposals (for relevant projects in the Historical Records category)
- Floor plans (for Inactive Records or Historical Records projects that involve minor remodeling or the installation of shelving)
- Letters of Acknowledgement (for geographic information system applications)
- 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 be entered into the appropriate sections of the proposal, as failure to do so will negatively 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 are applying 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 or a multi-government Demonstration 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 following:

- Application Sheet
- Project Narrative
- Project Budget

- Payee Information Form and Standard Data Capture Form
- Vendor Quote Form (if applicable)
- Institutional Authorization, Budget Summary Form (FS-20)
- Attachments/Uploads
- Application Printouts
- Participating Institutions Form (if applicable)
- Shared Services Agreement Form (if applicable)
- M/WBE forms

The checklist for the Post-Grant Award Forms links to the following:

- 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
- Attachments/Uploads
- M/WBE forms

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 **3 March 2014**. 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 http://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.
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 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's 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 commas).

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 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.

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 or multi-government Demonstration 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.

M/WBE forms

Applicants should identify participating M/WBE firm(s) at the time of application submission and submit the necessary M/WBE forms to the State Archives Grants Administration Unit along with other required forms. If this can not be done, applicants will have thirty days from the date of notice of grant award to submit the necessary documents and respond satisfactorily to any follow-up questions from SED. Failure to do so may result in loss of funding.

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 appendices 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. You can type the narrative directly into the application, but it is likely better to copy the narrative sections from a Microsoft Word document and paste them into the template. 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. 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 appendices 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)
- Equipment (Code 20)

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 to the proposed grant project 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. **Note:** Please do not attach MS Word 2007 or 2010 (.docx) files; they must be converted to MS Word 2003 (.doc) format.

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 for uploading into eGrants.

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.

Applicants are responsible for ensuring their attachments conform to the file format standards for eGrants, are not corrupted, and can be read by reviewers. The Archives recommends that applicants download each of their files after uploading those to eGrants to ensure that these can be opened and read. **If reviewers cannot read an attachment, they cannot give an applicant any credit for the information that was supposed to be in that attachment.**

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

- Shared Services Agreement Form (for Shared Services and multi-government Demonstration 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 for technology implementation projects are no longer eligible for funding through the LGRMIF (though needs assessments are eligible for Inactive Records and Historical Records projects). However, if a needs assessment is essential for proving the viability of a project, it is the applicant’s responsibility to complete and submit one with the grant 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 and Historical Records projects that involve minor remodeling and the installation of shelving.

- Letters 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 from your 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 MWBE forms, forms that require a signature or in instances when a paper copy of the form is required. These forms include the following:

- Payee Information Form/Substitute W-9

- Standard Data Capture Form (no signature required)

- Institutional Authorization

- Summary Budget (FS-20)

You must submit paper copies of these forms, as indicated below, postmarked by the application deadline of 3 March 2014.

Where indicated, the forms require the signature of your Chief Administrative Officer (CAO) or authorized designee. 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 LGRMIF.

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. Submit **1 copy** of the M/WBE forms necessary to document full participation or to request a partial or full waiver.

6. 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 these paper forms so they are postmarked by the application deadline:

   - Payee Information Form/Substitute W-9
   - Standard Data Capture Form
   - nstitutional Authorization Form
   - FS-20, Proposed Budget Summary (in three copies)
   - M/WBE forms

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 dmeadows@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 have completed just prior to receiving the error message.

For any other grants-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 and Demonstration projects have been identified as priorities for funding in the 2014-2015 grant year. To encourage Shared Services projects, the State Archives will allocate approximately 35% of all available funding, minus the $1 million set-aside for New York City Department of Records grants, to this grant application type. To encourage Demonstration projects, the State Archives will allocate up to $1 million total for grant applications of this type.

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%. The questions applicants are required to address in the narrative and budget directly correspond to the reviewers' ranking criteria. See appendices 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 and Demonstration project grants, 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 and Demonstration project grants. Applications involving Shared Services will be assigned to a separate review panel, and Demonstration project grants will also be assigned to a separate panel.

Outside expert reviewers are assigned to panels to review grants in their areas of expertise. Each reviewer evaluates twenty-five to thirty grant applications and assigns each proposal a score based on information in the Project Narrative and Project Budget. Each application is scored by four reviewers. To be considered for funding, an application 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 grants from New York City mayoral agencies, per legislative mandate. Secondly, we assign up to $1 million to Demonstration project grants. The panel reviewing Demonstration grants will complete its review before the review of other grants. If any funds remain after that review, these funds will be returned to the grants funding pool. Shared Services proposals have been identified as the only priority for funding for the 2014-2015 grant cycle, so 35% of remaining funds will be assigned to this panel. 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 among 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 for those applications funded partially or not at all.

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.

Post Award

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 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 2014, 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 and plan of work as modified by the grant award letter when applicable, as well as the 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.

Forms that cannot be filled out electronically

- Request for Additional Funds (FS-25)
- Amendment Form (FS-10-A)
- Final Report for Educational Uses Projects
- Final Expenditure Report (FS-10-F)
- M/WBE forms

Electronic forms that can be completed directly in eGrants

- Final Project Narrative
- Final Project Budget
- Final Statistical Report
- Budget Amendment Summary

Form that must be attached as an electronic form to the Final Project Narrative

- Final Report for Educational Uses Projects
- Final Sign-Off Form

After completing all forms and hitting 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 an email notification from eGrants confirming that the required online final reports have been submitted.

Submitting Post-Grant Award Paper Forms

You can find templates for the forms you must submit in paper 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. Print out either the HTML or the PDF versions of the forms when needed.

1. Applicants who do not identify M/WBE firm(s) at the time of application submission will have thirty days from the date of notice of award to identify M/WBE firm(s), submit the necessary documents, and respond satisfactorily to any follow-up questions from SED. Failure to do so may result in loss of funding.

2. To request funds beyond the initial 50% payment, submit 1 copy of the Request for Additional Funds (FS-25) to

   Grants Finance Unit
   NYS Education Department
   Room 510 W EB
   Albany, NY 12234.

   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 estimates of funds needed to continue project work.

3. If you need to amend your approved budget during the grant period, submit **3 copies** of the Amendment Form (FS-10-A) to the Grants Administration Unit no later than June 1st. You must receive approval of the amendment from your Regional Advisory Officer (RAO) **before** submitting the request. For budget changes that do not require the formal filing of an FS-10-A, complete the Budget Amendment Summary in eGrants and submit the request electronically 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

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

4. After completing your final reports, submit **3 copies** of the Final Expenditure Report (FS-10-F) to the Grants Administration Unit. 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 its required online Final Reports and/or its 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 the Archives 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 they 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 at each step.

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

You must complete the Final Project Narrative report at the conclusion of your 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 document. Click Save to save your changes to the system.

3. An editing toolbar at the top of the text area is accessible if you have Javascript installed. If your web browser does not have Javascript enabled, you will not see this toolbar, but you can still type and save your final report narrative.

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

Final Statistical Report

You must complete the Final Statistical Report at the conclusion of your 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. f 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

You must complete the Final Report Sign-off 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 as well as from the Checklist page.

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

3. Scan the signed form, and upload the file 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. Log in to eGrants at https://eservices.nysed.gov/ldgrants

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

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

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

5. Complete the summary, specifying the budget category, reason and description for the budget amendment, and the increase or decrease to your approved budget amount. 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.

6. Hit "Save."

7. 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 State Archives' Grants Administration Unit that you now have a pending amendment or change to your approved budget. **The Budget Amendment Summary must be submitted electronically no later the June 1st each year.**

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

9. 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:

    - Any change in the number or type of personnel positions

    - 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

10. 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.

Instructions for Addressing Application Requirements

The plan of work, Section 3c, requires you to address each of the general application, project type, and project category requirements applicable to your application. These requirements appear elsewhere in the LGRMIF Grants Materials, but are collected here to assist you in addressing each of these in your application.

General Application Requirements

Any grant application to the LGRMIF must address how each of the following requirements will be met as part of the proposed grants project.

1. Records Focus

Demonstrate that your project focuses on improving the management of records in your local government by addressing 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 their retention period has passed.

- Base project costs on the records involved whenever possible (such as volume, condition, or other characteristic of the records). For example, determine the number of hours needed to inventory and organize records based on the cubic feet of records and the specific work activities to be accomplished.

- 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 framing your project in records management terms, contact your RAO or Archives staff in Albany.

2. Adherence to Archives' Standards and Guidelines

Give details on how you will adhere to State Archives standards and guidelines relevant to plan your project. These can include the Archives' standards for digital imaging and microfilming, as well as guidelines in the form of workshops, publications, or advice from a State Archives' Regional Advisory Officer. For your convenience, references to applicable 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 your records management program or system. In other words, explain how this project will help build a program or improve an existing component of a program rather than just maintain it.

LGRMIF grants are not intended to support ongoing operational costs of a records management program. Funds are not awarded to address records that have accumulated since the completion of a previous project, to pay for upgrades to software and hardware already funded through an LGRMIF grant, 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 LGRMIF grant, you must provide compelling justification about why you could not maintain the results of that project and how you will ensure you can do so 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 provide ongoing staff training.
- Describe how you will maintain records management plans, policies, and procedures so they remain relevant.
- 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 on line.

- Submit any supporting documentation only in the following electronic formats: Microsoft Word (DOC) or PDF for text-based documents; Excel (XLS) for spreadsheets; and PDF, JPEG, BMP, or PNG for images. **Note:** Please do not attach MS Word 2007 or 2010 (.docx) files; they must be converted to MS Word 2003 (.doc) format.

- Needs assessments are not eligible for funding through the LGRMIF except for Demonstration grants and Inactive Records and Historical Records projects. However, if a needs assessment is essential for proving the viability of a project, it is the applicant's responsibility to complete and submit one with the grant 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, unless 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.

Detailed vendor quotes are still required of all requests 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, REGARDLESS OF WHETHER THREE QUOTES ARE REQUIRED.

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

- If an applicant proposes a project that involves birth, death, marriage, or burial records, the applicant must indicate in the application narrative that it has discussed its proposed project with the Department of Health (DOH), which oversees those records, and confirm that the project meets with DOH’s approval. Contact the Registration Unit at the Office for Vital Statistics at 518-474-8187. (Note: DOH is approving that the parameters of your project meet DOH Guidelines. DOH is not approving your grant application).

- If an applicant proposes a project that involves court records, the applicant must indicate in the application narrative that it has discussed its proposed project with the Unified Court System (UCS), which oversees those records, and confirm that the project meets with UCS’s. Contact Unified Court System records management staff at 212-428-2875 or records@courts.state.ny.us. (Note: UCS is approving that the parameters of your project meet UCS Guidelines. UCS is not approving your grant application).

Project Type Requirements

These requirements are based on the type of application you are submitting: either individual or shared services. There are no additional requirements for individual grant applications.

Shared Services Applications

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 that demonstrates the cost savings of implementing the proposed project

- 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. Note that this participation and support cannot be fulfilled merely by submitting the required Shared Services agreement forms, which only address the willingness of a local government to participate in a Shared Services grant project. Each Shared Services application must include information about how the participants will continue to work together into the future

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, but 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.

Demonstration Applications

The goals of the LGRMIF **demonstration** grants program are

- To initiate large-scale projects that will serve as models for improving electronic archives and records management practices in local government.

- To develop replicable program models that will dramatically transform the management of digital records and archives in local government.

Funding Levels

Demonstration grants can support either planning or implementation projects. A planning project can last only one year, unless the time period is modified with authorization, and the level of funding per project cannot exceed $100,000 total. An implementation project can be funded for up to $500,000 total and cover a period of one or two years. However, an applicant must apply in the second year for the continuation of any implementation project that will take two years to complete.

Project Requirements

All **demonstration** projects must plan for or develop an electronic records management program element that will continue into the future. Proposals must be for projects that are replicable by other local governments or consortia of local governments. Of particular interest to this program will be projects that propose solutions that have not been used extensively before.

Applications must demonstrate the sustainability of the chosen technological solution, including the methods proposed to maintain, upgrade, and transform the system into the future. Sustainability must be demonstrated at the system and the document levels and include information addressing access controls across government partners (where applicable), security, retention and timely destruction, and archival preservation.

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

- Demonstrate the benefits of the project and the benefits of the project to other local governments.

- Submit as part of the grant application a needs assessment whenever one is needed to prove the viability of a project.

- Include a detailed estimated five-year cost-benefit analysis to demonstrate the clear financial and administrative advantages of the demonstration project into the future. This analysis must provide information on upfront and continuing costs, including system maintenance, and show the source of all estimated costs.

- Provide detailed information about the governments, governmental departments, archives and records management functions, and records that will be the focus of the project.

- Demonstrate the proposed project is sustainable and will result in permanent, positive programmatic change.

Applicants for multi-government **demonstratio**n projects must also meet the following requirements:

- Demonstrate the mutual benefits of the project to all participants and the benefits of the project to other future consortia of local governments.

- Demonstrate how the grant project will establish a permanent cooperative relationship between governments that will result in sustainable programmatic change.

- Articulate the proposed governance structure of this consortium describing the expected intergovernmental agreement that will be created, the bylaws that will be enacted for a proposed governance committee, and the proposed policies for running the consortium.

- Demonstrate the full participation and support of all members of the consortium for the duration of the project and for the long term.

- Demonstrate the ability and intention of the lead government to continue to lead this program into the future.

Applicants for multi-government **demonstration** projects must also meet the following administrative requirements:

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 demonstration project, the award will be prepared in the name of the lead applicant only.

4. The lead applicant must meet the following additional requirements:

   - Receive and administer the grant funds and submit the required reports to account for the use of grant funds.

   - Ensure that each local government partner provides a letter of intent, signed by the respective chief administrative officer, explaining 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 realized.

   - Be an active member of the partnership.

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

   - Not subgrant funds to other recipients, though lead applicant is permitted to contract for services with other partners or consultants to provide services that the lead applicant cannot provide itself.

   - 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 **demonstration** grants do not meet all of these administrative and other requirements as indicated above, their proposals will be ineligible for funding.

Applicants for **demonstration** grants should note that General Municipal Law Section 119-O states that municipal corporations and districts have the power to enter into agreements, including demonstration 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.

Applicants proposing **demonstration** projects that include digital records storage 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 storing records in a facility that it itself does not maintain. Contact the State Archives for further information.

Required Project Outcomes

All **demonstration** grant projects must achieve these outcomes in addition to those required of all LGRMIF grants:

1. Develop a webpage or a subsite of a website to publicize the program developed by the grant, including enough information to allow other local governments or consortia of local governments to replicate the program.

2. Develop a canned one-hour webinar that explains, in layman's terms, the elements of the program and how the program was developed.

3. Create and make available the governance documents of any consortium participating in a multi-government project, including the intergovernmental agreement for the consortium, the bylaws of its governance committee, and the policies for running the consortium. (Applicable only for the final year of an implementation project.)

4. Create a set of policies and procedures, including, at minimum, system management and maintenance, training and support, auditing systems, system performance assurance, information governance, and security, and make these policies and procedures (minus any sensitive information) available for use by others. (Applicable only for the final year of an implementation project.)

5. Publicize the results of the project through at least one public event, such as a one-day symposium or a presentation at a statewide or regional meeting of a local government, archives, or records management association.

6. Indicate in all of these materials that the source of startup funding for the project was the Local Government Records Management Improvement Fund, New York State Archives, State Education Department.

Projects to Fund in 2014-2015

This program will support up to $1 million in funding for the 2014–2015 fiscal year. To be eligible for funding, proposed projects must address one of the widespread digital records management and archives issues identified below:

1. Records Management Application

Grant applications for this demonstration project must set up reusable products and protocols that will incorporate records retention and disposition controls for electronic records. Proposed projects must propose to use an electronic content management system (ECMS) or a cloud-based ECMS solution to implement the goals of this project. Applications for this project will be considered Records Systems grant applications for the purpose of review and must address all related requirements of that category. A demonstration project applicant must design a planning or implementation project that lays out how the applicant will

- develop a method for implementing and/or implement within the ECMS the appropriate New York State Archives' retention schedules or big-bucket retention solutions based on those schedules

- design and/or implement a filing schema for organizing records and associating retention schedule items to folders of records

- design and/or implement a system of access controls to protect records from both inappropriate access and accidental or otherwise unauthorized modification, replacement, or destruction

- design and/or implement systems that allow each local government in the consortium control over its own records (for multi-government projects only)

- design and/or implement an auditing system to ensure that records cannot be changed without such changes being documented within the system

- design and/or implement a process for authorizing retention and disposition and ensuring that records can be destroyed only after all appropriate authorizations have been granted

- design and/or implement a system that completely destroys any obsolete electronic records from both the system and any backups once their destruction has been authorized

2. Preservation of Electronic Records

Grant applications for this demonstration project must set up reusable products and protocols that will provide for the preservation of digitized and born-digital archival electronic records. Proposed projects must propose to use an electronic content management system (ECMS) or a cloud-based ECMS solution to implement the goals of this project. Applications for this project will be considered Historical Records grant applications for the purpose of review and must address all related requirements of that category. A demonstration project applicant must design a planning or implementation project that lays out how the applicant will

- develop and/or implement protocols for ingesting electronic records into the archival records management system

- demonstrate that each local government in the consortium will maintain some level of control over its own records (for multi-government projects only)

- develop and/or implement standards for file conversion of both born-digital and paper archival records that will be managed in this system (including preferred file formats for long-term retention and conversion procedures that address all records that will at first be stored within the system)

- develop and/or implement standards for descriptive metadata that cover at least the most important or heavily used archival records of the government or consortium

- design and/or implement quality assurance protocols to verify the accuracy of any document conversions and of all metadata

- design and/or implement security controls to protect the archival records from both inappropriate access and accidental or otherwise unauthorized modification, replacement, or destruction

- design and/or implement methods to make the most important and heavily used archival records of the local governments accessible via any combination of methods, including the archival records system itself, a website or websites, media sharing sites on the Internet, removable media, email, or visits to the government or governments

- develop and/or implement backup protocols that will ensure that the archival electronic records cannot be destroyed by human or natural disaster

Project Category Requirements

These requirements are based on the category of application you are submitting. Note that if your application combines elements of two or more grant categories, you must address the requirements of each, no matter which category type you have chosen to identify your application. If you are not sure whether your proposed project combines elements of two or more grant categories contact your State Archives Regional Advisory Officer or the Grants Administration Unit at archgrants@mail.nysed.gov or 518-474-6926.

Disaster Management

- If proposing the creation of a disaster plan, you must also include a detailed accounting of the specific risks faced by your government and its facilities.

- Any proposed disaster plan must include a section that addresses the specific risks faced by the applicant and its facilities and the government's plan to eliminate, avoid, or mitigate those risks.

Inactive Records

For inventory and survey activities

- All records inventory and survey projects must involve the development of a records management needs assessment and program plan that addresses 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 appendices to estimate cubic footage. Estimate inventory rates for electronic records by conducting a test inventory of a single electronic recordkeeping system.

- If applicable, explain how you will use the data from any survey or inventory project to develop office retention schedules.

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

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

For inactive records activities

- Explain why you selected a particular site for records storage and describe the suitability of that site based on location, size, security, and environmental conditions or based on the improvements that will occur because of the proposed grants project. Identify the departments that will use the storage area and the controls you will employ to ensure the security of the records.

- Include to-scale floor plans of proposed storage areas that indicate all dimensions (length, width, and height) and include the proposed layout of shelving. 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 on a slab.

- Plan for at least 30% more space based on the volume of records. For example, if you have 100 cubic feet of records to store, include space to store 130 cubic feet of records.

Historical Records

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 while preparing the grant application.

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

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:

    - Completely unorganized series: 16 hours per cubic foot

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

    - Fairly simple and organized 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: 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 reformatted. Also, submit a copy of vendor treatment proposals and estimated price quotes for each item to be conserved. Treatment proposals must describe specific tasks, proposed materials and techniques, estimated number of hours needed, and itemized costs.

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 share 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

- 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 other possibilities.

Document Conversion and Access

- Describe how you will manage all of the phases of a conversion project, including document preparation, document conversion (through microfilming, imaging, or both), image verification and quality control, and providing access to the images.

  - Describe the individual tasks required for preparation (unfolding paper, removing staples, purging obsolete records and duplicates), indicate the staff time you will need to accomplish these tasks, and indicate how you arrived at these rates. The baseline rate for preparing records is 1,000 sheets per hour, but more time may be required for older, worn records with many staples and clips. Applicants may consider preparing a small portion of the records before applying in order to calculate the most accurate rate.

  - Indicate how you will verify that all of the digitized or micrographic images are legible and that images of the entirety of all records have been captured. One hundred percent of the images must be verified before destroying the original records. The base rate for verification is 300 images per hour.

  - 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.

  - If microfilming, request $18 per roll for third-party testing of every fourth roll of original microfilm. This testing must verify adherence to State Archives' guidelines for density, resolution, targeting, and general quality. Testing is conducted by Filmtek, Bill Hulik, 144 Genesee Street, Suite 102-214, Auburn, NY 13021; phone, 315-255-0367. Applicants can use other third-party vendors for microfilm testing only if they have received permission from the State Archives to do so.

- 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. Indicate you arrived at any indexing rate you chose. 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.

- Provide quotes for imaging and microfilming that include per-image costs for conversion.

- For projects involving the creation of digital images, indicate how you will follow standards outlined in the State Archives' *Digital Imaging Guidelines* (2014).

- For projects with microfilming as a component, indicate how you will follow the guidance outlined in the State Archives' Publication #9, *Producing High-Quality Microfilm.*

- Indicate how you will follow the guidance outlined in Publication #77, *Managing Imaging and Micrographics Projects*. Applicants proposing to microfilm or scan court records must also indicate how they will adhere to all Unified Court System guidelines.

- Provide, in section 1b of the project narrative, a listing of each of the records series you plan to digitize or microfilm that includes the series titles, dates, number of images, retention periods and references to schedule items, size of paper, and information about the condition of the records (such as any damage, large quantities of fasteners, or paper that is difficult to manage, such as onionskin).

- 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 and how you will ensure that the master digital copy will be preserved and maintained for the full retention period of the record.

- If proposing to establish an in-house imaging operation, demonstrate how doing so will be more economical and efficient than outsourcing.

- If implementing a document management system, demonstrate your ability to implement and maintain the system long term. For example, discuss your ability to budget for systems maintenance, store image files, protect file integrity, and migrate images to the newer platforms and file formats when needed.

Geographic Information Systems (GIS)

- All applications for funding to implement a GIS must be for Shared Services projects.

- All applications must indicate how they will coordinate the development of the proposed GIS regionally with their respective county government or other regional 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 among local governments. Digitize these letters and upload them to your application in eGrants, using “GIS Letter of Acknowledgment” as the description for your attachment.

- Fully explain why your government needs a GIS and the specific GIS applications you request in your grant application.

- Specifically identify your own government’s geospatial 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, provide, in section 1b of the project narrative, a listing of all the records you plan to digitize or microfilm and include the series titles, dates, number of images, retention periods and references to schedule items, size of paper, and information about the condition of the records (such as any damage, large quantities of fasteners, or paper that is difficult to manage, such as onionskin).

- If imaging is a component of your GIS project, provide quotes for imaging that include per-image costs for conversion.

Records Systems

- Indicate in the grant application, when applicable, that source code for customized software developed with LGRMIF funds becomes the property of the local government by including a clause to that effect in any contract with a software designer.

- Agree to make any customized software code developed with LGRMIF funds available on request to other New York local governments for the cost of the storage media.

- Ensure that electronic records are maintained in open, non-proprietary formats except in rare cases when such formats do not exist.

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 do not need to submit three quotes if using a quote for off a state contract. If a service from a vendor on state contract is over $10,000, include your RFQ, the state contract number, and the detailed quote clearly delineating individual project costs. For more information on state contracts, contact

New York State Office of General Services
Corning Tower
37th Floor
Albany, NY 12242
518-474-6717

Preferred Vendors: You do not need to submit three quotes if using a quote 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 and the detailed quote clearly delineating individual project costs. For additional information on Preferred Vendors please visit the New York State Procurement Council's web site: http://ogs.ny.gov/bu/pc/

Sole-Source Vendors: You do not need to submit three quotes if using a quote 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, explain in the Project Narrative and Budget Narrative your attempts to find additional qualified 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 and the detailed quote clearly delineating individual project costs.

Following Local Government's Procurement Procedures (LGPR): You do not need 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 and the detailed quote clearly delineating individual project costs.

We encourage applicants to search for the best quality at the least cost. **If you do not choose the lowest quote identified on the Vendor Quote Form, you must provide substantial justification** for that decision in the budget narrative. Do not use an averaged quote in the budget.

SED Minority and Women-Owned Business Enterprise Participation Goals and Forms

Introduction

Article 15-A of the New York State Executive Law authorized the creation of an Office (now Division) of Minority and Women's Business Development to promote employment and business opportunities on state contracts for minorities and women. Under this statute, state agencies are charged with establishing employment and business participation goals for minorities and women.

The following SED Minority and Women-Owned Business Enterprise (M/WBE) requirements apply only when an applicant submits a LGRMIF application for funding that exceeds $25,000.

All LGRMIF applicants are now required to comply with SED's Minority and Women-Owned Business Enterprises (M/WBE) policy. Compliance can be achieved by one of the three methods described below. Full participation by meeting or exceeding the M/WBE participation goal for this grant is the preferred method.

M/WBE participation includes purchased services, supplies and materials purchased from minority and women-owned firms certified with the NYS Division of Minority and Women Business Development. Not-for-profit agencies are not eligible for this certification. For additional information and a directory of currently certified M/WBEs, see:

https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687

The participation goal for LGRMIF grants is 20% of the FS-20 grant project budget, exclusive of professional and support salaries and fringe benefits.

For multi-year Demonstration Project grants, applicants should use the total budget for the full multi-year term of the grant in the above calculation. M/WBE participation does not need to be the same for each year of a multi-year Demonstration Project grant.

The M/WBE Goal Calculation Worksheet is provided for use in calculating the dollar amount of the M/WBE goal for this application.

LGRMIF applicants should identify participating M/WBE firm(s) at the time of application submission. M/WBE form should be submitted to the State Archives Grants Administration Unit along with other required forms. If this can not be done, LGRMIF applicants will have thirty days from the date of notice of grant award to submit the necessary documents and respond satisfactorily to any follow-up questions from SED. Failure to do so may result in loss of funding.

Methods to Comply

LGRMIF applicants can comply with SED's M/WBE policy by one of the following three methods:

1. **Full Participation**. This is the preferred method of compliance. Full participation is achieved when an applicant meets or exceeds SED's 20% participation goal for the LGRMIF. Applicants must complete forms:

   M/WBE Goal Calculation Worksheet
   M/WBE Cover Letter
   M/WBE 100 Utilization Plan
   M/WBE 102 Notice of Intent to Participate
   EEO 100 Staffing Plan and Instructions

2. **Partial Participation, Partial Request for Waiver**. This is acceptable only if applicants are unable to achieve full participation, but can demonstrate and document a good faith effort to achieve full participation. Applicants must complete forms:

   M/WBE Goal Calculation Worksheet
   M/WBE Cover Letter
   M/WBE 100 Utilization Plan
   M/WBE 101 Request for Waiver
   M/WBE 102 Notice of Intend to Participate
   M/WBE 105 Contractor's (Applicant's) Good faith Efforts
   EEO 100 Staffing Plan and Instructions

3. **No participation, Request for Complete Waiver**. This is acceptable only if applicants are unable to achieve any participation, but can demonstrate and document a good faith effort to achieve full or partial participation. Applicants must complete forms:

   M/WBE Goal Calculation Worksheet
   M/WBE Cover Letter
   M/WBE 101 Request for Waiver
   M/WBE 105 Contractor's (Applicant's) Good Faith Efforts
   EEO 100 Staffing Plan and Instructions

Good Faith Efforts

Applicants must make a good faith effort to solicit NYS certified M/WBE firms as vendors, consultants, subcontractors and/or suppliers to achieve the goals of this grant. Solicitations may include, but are not limited to: advertisements in minority and women-centered publications, solicitation of minority and women-oriented trade and labor organizations, and solicitations of vendors found in the NYS Directory of Certified Minority and Women-Owned Business Enterprises (https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687). Good faith efforts include actions such as setting up meetings or announcements to make M/WBEs aware of vendor, consultant, subcontractor and/or supplier opportunities, identifying logical areas of the grant project that could be subcontracted to M/WBE firms, and utilizing all current lists of M/WBEs who are available for and may be interested subcontracting or supplying goods and/or services for the project.

LGRMIF applicants should document their efforts to comply with the stated M/WBE performance goals and submit this with the other required hard copy forms, as evidence of their good faith effort. If this can not be done, LGRMIF applicants will have thirty days from the date of notice of grant award to submit the necessary documents and respond satisfactorily to any follow-up questions from SED. Examples of acceptable documentation can be found in form M/WBE 105, Contractor's (Applicant's) Good Faith Efforts. SED reserves the right to reject any application for failure to document a "good faith effort."

Request for Waiver

When full participation can not be achieved, applicants must submit a Request for Waiver (M/WBE 101). Requests for Waivers must be accompanied by documentation explaining the good faith efforts made and the reasons they were unsuccessful in achieving M/WBE participation.

Submission of MWBE forms

Applicants should submit necessary MWBE forms, including the MWBE Checklist, along with other hard copy forms required under the LGRMIF, postmarked no later than March 3, 2014, to:

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

Applicants who are unable to submit the necessary M/WBE forms by the above date will have thirty days from the date of grant award notification to submit the necessary documents and respond satisfactorily to any follow-up questions from SED.

Grant Project Payments

LGRMIF grant recipients are required to report all payments to Minority and Women-Owned Business Enterprise subcontractor(s) to NYSED's M/WBE Program Unit using M/WBE 103 Quarterly M/WBE Compliance Report. This report must be submitted on a quarterly basis and can be found at www.oms.nysed.gov/fiscal/MWBE/forms.html.

Other

SED reserves the right to approve the addition or deletion of vendors, consultants, subcontractors and/or suppliers to enable applicants to comply with its M/WBE performance goals, provided such addition or deletion does not impact the technical proposal and/or increase the total budget.

SED's M/WBE Coordinator is available to assist applicants in meeting M/WBE goals. The Coordinator can be reached at mwbe@mail.nysed.gov.

M/WBE Documents Package (original signatures required) ☐ Full Participation ☐ Request Partial Waiver ☐ Request Total Waiver			
	Forms Required		
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
Calculation of M/WBE Goal Amount	☐	☐	N/A
M/WBE Purchases For Year One	☐	☐	N/A
M/WBE Cover Letter	☐	☐	☐
M/WBE 100 Utilization Plan	☐	☐	N/A
M/WBE 102 Notice of Intent to Participate	☐	☐	N/A
EEO 100 Staffing Plan and Instructions	☐	☐	☐
M/WBE 105 Contractor's Good Faith Efforts	N/A	☐	☐
M/WBE 101 Request for Waiver Form and Instructions	N/A	☐	☐

Calculation of M/WBE Goal Amount

Name of Grant Program: ____

Name of Applicant: ____

	Budget Category	**Amount budgeted for items excluded from M/WBE calculation**	**Totals**
1.	Total Budget		
2.	Professional Salaries		
3.	Support Staff Salaries		
4.	Fringe Benefits		
5.	Indirect Costs	Ineligible Expenditure Under the LGRMIF	
6.	Rent/Lease/Utilities*		
7.	Sum of lines 2, 3 ,4, 5 and 6		
8.	Line 1 minus Line 7		
9.	M/WBE Goal percentage (20%)		.20
10.	Line 8 multiplied by Line 9 =MWBE goal amount		

*If not included in indirect costs.

Calculation of M/WBE Goal Amount
(Sample)

Name of Grant Program: **LGRMIF**
Name of Applicant: **Town of Sample**

	Budget Category	Amount budgeted for items excluded from M/WBE calculation	Totals
11.	Total Budget		**$83,506**
12.	Professional Salaries	**$19,215**	
13.	Support Staff Salaries	**0**	
14.	Fringe Benefits	**0**	
15.	Indirect Costs	**0**	
16.	Rent/Lease/Utilities*	**0**	
17.	Sum of lines 2, 3 ,4, 5 and 6		**$19.215**
18.	Line 1 minus Line 7		**$64,291**
19.	M/WBE Goal percentage (20%)		.20
20.	Line 8 multiplied by Line 9 =MWBE goal amount		$**12,858**

*If not included in indirect costs.

M/WBE Purchases for Year One

New York State Education Department

(whole dollar figures only)

Name of Grant Program:___________________________________

Applicant/Bidder Name: ___________________________________

Name of Vendor	Type	Type of Services or Supplies	Cost
	☐ MBE ☐ WBE		
	☐ MBE ☐ WBE		
	☐ MBE ☐ WBE		
	☐ MBE ☐ WBE		
	☐ MBE ☐ WBE		
	☐ MBE ☐ WBE		
	☐ MBE ☐ WBE		
	☐ MBE ☐ WBE		
	☐ MBE ☐ WBE		

Total Year 1 M/WBE Expenses	
Year 1 M/WBE Goal	
Total Year 1 M/WBE Costs divided by Total Year 1 M/WBE Goal(%)	
Total Year 1 WBE Costs divided by Total Year 1 MWBE Goal	

M/WBE Purchases (3 Years)	**Year 1**	**Year 2**	**Year 3**	**Grand Total For 3 Years**
% M/WBE Purchases to Budget				

MWBE Cover Letter

Minority & Woman-Owned Business Enterprise Requirements

NAME OF GRANT PROGRAM ____
NAME OF APPLICANT ____

In accordance with the provisions of Article 15-A of the NYS Executive Law, 5 NYCRR Parts 140-144, Section 163 (6) of the NYS Finance Law and Executive Order #8 and in fulfillment of the New York State Education Department (NYSED) policies governing Equal Employment Opportunity and Minority and Women-Owned Business Enterprise (M/WBE) participation, it is the intention of the New York State Education Department to provide real and substantial opportunities for certified Minority and Women-Owned Business Enterprises on all State contracts. It is with this intention the NYSED has assigned M/WBE participation goals to this grant contract.

In an effort to promote and assist in the participation of certified M/WBEs as subcontractors and suppliers on this project for the provision of services and materials, the applicant is required to comply with NYSED's participation goals through one of the three methods below. Please indicate which one of the following is included with the M/WBE Documents Submission.

- ☐ Full Participation – No Request for Waiver (PREFERRED)
- ☐ Partial Participation – Partial Request for Waiver
- ☐ No Participation – Request for Complete Waiver

By my signature on this Cover Letter, I certify that I am authorized to bind the Bidder's firm contractually.
Typed or Printed Name of Authorized Representative of the Firm
Typed or Printed Title/Position of Authorized Representative of the Firm
Signature/Date

M/WBE UTILIZATION PLAN

INSTRUCTIONS: All bidders submitting responses to this procurement must complete this M/WBE Utilization Plan unless requesting a total waiver and submit it as part of their proposal. The plan must contain detailed description of the services to be provided by each Minority and/or Women-Owned Business Enterprise (M/WBE) identified by the bidder.

Bidder's Name	___________________________	Telephone:	___________________________
Address	___________________________	Federal ID No.:	___________________________
City, State, Zip	___________________________	RFP No.:	___________________________

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Annual Dollar Value of Subcontracts/Supplies/Services
NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No.	NYS ESD Certified MBE ______ WBE ______ ☐ For Profit ☐ Not –For-Profit		$ ______________
NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No.	NYS ESD Certified MBE ______ WBE ______ ☐ For Profit ☐ Not –For-Profit		$ ______________

PREPARED BY (Signature) ____DATE__________________________

SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-1, 5 NYCRR PART 143 AND THE ABOVE REFERENCE SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL DISQUALIFICATION.

NAME AND TITLE OF PREPARER: _____________________________________
(*print or type*)
TELEPHONE/E-MAIL _____________________________________

DATE _____________________________________

REVIEWED BY ________________________ DATE __________

UTILIZATION PLAN APPROVED YES/NO DATE __________

NOTICE OF DEFICIENCY ISSUED YES/NO DATE __________

NOTICE OF ACCEPTANCE ISSUED YES/NO DATE __________

M/WBE 100

M/WBE SUBCONTRACTORS AND SUPPLIERS
NOTICE OF INTENT TO PARTICIPATE

INSTRUCTIONS: Part A of this form must be completed and signed by the Bidder/Contractor unless requesting a total waiver. Parts B & C of this form must be completed by MBE and/or WBE subcontractors/suppliers. The bidder/contractor must submit a separate M/WBE Notice of Intent to Participate form for each MBE or WBE as part of the proposal.

Bidder Name: ____ Federal ID No.: ____________________________________

Address: ____ Phone No.: ____

City_____________________________________ State_______ Zip Code_________________ E-mail: ____

____ ____

Signature of Authorized Representative of Bidder's Firm Print or Type Name and Title of Authorized Representative of Bidder's Firm

Date: ________________

PART B - THE UNDERSIGNED INTENDS TO PROVIDE SERVICES OR SUPPLIES IN CONNECTION WITH THE ABOVE PROCUREMENT:

Name of M/WBE: ____ Federal ID No.: _______________________

Address: ____ Phone No.: __________________________

City, State, Zip Code ____ E-mail: ______________________________

BRIEF DESCRIPTION OF SERVICES OR SUPPLIES TO BE PERFORMED BY MBE OR WBE:

DESIGNATION: ____MBE Subcontractor ____WBE Subcontractor ____ MBE Supplier ____WBE Supplier

PART C - CERTIFICATION STATUS (CHECK ONE):

_____ The undersigned is a certified M/WBE by the New York State Division of Minority and Women-Owned Business Development (MWBD).

______ The undersigned has applied to New York State's Division of Minority and Women-Owned Business Development (MWBD) for M/WBE certification.

THE UNDERSIGNED IS PREPARED TO PROVIDE SERVICES OR SUPPLIES AS DESCRIBED ABOVE AND WILL ENTER INTO A FORMAL AGREEMENT WITH THE BIDDER CONDITIONED UPON THE BIDDER'S EXECUTION OF A CONTRACT WITH THE NEW YORK STATE EDUCATION DEPARTMENT.

The estimated dollar amount of the agreement $___________ ____

Signature of Authorized Representative of M/WBE Firm

______________________ ____

Date Printed or Typed Name and Title of Authorized Representative

EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN

Bidder Name: ______________________ Telephone: ______________________

Address: ______________________ Federal ID No.: ______________________

City, State, ZIP: ______________________ RFP No: ______________________

Report includes: Reporting Entity:

☐ Work force to be utilized on this contract ☐ Contractor

☐ Contractor/Subcontractor's total work force ☐ Subcontractor - Name: ______________________

Enter the total number of employees in each classification in each of the EEO-Job Categories identified.

EEO - Job Categories	Total Work Force	Hispanic or Latino		Male															
		Male	Female	White	African-American or Black	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran	White	African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran
Executive/Senior Level Officials and Managers																			
First/Mid-Level Officials and Managers																			
Professionals																			
Technicians																			
Sales Workers																			
Administrative Support Workers																			
Craft Workers																			
Operatives																			
Laborers and Helpers																			
Service Workers																			
TOTAL																			

PREPARED BY (*Signature*): ______________________ DATE: ______________________

NAME AND TITLE OF PREPARER: ______________________ TELEPHONE/EMAIL: ______________________

(print or type)

EE0 100

STAFFING PLAN INSTRUCTIONS

General Instructions: All Bidders and each subcontractor identified in the bid or proposal must complete an EEO Staffing Plan (EEO 100) and submit it as part of the bid or proposal package. Where the work force to be utilized in the performance of the State contract can be separated out from the contractor's or subcontractor's total work force, the Bidder shall complete this form only for the anticipated work force to be utilized on the State contract. Where the work force to be utilized in the performance of the State contract cannot be separated out from the contractor's or subcontractor's total work force, the Bidder shall complete this form for the contractor's or subcontractor's total work force.

Instructions for Completing:

1. Enter the RFP number that this report applies to, along with the name, address, and federal ID number of the Bidder.
2. Check off the appropriate box to indicate if the work force being reported is just for the contract or the Bidder's total work force.
3. Check off the appropriate box to indicate if the Bidder completing the report is the contractor or subcontractor.
4. Enter the total work force by EEO job category.
5. Break down the total work force by gender and race/ethnic background and enter under the heading Race/Ethnicity. Contact the Designated Contact(s) for the solicitation if you have any questions.
6. Enter the name, title, phone number and/or email address for the person completing the form. Sign and date the form in designated areas.

RACE/ETHNIC IDENTIFICATION

For purposes of this form NYSED will accept the definitions of race/ethnic designations used by the federal Equal Employment Opportunity Commission (EEOC), as those definitions are described below or amended hereafter. (Be advised these terms may be defined differently for other purposes under NYS statutory, regulatory, or case law). Race/ethnic designations as used by the EEOC do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. The race/ethnic categories for this survey are:

- **Hispanic or Latino** - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.
- **White (Not Hispanic or Latino)** - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- **Black or African American (Not Hispanic or Latino)** - A person having origins in any of the black racial groups of Africa.
- **Native Hawaiian or Other Pacific Islander (Not Hispanic or Latino)** - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- **Asian (Not Hispanic or Latino)** - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- **American Indian or Alaska Native (Not Hispanic or Latino)** - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.
- **Two or More Races (Not Hispanic or Latino)** - All persons who identify with more than one of the above five races.
- **Disabled** - Any person who has a physical or mental impairment that substantially limits one or more major life activity; has a record of such an impairment; or is regarded as having such an impairment
- **Vietnam Era Veteran** - a veteran who served at any time between and including January 1, 1963 and May 7, 1975.

EEO 100

5 NYCRR 142.8 CONTRACTOR'S GOOD FAITH EFFORTS

a) The contractor must document its good faith efforts toward meeting certified minority- and women-owned business enterprise utilization plans by providing, at a minimum:

1) Copies of its solicitations of certified minority- and women-owned business enterprises and any responses thereto;
2) If responses to the contractor's solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific reasons that such enterprise was not selected;
3) Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circulation, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;
4) Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;
5) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-owned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of fulfilling the contract participation goals;
6) Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and women-owned business enterprises.

b) In addition to the information provided by the contractor in paragraph (a) above, the State agency may also consider the following to determine whether the contractor has demonstrated good faith efforts:

1) whether the contractor submitted an alternative utilization plan consistent with the subcontract or supplier opportunities in the contract;
2) the number of certified minority- and women-owned business enterprises in the region listed in the directory of certified businesses that could, in the judgment of the State agency, perform work required by the State contract scope of work;
3) The actions taken by the contractor to contact and assess the ability of certified minority- and women-owned business enterprises located outside of the region in which the State contract scope of work is to be performed to participate on the State contract;
4) whether the contractor provided relevant plans, specifications or terms and conditions to certified minority- and women-owned business enterprises sufficiently in advance to enable them to prepare an informed response to a contractor request for participation as a subcontractor or supplier;
5) the terms and conditions of any subcontract or provision of suppliers offered to certified minority- or women-owned business enterprises and a comparison of such terms and conditions with those offered in the ordinary course of the contractor's business and to other subcontractors or suppliers of the contractor;
6) whether the contractor offered to make up any inability to comply with the certified minority- and women-owned business enterprises goals in the subject State contract in other State contracts being performed or awarded to the contractor; and
7) any other information that is relevant or appropriate to determining whether the contractor has demonstrated a good faith effort.

M/WBE CONTRACTOR GOOD FAITH EFFORTS CERTIFICATION

GRANT PROJECT/CONTRACT #________________

I, ____
(Contractor/Vendor)

____ of ____________________________________
(Title) (Company)

____ ( )________________
(Address) (Telephone Number)

do hereby submit the following as evidence of our good faith efforts to retain certified minority- and women-owned business enterprises:

(1) Copies of its solicitations of certified minority- and women-owned business enterprises and any responses thereto;

(2) If responses to the contractor's solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific reasons that such enterprise was not selected;

(3) Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circulation, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;

(4) Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;

(5) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-owned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of fulfilling the contract participation goals;

(6) Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and women-owned business enterprises.

(7) Describe any other action undertaken by the bidder to document its good faith efforts to retain certified minority - and women- owned business enterprises for this procurement.

Submit additional pages as needed.

____
Authorized Representative Signature

____
Date

M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION

RFP#/PROJECT NAME____

I, ____ ______________________ ____
(Authorized Representative) (Title) (Bidder's Company)

____ (   )___________________________________
(Address) (Phone)

I certify that the following New York State Certified Minority/Women Business Enterprises were contacted to obtain a quote for work to be performed on the abovementioned project/contract.

List of date, name of M/WBE firm, telephone/e-mail address of M/WBEs contacted, type of work requested, estimated budgeted amount for each quote requested.

	DATE	M/WBE NAME	PHONE/EMAIL	TYPE OF WORK	ESTIMATED BUDGET	REASON
1.						
2.						
3.						
4.						
5.						

To the best of my knowledge and belief, said New York State Certified Minority/Women Business Enterprise contractor(s) was/were not selected, unavailable for work on this project, or unable to provide a quote for the following reasons: Please check appropriate reasons given by each MBE/WBE firm contacted above.)

_______**A.** Did not have the capability to perform the work
_______**B**. Contract too small
_______**C.** Remote location
_______**D.** Received solicitation notices too late
_______**E.** Did not want to work with this contractor
_______**F.** Other (give reason) ____

____ __________________ ____

Authorized Representative Signature **Date** **Print Name**

REQUEST FOR WAIVER FORM

BIDDER/CONTRACTOR NAME:	**TELEPHONE:** **EMAIL:**
ADDRESS:	**FEDERAL ID NO.:**
CITY, STATE, ZIPCODE:	**RFP#/CONTRACT NO.:**

INSTRUCTIONS: By submitting this form and the required information, the bidder/contractor certifies that Good Faith Efforts have been taken to promote M/WBE participation pursuant to the M/WBE goals set forth under this RFP/Contract.
Please see Page 2 for additional requirements and document submission instructions.

BIDDER/CONTRACTOR IS REQUESTING (check all that apply):

☐ **MBE Waiver** - A waiver of the MBE goal for this procurement is requested. ☐ **Total** ☐ **Partial _______%**	☐ **WBE Waiver** - A waiver of the WBE goal for this procurement is requested. ☐ **Total** ☐ **Partial _______%**

☐ **Waiver Pending ESD Certification**
(check here if subcontractor or supplier is not certified M/WBE, but an application for certification has been filed with Empire State Development)

Subcontractor/Supplier Name: ____ Date of application filing: _________________________________

PREPARED BY (*Signature*): ____ DATE: _______________________________

SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/CONTRACTOR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL DISQUALIFICATION.

NAME OF PREPARER:	**FOR AUTHORIZED USE ONLY**
TITLE OF PREPARER: TELEPHONE: EMAIL:	REVIEWED BY: ______________________________________ DATE:____________________________ **WAIVER GRANTED** ☐ **YES** ☐ **NO** ☐ TOTAL WAIVER ☐ PARTIAL WAIVER ☐ ESD CERTIFICATION WAIVER ☐ NOTICE OF DEFICIENCY ☐ CONDITIONAL WAIVER COMMENTS: DATE:_______________

REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

When completing the Request for Waiver Form, please check all boxes that apply. To be considered, the Request for Waiver Form must be accompanied by documentation for items 1-11, as listed below. If a Waiver Pending ESD Certification is requested, please see Item 11 below. Copies of the following information and all relevant supporting documentation must be submitted along with the request.

1. A statement setting forth your basis for requesting a partial or total waiver.

2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals.

3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.

4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.

5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.

6. Provide copies of responses made by certified M/WBEs to your solicitations.

7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and thedate and manner in which these documents were made available.

8. Provide documentation of any negotiations between you, the Bidder/Contractor, and the M/WBEs undertaken for purposes of complying with the certified M/WBE participations goals.

9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.

10. Provide the name, title, address, telephone number and email address of the Bidder/Contractor's representative authorized to discuss and negotiate thiswaiver request.

11. Copy of notice of application receipt issued by Empire State Development (ESD).

NOTE: Unless a Total Waiver has been granted, Bidder/Contractor will be required to submit all reports and documents pursuant to the provisions set forth in the procurement and/or contract, as deemed appropriate by NYSED, to determine M/WBE compliance.

Table of Cubic-Foot Equivalents

File Drawers	Cubic Feet	Records Storage Containers	Cubic Feet
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 Feet**	**Shelf Units**	**Cubic Feet**
Letter, 36" long	2.4	Legal, 36" long	3.0
Map Drawers	**Cubic Feet**	**Map Tubes**	**Cubic Feet**
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 New York State Archives 55 Hanson Place, Suite 584B Brooklyn, New York 11217 Phone 718-722-2633 Fax 718-923-4302 **Lorraine Hill** **Interim Regional Advisory Officer** lhillcam@mail.nysed.gov	**REGION 3** New York State Archives Cultural Education Center, Room 9 A47 Albany, NY 12230 Phone 518-486-4823 **Maria McCashion** **Interim Regional Advisory Officer** *(Covering Albany, Rensselaer, and Schoharie counties)* **Linda Bull** **Interim Regional Advisory Officer** *(Covering Columbia, Greene, Sullivan, and Ulster counties)*	**REGION 4** New York State Archives Cultural Education Center, Room 9 A47 Albany, NY 12230 Phone 518-486-4823 **Maria McCashion** **Interim Regional Advisory Officer** MMCCASHI@MAIL.NYSED.GOV
REGION 5 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	**REGION 6** 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	**REGION 7** **R. Kent Stuetz** **Interim Regional Advisory Officer** *(Covering Cayuga, Seneca and Wayne counties)* **Gail A. Fischer** **Interim Regional Advisory Officer** *(Covering Livingston, Monroe, and Ontario counties)* **Suzanne Etherington** **Interim Regional Advisory Officer** *(Covering Steuben and Yates counties)*
REGION 8 Mahoney State Office Building 65 Court Street, Room 313 Buffalo, NY 14202 Phone 716-847-7903 Fax 716-847-7905 **Gail A. Fischer** **Regional Advisory Officer** gfischer@mail.nysed.gov	**REGION 9** Eleanor Roosevelt State Office Bldg. Suite 308 4 Burnett Blvd. 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 Hauppauge, NY 11788-5501 Phone 631-952-6864 Fax 631-952-6867 **Lorraine Hill** **Regional Advisory Officer** lhillcam@mail.nysed.gov