



*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
2015–2016

Application Deadline
2 March 2015

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



THE UNIVERSITY OF THE STATE OF NEW YORK

Regents of The University

MERRYL H. TISCH, <i>Chancellor</i> , B.A., M.A., Ed.D.	New York
ANTHONY S. BOTTAR, <i>Vice Chancellor</i> , B.A., J.D.	Syracuse
ROBERT M. BENNETT, <i>Chancellor Emeritus</i> , B.A., M.S.	Tonawanda
JAMES C. DAWSON, A.A., B.A., M.S., Ph.D.	Plattsburgh
HARRY PHILLIPS, 3rd, B.A., M.S.F.S.	Hartsdale
JAMES R. TALLON, JR., B.A., M.A.	Binghamton
ROGER TILLES, B.A., J.D.	Great Neck
CHARLES R. BENDIT, B.A.	Manhattan
BETTY A. ROSA, B.A., M.S. in Ed., M.S. in Ed., M.Ed., Ed.D.	Bronx
LESTER W. YOUNG, JR., B.S., M.S., Ed. D.	Oakland Gardens
CHRISTINE D. CEA, B.A., M.A., Ph.D.	Staten Island
WADE S. NORWOOD, B.A.	Rochester
KATHLEEN M. CASHIN, B.S., M.S., Ed.D.	Brooklyn
JAMES E. COTTRELL, B.S., M.D.	New York
T. ANDREW BROWN, B.A., J.D.	Rochester
JOSEPHINE VICTORIA FINN, B.A., J.D.	Monticello

Acting Commissioner of Education

ELIZABETH R. BERLIN

Deputy Commissioner, Cultural Education

JEFFREY W. CANNELL

Assistant Commissioner, New York State Archives

THOMAS J. RULLER, INTERIM

Director of Operations, New York State Archives

KATHLEEN ROE

The State Education Department does not discriminate on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender, genetic predisposition or carrier status, or sexual orientation in its educational programs, services and activities. Portions of this publication can be made available in a variety of formats, including braille, large print or audio tape, upon request. Inquiries concerning this policy of nondiscrimination should be directed to the Department's Office for Diversity and Access, Room 530, Education Building, Albany, NY 12234.

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.

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@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 cob 15 February 2015 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@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."

LGRMIF applicants requesting in excess of \$25,000 are required to comply with SED's Minority and Women-Owned Business Enterprises (M/WBE) policy. Compliance can be achieved by one of the following four methods: full participation, partial participation (partial request for a waiver), or no participation (full request for a waiver). Full participation by meeting or exceeding the M/WBE participation goal for this grant is the preferred method. Additional information and M/WBE forms are contained under the Procurement section.

Summary of Major Changes for 2015-2016

- Demonstration projects will now receive up to \$1.5 million, an increase of \$500,000 from the amount available last year.
- Applications will now be reviewed by grant type (Individual, Shared Services, Demonstration), rather than project category.
- Increased the eligible activities under demonstration grants:
 - Development of electronic records policies and procedures to meet local government needs in terms of types of electronic records and government size.
 - Development of best-practice processes and methodologies to migrate born-digital records directly to electronic document systems (including electronic report management or ERM) rather than printing then digitizing what were originally digital records.
- Geographic Information Systems and Records Systems have been folded into the Document Conversion and Access project category.
- The Intended Results section of the application narrative is now worth up to twenty points, while the statement of the problem section is now worth up to 15 points.
- The eight-page FS-10 project budget form has replaced the FS-20 budget summary form.
- Added a section on Procurement, which includes Preferred Source and Minority and Women-Owned Business Enterprise (M/WBE).
- Applicants applying for a LGRMIF grant that includes document imaging services should contact the New York State Industries for the Disabled (NYSID) when seeking quotes for this service to determine if NYSID and its Associate Members can meet the form, function, and utility required for the proposed project.
- Applicants requesting in excess of \$25,000 and proposing to use a Preferred Source vendor should request either a partial or total waiver from SED's M/WBE requirements. The waiver should cite the requirement under the New York State Finance Law, Section 162, to use a preferred source and, where applicable, the applicant's local procurement policies.
- The M/WBE Goal Calculation Worksheet has been updated to factor in the use of a Preferred Source vendor.

- DORIS, as the administrator of LGRMIF grants to the City of New York, shall provide the State Archives with a listing of projects proposed by New York City departments in priority order, including the amount requested for each project.
- Local governments that have had a change in their Chief Administrative Officer (CAO) are encouraged to submit a completed Standard Data Capture Form (SDCF) prior to submitting an application. This will ensure that the correct individual appears on each application. Local government should email a completed SDCF to the State Archives, Grants Administration Unit at Archgrants@nysed.gov.
- Volunteer fire companies and volunteer ambulance services, as defined in section 100 of the General Municipal Law, are now eligible to apply for LGRMIF grants.

Timetable for 2015-2016 Grants Projects

15 Feb 2015	Questions that have not already been addressed in this guide or through the frequently asked questions (FAQs) must be submitted to Archgrants@nysed.gov before 5:00 pm on this date.
20 Feb 2015	Registration forms requesting new eGrants user accounts must be submitted before 5:00 pm on this date.
2 Mar 2015	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.
26 June 2015	Scheduled date to email notification letters to all applicants.
1 July 2015	Grants projects may start contingent on final approval from the Office of the State Comptroller.
27 July 2015	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 June 2016	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 2016	All work on grants projects must be completed.
31 July 2016	Final Reports must be submitted electronically and form FS-10-F, Final Expenditure Report, must be postmarked by this date.

Eligibility Requirements

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

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

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

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

Public Benefit Corporations

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

Community Colleges

A community college sponsored by 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; they must meet the above eligibility requirements.

Pursuant to Chapter 508 of the Laws of 2014 volunteer fire companies and volunteer ambulance services are eligible to apply for LGRMIF grants. As they are not local governments under the Local Government Records Law they are not subject to the above eligibility requirements. As not-for-profit entities they are, though, required to register in the New York State Grants Gateway, <http://www.grantsreform.ny.gov/>, and to complete the Vendor Prequalification process in order for their LGRMIF grant applications to be evaluated. Additional information on the prequalification process is available below and at the end of this document.

Types of activities

- 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 activities

- 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.
- Developing and/or implementing systems to ingest electronic records into the archival records management system, standards for digital file conversions, standards for descriptive metadata, verify the accuracy of document conversions and of metadata, manage security, to make archival electronic records accessible, and to back up these records.

Category Requirements

For all activities

- Provide a detailed list of each records series involved in the project, including records series title, inclusive dates, quantity, and condition of records.
- 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 activities 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 activities

- 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 activities

- 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.