New York State Education Department

# DOCUMENTARY HERITAGE PROGRAM


# Grant Application Guidelines
# 2010-2011

Documentary Heritage Program
New York State Archives
9C71 Cultural Education Center
Albany, NY 12230
518-474-6926
www.archives.nysed.gov

**November 2009**

# Table of Contents

*Section I*

# DHP Grant Application Information

2010-2011

# Introduction

The Documentary Heritage Program (DHP) is a statewide program established by law <www.archives.nysed.gov/a/records/mr_laws_el140.shtml> to provide financial support and guidance to not-for-profit organizations including, but not limited to, archives, libraries, historical societies, museums, and other organizations that hold, collect and make available historical records. The New York State Education Department's (NYSED) 2010-2011 appropriation for DHP is $461,000. This includes $369,000 for Regional Services and $92,000 for DHP Grants. DHP grants are designed to encourage more comprehensive documentation of New York State's history and culture by supporting projects that identify, survey, collect, and make available important records relating to groups and topics traditionally under-represented in the historical record. DHP is administered by the New York State Archives, a unit of the NYSED.

For further information, contact:

Pamela Cooley
Documentary Heritage Program, New York State Archives
9C71 Cultural Education Center
Albany, NY 12230
Phone: 518-474-6926 Email: dhs@mail.nysed.gov

*We suggest that you review the entire booklet before beginning work on your application. The mailing address for completed applications is provided on page 49.*

# Timetable for DHP Grant Projects

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| **October -December, 2009** | Regional grant application information sessions held, for details contact the DHP Regional Archivist for your county (See Resource I, pages 16-17). |
| **Friday, January 15, 2010** | All questions about proposed DHP Grants received by this date; generally relevant questions and their answers will be posted to the NYSA website at <www.archives.nysed.gov/a/grants/grants_dhp_faq.shtml> |
| **Monday, February 1, 2010** | **Grant application due date; applications must be postmarked by this date** |
| **Wednesday, June 30, 2010** | **Tentative** date for notification of grant awards mailed to successful applicants |

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| **Thursday, July 1, 2010** | Grant projects may start (pending approval by NYS Office of State Comptroller) |
| **Friday, January 14, 2011** | Midterm report due |
| **Thursday, June 30, 2011** | All work on grant projects must be completed |
| **Monday, August 1, 2011** | Final narrative and expenditure reports are due |

# Range of Grant Amounts

A total of $100,000 is expected to be available for grant projects; grants will be available in amounts up to $25,000.

# Changes for 2010-2011

- The Outcome and Evaluation section of the application has been revised. An explanation of these revisions and instructive narrative writing samples can be found in Section II of the Grant Application Narrative Form Instructions (pages 41-45) and in the Resource Document entitled, *Outcomes and Evaluation: Samples to Use When Formatting and Writing your Section II Narrative* (pages 24-27).

- All applicants must clearly demonstrate adherence to archival standards and best practices. For **Documentation** projects, an example of a MARC record can be found on page 19. For **Arrangement & Description** projects, applicants can also refer to a Finding Aid Template (pages 20-21) and updated definitions of "Arrangement" and "Description" (page 7).

- For all applicants, publicizing your project is strongly encouraged. More information about this can be found on pages page 14.

- The maximum allowable number of pages in your Grant Project Narrative has been reduced from ten to seven pages.

- Your organization's mission statement is now a required attachment. Further explanation can be found on page 47.

- For all **Documentation** project applications, grantees are expected to plan for, and implement, the eventual placement of the valuable historical records identified and surveyed during the project in an appropriate historical records repository. Further information can be found in Section 1, Grant Project Type, Documentation (see page 6).

- For all **Arrangement & Description** project applications, a sample finding aid, created by your repository or by your project's Archival Consultant, must be provided (see page 43).

If you have questions about any of these changes, please contact the DHP office.

# Eligibility

**Not-for-profit organizations**
Eligible applicants include not-for-profit community organizations, archives, libraries, historical societies, and similar institutions within New York State and consortia or partnerships of such agencies. Also eligible are service providers such as historical service agencies, colleges and universities, professional associations, or other not-for-profit institutions or systems that provide services to historical records programs.

Institutions are eligible for grants only if they certify that they are:

- Chartered by the Board of Regents of the State of New York; or
- Accepted by the Board of Regents for filing under the not-for-profit section (216) of the Education Law; or
- Registered with the Office of Charities of the New York State Department of State; or
- Granted not-for-profit status under section 501(c)(3) of the United States Internal Revenue Code; or
- Are part of an institution previously approved, in accordance with the Education Law, Section 6401, to receive Aid to Independent Colleges and Universities ("Bundy Aid").

A copy of the document proving certification of not-for-profit status must be included with this application.

**SUNY/CUNY institutions**
SUNY/CUNY institutions are eligible with certain restrictions and should contact the DHP office for guidance.

**Religious Institutions**
Religious institutions with a religious affiliation should contact the DHP office to discuss general eligibility and whether the specific records involved in the project are eligible for funding.

All applicants must read the *Vendor Responsibility Statement* in Resource VII, page 28. If a partnership or consortium is applying for a grant, applicants must contact the DHP office for guidance.

# Grant Project Types

DHP supports three types of projects. They are: Documentation, Arrangement & Description, and Archival Needs Assessment. Applicants who intend to request funding for a project which combines Documentation with Arrangement & Description must contact DHP staff.

## Documentation

The purpose of a documentation project is to identify and ensure the systematic preservation of papers and records not currently in historical records repositories that provide information on the people, groups, events or changing political, economic or social conditions of New York State.

The ultimate goal of a documentation project is to contribute to building a comprehensive and equitable historical record that makes unique original source materials available to researchers and citizens. These materials enable us to better understand the present and to plan more intelligently for the future.

A documentation project typically consists of three phases - planning, surveying, and collecting – and usually takes at least two years to complete. It is strongly suggested that institutions interested in conducting documentation projects divide the work into at least two phases, beginning with planning. The following describes the three phases and the work each typically entails:

Phase One: **Planning**
- Identify and assign project personnel and/or any consultants.
- Define the chosen topic and become familiar with its history.
- Establish an advisory committee that includes people who are knowledgeable about the topic, its current dynamics and history, and about archives. (When working with under-documented population groups it is critical to the success of the project to include members of the community familiar with the group’s history and culture.)
- Develop a contact list that identifies individuals and organizations that are or have been involved in the topic being documented and are likely to have created records.
- Develop and the test a survey instrument to gather significant details about the groups of records held by individuals or organizations.
- Begin planning for the eventual placement of the valuable historical records surveyed in this project in an appropriate repository.
- Publicize your documentation effort.
- Create a work plan for Phase Two.

Phase Two: **Surveying**:
- Conduct the survey and assess the results.
- Using the standard archival format known as MARC (MAchine Readable Cataloging), write archival descriptions of the groups of records identified. If you have questions about the MARC format, contact the DHP office.
- Identify and develop a relationship with an appropriate repository in which the valuable historic records surveyed in this Phase will eventually be transferred.
- Publicize your documentation effort.

Phase Three: **Collecting**
- Working with the selected repository, determine which records to save (appraisal)
- Donate or transfer records to the repository
- Electronic versions of the MARC records written in Phase 2 must be made available to the public on the Internet, or through the State Archives' HDI (Historic Documents Inventory). If you have questions about HDI, contact the DHP office.
- Publicize the documentation effort.

If you feel this outline does not fit your proposed project, please contact the DHP office.

The New York State Archives has published *Documentation Basics: A Guide to Planning and Managing Documentation Projects* (Pub #79) which offers detailed guidance in carrying out a documentation project. It is available on the New York State Archives website <www.archives.nysed.gov/a/records/mr_pub79.pdf>. If you have questions about your Documentation project please contact the DHP office or your DHP regional archivist for assistance.

**Requirements**

- A Cost Share of at least 20% of the Total Project Cost (total DHP grant funds plus Total Cost Sharing contribution) is required for Documentation projects. All cost share contributions **must directly support** project activities and outcomes. See the Instructions for the Cost Share Form on page 78 for more information.

- All descriptive work (typically the MARC records created in the second phase of the Documentation project) must conform to archival standards. If you have questions about MARC records, view the sample MARC record in Resource III, page 19, and/or contact the DHP office.

- In all three phases, grant recipients must publicize their Documentation project and should use the DHP credit line provided on page 14 in all publicity material relating to the project.

## Arrangement & Description

Arrangement and description are the processes used to gain physical and intellectual control over materials held in historic records repositories. **Arrangement** is the process of organizing materials with respect to their provenance and original order, to protect their context and to achieve physical and/or intellectual control over the materials. **Description** is the creation of an accurate representation of a unit of archival material by the process of capturing, collating, analyzing, and organizing information that serves to identify archival material and explain the context and records system(s) that produced it. The objective of archival description is the creation of access tools that assist users in discovering desired records.

Since it is required that all access tools created as a result of the project must meet archival standards, applicants are encouraged to work with the DHP office in developing the records access components of the grant application. See “Requirements” below for further information.

Applications are also invited for what are called informally “circuit rider” projects. “Circuit rider” projects involve hiring an experienced archivist with expertise in arrangement and description who will work with several community organizations or repositories that have high priority historical records.

**Requirements**

- A Cost Share of at least 50% of the Total Project Cost (total DHP grant funds requested plus Total Cost Sharing contribution) is required for Arrangement & Description projects. All cost share contributions **must directly support** project activities and outcomes. See the Instructions for the Cost Share Form on page 78 for more information.

- The records in an Arrangement & Description project must be held in a historical records repository or be transferred to a historical records repository by the end of the project. The records should fit within the repository's Collection Policy.

- The records in an Arrangement & Description project should be rich in content, have high research value, and be of historical significance within New York State.

- Arrangement & Description projects must result in access tools which conform to archival standards. These tools include a MARC record and a finding aid. If you have questions about these access tools, contact the DHP office. A sample MARC record and a template for a finding aid which conforms to archival standards can be found in Resources III and IV, pages 19-21. The Archivists' Toolkit (AT) is an additional resource for description standards. It is an open source archival data management system available free at <www.archiviststoolkit.org/>. Among the main goals of the AT are to support archival processing and production of access instruments, and to promote data standardization.

- Electronic versions of the MARC records created in Arrangement & Description projects must be accessible through the repository's website, an online catalog, or the State Archives' HDI (Historic Documents Inventory).If you have questions about HDI, contact the DHP office. Finding Aids created in Arrangement & Description projects should be accessible electronically as well, providing the repository has the capacity to do this.

- Grant recipients should publicize their Arrangement & Description project and should use the DHP credit line provided on page14 in all publicity material relating to the project.

## Archival Needs Assessment

Historical records repositories undertake needs assessments to evaluate and plan for archival program development. As a result, a comprehensive needs assessment, carried out by an experienced archivist, will pinpoint problems, recommend solutions, set priorities, and guide the development of archival activity.

Generally, most historical records repository needs assessments can be accomplished through a self-study using the guidelines found in the State Archives' *Archival Needs Assessment Guidelines and Template* (Pub. #59). This publication offers detailed guidance in carrying out a needs assessment and is available at <www.archives.nysed.gov/a/records/mr_pub59.pdf>.

Repositories can also request an individual needs assessment consultation from a DHP Regional Service provider. See Resource I, pages 16-17 for a listing of the nine Regional Service providers. All applicants for DHP Archival Needs Assessment projects must have had an initial needs assessment for their repository from a DHP Service Provider and be able to demonstrate that further assistance, above and beyond that assessment, is necessary.

**Requirements**

- A Cost Share of at least 50% of the Total Project Cost (total DHP grant funds requested plus Total Cost Sharing contribution) is required for Archival Needs Assessment projects. All cost share contributions **must directly support** project activities and outcomes. See the Cost Share Form Instructions on page78 for more information.

- Only historical records repositories which collect records of historical significance within New York State are eligible or Archival Needs Assessment funding.
- Only projects that demonstrate the need for extensive evaluation by a professional archivist are eligible for Archival Needs Assessment funding.
- The DHP Regional Archivist's initial needs assessment report must be included in the Archival Needs Assessment grant application package.
- Archival Needs Assessment projects may not address preservation or conservation needs.
- Grant recipients should publicize their Archival Needs Assessment project and should use the DHP credit line provided on page 14 in all publicity material relating to the project.

# Ineligible Projects

Several types of projects are not eligible for funding under the DHP. Six of these are described below. When there is doubt as to eligibility, contacting the DHP office is advisable.

*Non-New York State focus*

Projects that do *not* demonstrate a primary New York State focus will not be considered for funding. This includes documenting organizations based in New York but whose primary focus is regional, national, or international.

*Digitization*

The DHP does not support projects to create digital records. However, the documentation and arrangement & description of existing digital material are eligible for consideration.

*Item-level description and indexing*

The DHP does not support projects that involve either the item-level description or the indexing of historical records.

*Oral history and videotaping*

The DHP does not support projects to create oral history audio or video recordings, or to transcribe oral history recordings. However, the documentation and processing of such materials are eligible for consideration.

*Newspapers*

Since newspapers are not considered historical records within the DHP law, DHP supports projects that include *only modest* quantities of newspaper scrapbooks or clipping files as part of a broader collection of historical records.

*Preservation*

The DHP does not fund preservation (i.e. physical work to conserve, restore or repair records; or to microfilm, digitize, or otherwise reproduce records primarily for preservation purposes).However, the New York State Library's Conservation/Preservation Program provides support for libraries and other organizations to encourage the proper care and accessibility of research materials, to promote the use and development of standards for conservation/preservation work, and to support the growth of local and cooperative preservation activities. If your institution could benefit from any of these activities, visit the New York State Library's website <www.nysl.nysed.gov/libdev/cp/> or contact grants officer Barbara Lilley (518-486-4864).

*Projects of applicants who have not submitted required reports for previous DHP grants*

Grant proposals from applicants who have not submitted required reports for previous DHP grants will not be submitted for review.

# Topical Priorities

In order to insure that the DHP addresses the New York State Historical Records Advisory Board's mandate to identify, survey, collect, and make available historical records that relate to under-documented groups or subjects, the State Archives has identified and given priority to specific topical areas for DHP funding. These topics are listed in Priority Levels One and Two below. Although applications for projects that focus on *any* under-documented group or subject are eligible for funding, they will receive fewer points during grants review than those in Levels One and Two.

Applications are scored, in part, based on the priority level of the topic, with the highest score going to projects that address Level One topics. They are also scored on how effectively applicants make the case that their project fits within one (and only one) topical priority. Applicants are cautioned to make their case for a particular priority topic carefully. A poorly justified case for a priority Level One topic will receive a lower score than a well-presented case for a priority Level Two topic.

Note: **Archival Needs Assessment** project applications are not required to declare a Topical Priority. The topical priority, if any, will not be a factor in scoring the application.  The point score for Archival Needs Assessment applications will be adjusted accordingly to compete fairly with other grant project types.

## Priority Level One

### Population groups in the 20th and 21st Centuries

New York's history during the 20$^{th}$ and 21$^{st}$ centuries has been shaped substantially by the arrival, emergence, and growth of a great diversity of groups united in varying degrees by shared culture, ethnic or racial background, socioeconomic status, beliefs or values, or experience.

Most groups include both concentrations of individuals in neighborhoods or communities and individuals spread in small clusters throughout the state. Most will also share and nurture particular ways of life or other cultural expressions that help define the group and shape its contributions to New York's history.

These population groups include, but are not limited to:

- People of African, Latino/a, Native American, European, or Asian/Pacific-Islander descent who have immigrated to rural or urban New York State or have moved within the state in search of more stable economic, political, and/or social conditions.
- People whose members have long been in New York but who have emerged and coalesced as active communities during this period, for example, the gay/lesbian/bisexual/transgender community.

Projects should focus primarily on records that document the social, cultural, political, and economic lives of these communities and their engagement with the broader history and culture of the state.

Applicants who have questions about whether a particular group fits within this category should contact the DHP office before beginning work on an application.

The State Archives has published *A Guide to Documenting Latino/Hispanic History & Culture in New York State* (Pub. #67) which can be used as a model for how to create a comprehensive historical record of a population group. A summary of the guide is available on the New York State Archives website <www.archives.nysed.gov/a/research/res_topics_pgc_latino_plansum.shtml>. For a paper copy of the complete guide, email dhs@mail.nysed.gov.

## Economic Change in the 20th and 21st Centuries

New York's history over the past century has encompassed vast and sometimes turbulent changes in the economic life of the state, such as the decline of heavy industry, the changes in agricultural technology and practice, and the explosion of tourism. These changing economies, whether of individual towns and cities, various regions, or the state as a whole, are one of the defining themes of New York's history.

Projects in this topical area should focus on changes in New York State's economic base or in agriculture; de-industrialization; or efforts at economic revitalization including the development of new industries and businesses in the State.

Projects in this topical area may involve working with records of businesses that have been dissolved or absorbed by other businesses. Also, projects may involve records for businesses that are currently operating provided these records are, or are intended to be, accessioned and made available in a publicly accessible not-for-profit historical records repository.

The following are examples which could be included in this topical area: the decline of manufacturing in a region; the loss of family farming and growth of agribusiness; or the emergence of new industries such as tourism, the arts and culture, health care, higher education, and/or high technology.

### World Trade Center disaster, September 11, 2001

The significance of the World Trade Center disaster on September 11, 2001 is incalculable. Although the media has stressed the impact of the terrorist attacks on the nature of war and on the cultural climate of this country, the disaster also has had immense and lasting effects on the social, economic, cultural, and political life of New York City and the greater New York region.

Documenting these social, economic, cultural and political impacts is the challenge that projects in this topical area should address. Specifically, projects should focus on relevant records of organizations that were affected by the attacks directly or whose records were affected; or organizations whose missions were affected during the course of the response and recovery.

### Education policy

Universal K-12 education is the foundation of citizenship in a democracy and essential to the social, economic, and cultural health of our society. Although the policies that establish and govern the practice of education in our schools are determined in large part by governmental entities at the local, state, and federal levels, citizens acting through a range of non-governmental groups and associations influence education policymaking in important ways.

Projects in this topical area should focus on the development, implementation, and assessment of educational policy in New York State as it relates to K-12 public and private education.

The following kinds of organizations might be included under this topical area: PTAs, education advocacy groups, private schools, home-schooling organizations and networks, teachers' unions, or professional associations.

NOTE: Many of the state's educational organizations, including local school districts, are part of state or local government. Although not available through DHP, funding for projects related to local government records is available from the State Archives' Local Government Records Management Improvement Fund (LGRMIF) grants program. Visit the State Archives website <www.archives.nysed.gov/a/grants/grants_lgrmif.shtml> for more information.

## Priority Level Two

### Environmental affairs

The past half century has seen human impact on the environment emerge as one of the most critical issues of our age, and citizens, scholars, organizations and governments in New York have played enormously important roles in this history, often providing leadership for the nation and the world. But much of the documentation essential to a full and accurate telling of this remarkable history in New York is being lost.

Documenting the relationship, past and present, of humankind to the natural environment in New York State is the challenge that projects in this topical area should address. This vast topic includes the use, management, and development of natural resources; the conservation of natural resources and related environmental issues; the effect of environmental hazards on human populations and other life forms; and/or the development and implementation of public policy and planning related to the environment.

Projects may include the records of businesses, industries, non-governmental and community organizations, ethnic groups, or individuals; especially the poorly documented records which represent activities of individuals and organizations with very different points of view.

Projects in this topical area should reflect the priorities and criteria outlined on pages 16-18 in *A Guide to Documenting Environmental Affairs in New York State* (Pub. #73)**,** published by the State Archives. A summary of the guide is available on the State Archives website <www.archives.nysed.gov/a/research/res_topics_env_plansum.shtml>. For a complete paper copy of the guide, email dhs@mail.nysed.gov.

### Mental health

The story of mental health in New York State is a compelling and critical part of our history as New Yorkers. However, significant elements of that history are in danger of being lost. This is the issue that this topical area was designed to address. Projects in this area should focus on the records of organizations and programs that promote mental health in New York State.

Such organizations and/or programs may be involved with the following: treatment and care for recipients of mental health services (through research, intervention, and education); protection of the rights of mental health consumers (advocacy groups, government watch-dog groups); assistance in coping with the problems of daily life for both individuals with psychiatric histories and their caregivers; and training of mental health professionals.

Projects in this topical area should reflect the criteria and priorities summarized in *A Strategic Plan for Documenting Mental Health in New York State*, a publication of the State Archives. A summary of the guide is available on the State Archives website <www.archives.nysed.gov/a/research/res_topics_health_mh_plansum.shtml>. For a complete paper copy of the guide, email dhs@mail.nysed.gov.

## Priority Level Three

### Other under-documented topics in New York State history

Projects in Level Three address records of significance to the history of New York, either statewide or local, that directly relate to under-documented topics not covered in the first two priority levels**.**

# Due Date

**The complete application package must be postmarked on or before Monday, February 1, 2010**. Applications postmarked after February 1st will not be submitted for review.

## Grant Awards Notification

Notification letters are prepared and sent to all applicants as to the status of their application. These letters usually are sent at the end of June. If the applicant receives modified or no funding, a summary of reviewers' comments will be included with the notification letter.

## Contract Award Protest Procedures

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

1. 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.
2. 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.
3. 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.
4. 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.

## Required Reports and Schedule of Payments

A mid-term progress report (usually due at the end of January) and final narrative and fiscal reports (due by July 31$^{st}$) are required from grant recipients. Reports should be submitted in a timely fashion since they trigger award payments.

Payments are made as follows: 50% of the award is released once the marked-up version of the FS-20 is approved by NYSED. Up to 40% of the award amount is paid in increments as the recipient expends funds and submits forms for additional payments. The final 10% of the award amount is paid at the end of the project following receipt by DHP of completed final reports.

## Publicity/Credit Line

In all publicly available products that result from your DHP-funded project, please credit the Documentary Heritage Program as a source of funding. Such products include finding aids, MARC records, promotional literature, press releases, posters, etc. as well as web pages with information about the funded DHP project. For help with marketing your project, contact the DHP office.

The credit line that is required on all products and public documents produced by the project should read: "This project [or supply the project name] was made possible in part by a grant from the Documentary Heritage Program of the New York State Archives, a program of the State Education Department."

*Section II*

# Resource Documents

## Documentary Heritage Program Documents

| | |
|---|---|
| Resource I (DHP) | Directory of Regional Archivists/Service Providers (2 pp.) |
| Resource II (DHP) | NYSA publications that may be of assistance in preparing DHP applications |
| Resource III (DHP) | Sample MARC record |
| Resource IV (DHP) | Finding Aid template (2 pp.) |
| Resource V (DHP) | Table of Cubic Foot Equivalents |
| Resource VI (DHP) | Processing Rates |
| Resource VII (DHP) | Outcomes and Evaluation: Samples to Use (4 pp.) |

## New York State Education Department Documents

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| Resource VIII (NYSED) | Vendor Responsibility t |
| Resource IX (NYSED) | NYSED Consortium Policy for State and Federal Discretionary Grant Programs |
| Resource X (NYSED) | NYS Office of the State Comptroller Procurement and Disbursement Guidelines, Bulletin G-79, Contracts with Non-Profit Organizations (2 pp.) |
| Resource XI (NYSED) | Appendix A: Standard Clauses for NYS Contracts - Required for Federal and State Discretionary Grant Programs (5 pp.) |
| Resource XII (NYSED) | APPENDIX A-1 G |

# Directory of Regional Archivists/Service Providers

## *New York State Documentary Heritage Program*

*A Program of the New York State Archives, State Education Department*

**Capital District Region**
(Counties of Albany, Fulton, Hamilton, Montgomery. Rensselaer, Saratoga, Schenectady, Schoharie, Warren, Washington)

**Susan D'Entremont**
Regional Archivist
Capital District Library Council
28 Essex Street
Albany, NY 12206-2027
518-438-2601

**Central New York Region**
(Herkimer, Madison, Oneida, Onondaga)

**Susan Hughes**
Regional Archivist
Central New York Library Resources Council
6493 Ridings Rd
Syracuse, New York 13206
(315) 446-5446

**Hudson Valley Region**
(Columbia, Dutchess, Greene, Orange, Putnam, Rockland, Sullivan, Ulster)

**Dianne Macpherson**,
Coordinating Archivist
**Reggie White**
Regional Archivist
Greater Hudson Heritage Network
2199 Saw Mill River Road
Elmsford, NY  10523
914-592-6726

**Long Island Region**
(Nassau, Suffolk)

**Virginia Antonucci-Gibbons**
Regional Archivist
Long Island Library Resources Council
627 N. Sunrise Service Road
Bellport, NY 11713
(631) 675-1568

**Metropolitan New York Region**
(Five Boroughs of New York City, Westchester)

**Dottie Hiebing**
Executive Director
New York METRO Reference & Research Library Agency, Inc.
57 East 11th Street, 4th Floor
New York, New York 10003-4605
(212)-228-2320

**Northern New York Region**
(Clinton, Essex, Franklin, Jefferson, Lewis, Oswego, St. Lawrence)

**John Hammond**
Executive Director
Northern New York Library Network
6721 US Highway 11
Potsdam, NY 13676
(315) 265-1119

# Directory of Regional Archivists/Service Providers

*New York State Documentary Heritage Program (continued)*

**Rochester Region**
(Livingston, Monroe, Ontario, Wayne, Wyoming)

**Preston Pierce**
Regional Archivist
Rochester Regional Library Council
390 Packetts Landing
P.O. Box 66160
Fairport, New York 14450
(716) 223-7570

**South Central New York Region**
(Allegany, Broome, Cayuga, Chemung, Chenango, Cortland, Delaware, Otsego, Schuyler, Seneca, Steuben, Tioga, Tompkins, Yates)

**Stephanie Lehner**
Regional Archivist
Upstate History Alliance
11 Ford Avenue
Oneonta, NY 13820
(800) 895-1648
info@upstatehistory.org

**Western New York Region**
(Cattaraugus, Chautauqua, Erie, Genesee, Niagara, Orleans)

**Heidi Bamford**
Regional Archivist
Western New York Library Resources Council
Calspan Bldg., 2nd Floor
4455 Genesee St., POB 400
Buffalo, New York 14225-0400
(716) 633-0705, Ext 14

# New York State Archives Publications

The following publications from NYSA may be of assistance in preparing applications:

- ***Guidelines for Arrangement and Description of Archives and Manuscripts*.** *Pub. #SP02* (Albany: State Education Department, 1995. 35 pages), by Kathleen D. Roe. These guidelines describe standard arrangement and description practices, including the MARC/AMC descriptive format**.** A paper copy of this publication may be requested from the State Archives by emailing ARCHPUBS@mail.nysed.gov**.**

- ***Strengthening New York's Historical Records Programs: A Self-Study Guide*.** *Pub. #SP04* (Albany: State Education Department, 1989. 192 pages). This manual describes the core elements of a historical records program and provides a question-and-answer format to help repositories analyze their historical records programs. This publication is available as a PDF via e-mail or on CD from the State Archives by emailing ARCHPUBS@mail.nysed.gov.

- ***Archival Needs Assessment Guidelines and Template.*** *Pub. #59* (20 pages) This publication provides a framework for the assessment of and planning for an historical records program. An accessible version can be found on the New York State Archives website at <www.archives.nysed.gov/a/records/mr_pub59_accessible.html>**.**

- ***A Manual for Documentation Planning in New York State,*** *Pub. #74* (34 pages) This publication presents the methodology that should form the basis for Documentation project planning. A paper copy of this publication may be requested from the State Archives by emailing ARCHPUBS@mail.nysed.gov**.**

- ***Documentation Basics: A Guide to Planning and Managing Documentation Projects,*** *Pub #79 (2003. 81 pages)* This publication offers detailed guidance in carrying out Documentation projects. An accessible version can be found on the New York State Archives website at <www.archives.nysed.gov/a/records/mr_pub79_accessible.html>.

- Applicants to Documentation projects relating to **Latino/a history and culture** are urged to read ***A Guide to Documenting Latino/Hispanic History & Culture in New York State*****,** *pub. #67* (36 pages). These projects should reflect the priorities and criteria outlined in the guide. A paper copy of this publication may be requested from the State Archives by emailing ARCHPUBS@mail.nysed.gov**.**

- Applicants to Documentation projects relating the **mental health** topical priority are urged to read ***A Strategic Plan for Documenting Mental Health in New York State*****,** *pub. #69* (2001. 17 pages). These projects should reflect the priorities and criteria outlined in this plan. A PDF version can be found on the New York State Archives website at <http://iarchives.nysed.gov/Publications/pubOrderServlet?category=ServicesHistRecs>.

- Applicants to Documentation projects relating to **environmental affairs** are urged to read ***A Guide to Documenting Environmental Affairs in New York State*****,** *pub. #73* (41 pages). Documentation projects should reflect the priorities and criteria outlined in the guide. A paper copy of this publication may be requested from the State Archives by emailing ARCHPUBS@mail.nysed.gov**.**

# Sample MARC Record

John Rodriguez and Nydia Padilla Rodriguez Collection, 1979-2003
Townson Research Library, Rochester Museum and Science Center

```
.035.    |a(NIC)NYMO752-720-0108.
.100. 1  |aPadilla Rodriguez, Nydia.
.245. 00 |aJohn Rodriguez and Nydia Padilla Rodriguez Collection,|f1979-2003.
.300.    |a4.5 cubic ft.
.351.    |aThe collection is arranged in two series: Series 1: Nydia Padilla
Rodriguez Papers, Subseries 1: Nydia Padilla-Rodriguez Papers, Subseries 2:
Thesis, and Subseries 3: Boriquen Dance Theatre, Inc.; and Series 2: John
Rodriguez Papers.
.545.    |aNydia Padilla-Rodriguez and her husband John Rodriguez are longtime
activists in the Puerto Rican community of Rochester, New York. Nydia Padilla-
Rodriguez is founder of Borinquen Dance Theatre, the first Hispanic
professional performing arts group in upstate New York. John Rodriguez has
engaged in a variety of political and cultural activities including the
election campaigns of Nancy Padilla.
.520.    |aThe collection contains the personal and academic papers of Nydia
Padilla-Rodriguez and the records of Borinquen Dance Theatre as well John
Rodriguez's collection of personal and political materials. There are also
photographs, broadsides, clippings from the election campaign of Nancy Padilla
and papers from the Hispanic Democratic Committee, 1970s-1980s.
.520.    |bSeries 1: Nydia Padilla Rodriguez Papers is divided into three
subseries: Subseries 1: Nydia Padilla-Rodriguez Papers, Subseries 2: Thesis,
and Subseries 3: Boriquen Dance Theatre, Inc. Subseries 1: Nydia Padilla-
Rodriguez Papers contains materials related to Nydia Padilla-Rodriguez's
career including a resume, contract, certificates, a program, letters of
recommendations, and clippings. Subseries 2: Thesis includes the final thesis,
typescript drafts, interview transcripts with community activists, notes,
resumes, correspondence, and secondary sources used by Padilla-Rodriguez.
Subseries 3: Boriquen Dance Theatre, Inc. includes reports, clippings,
programs, posters, and other materials that document the troupe's history and
performances in Rochester and elsewhere.
.520.    |bSeries 2: John Rodriguez Papers consists of a resume,
correspondence, clippings, programs, and political ephemera including t-shirts
and buttons. The bulk of the series contains clippings that address Latinos in
Rochester and elsewhere.
.544. 1  |dSue Costa Collection of Hispanic/Latino Papers,|aRochester Museum
and Science Center.
.544. 1  |dJuan Padilla Collection,|aRochester Museum and Science Center.
.555. 0  |aA Spanish version of the finding aid is also available.
.600. 10 |aPadilla, Nancy.
.600. 10 |aPadilla-Rodriguez, Nydia.
.600. 10 |aRodríguez, John.
.610. 20 |aBoriquen Dance Theatre (Rochester N.Y.)
.650.  0 |aDance|xPuerto Rico.
.650.  0 |aDance|zNew York (State)
.650.  0 |aHispanic Americans|zNew York (State)|zRochester.
.650.  0 |aHispanic Americans|zNew York (State)|zRochester|xSocial life and
customs.
.651.  0 |aRochester (N. Y.)
.700. 1  |aRodriguez, John.
.852.    |aSchuyler C. Townson Research Library,|bRochester Museum and Science
Center,|e657 East Avenue Rochester, NY, 14607.
```

# Finding Aid Template

## Part I. All Finding Aids

**Title Proper:** the name of the finding aid itself, as opposed to the collection title. Title proper includes both the name of the creator and the nature of the materials being described.

**Repository:** name of the institution holding the collection.

**Origination:** name of the creator of the collection.

**Unit Title:** title of the collection. As long as the title proper (above) contains both the creator and the nature of the materials, the unit title does not have to repeat the creator. Some repositories, however, follow the convention of including creators in series/collection titles. This is perfectly acceptable.

**Unit Date:** creation date (or range of dates) of the collection. Bulk dates can be used if appropriate.

**ID of the Unit:** collection identification number, or other alpha-numeric code by which the materials are cataloged or controlled, if applicable.

**Physical Description:** quantity or physical extent of the collection in cubic feet.

**Abstract:** A very brief summary of the materials being described, composed of biographical or historical information about the creator and concise statements about the content of the materials.

**Arrangement:** manner in which the collection or series is divided into smaller units; also used to describe the physical filing sequence used, such as chronological by meeting date or alphabetical by correspondent, etc.

**Biography or History:** information about the creator(s) that provides the context in which the specific materials being described were created.

**Scope and Content:** detailed information regarding the nature, range, topical coverage, physical form, and arrangement of the collection.

**Conditions Governing Access:** specific conditions that affect the availability of the materials being described, such as restrictions imposed by a donor, legal statute, repository, or other agency. If no restrictions exist, the finding aid should indicate “There are no restrictions regarding access to or use of this series (or collection).”

**Controlled Access Headings:** this parent element is used to group specific access elements including Personal Name (specify whether Personal Subject or Personal Author), Corporate Name (specify whether Corporate Subject or Corporate Author), Geographic Name, Family Name, Subject, Genre/Physical Characteristic, Function, and Occupation.

**Processing Information:** information about preparing the collection for research use.  Reference should be made to the fact that the New York State Archives' Documentary Heritage Program provided funding for the project.

## Part II. Finding Aids with a Second Level of Description

*(such as collections within which  the component series are being described, or series within which the component subseries are being described)*

**Unit Title:** for the second level only, as opposed to the full collection or series.

**Unit Date:** for the second level only, as opposed to the full collection or series.

**ID of the Unit:** needed only if the second level is identified by a code that is different from the full collection or series.

**Physical Description:** quantity or physical extent of the second level only, as opposed to the full collection or series.

**Arrangement:** second levels may feature different ordering systems and therefore make it desirable to include arrangement elements for each component series or subseries.

**Biography or History:** in certain cases, additional information regarding creator(s) of the second level may be supplied in order to more firmly establish the context in which those specific materials were created.

**Scope and Content:** detailed information regarding the nature, range, topical coverage, physical form, and arrangement of second level only, as opposed to the full collection or series.

## Part III. Container List, Box and Folder List, or Inventory

**Container List, Box and Folder List, or Inventory:** include if the size of the collection warrants (i.e. between 5-10 cu ft or more).

# Table of Cubic Foot Equivalents

*For use in estimating the volume of records*

| File Folder Drawers | Cubic Feet |
|---|---|
| Letter | 1.5 |
| Letter Transfile | 2.0 |
| Legal | 2.0 |
| Legal Transfile | 2.5 |
| Ledger | 3.0 |
| Jumbo | 4.0 |

| Shelf Units | Cubic Feet |
|---|---|
| Letter, 36" long | 2.4 |
| Legal, 36" long | 3.0 |

| Card File Drawers | Cubic Feet |
|---|---|
| 3" x 5" x 26" long | 0.2 |
| 3" x 5" x 14" long | 0.1 |
| 3.5" x 7.5" x 26" long | 0.4 |
| 3.5" x 7.5" x 14" long | 0.2 |
| 4" x 6" x 26" long | 0.5 |
| 4" x 6" x 14" long | 0.2 |
| 5" x 8" x 26" long | 0.6 |
| 5" x 8" x 14" long | 0.3 |
| 6" x 9" x 26" long | 0.8 |
| 6" x 9" x 14" long | 0.4 |
| 8" x 8" x 26" long | 1.0 |
| 8" x 8" x 14" long | 0.5 |

| Record Center Containers | Cubic Feet |
|---|---|
| 10" x 12" x 15" (standard) | 1.0 |
| 3.5" x 8" x 14" (tab) | 0.2 |
| 3.5" x 8" x 24" (check) | 0.4 |
| 6" x 6" x 36" (map) | 0.7 |
| 6" x 6" x 48" (map) | 1.0 |
| 4" x 4" x 48" (map) | 0.4 |

| Map or Plan Drawers | Cubic Feet |
|---|---|
| 2" x 26" x 38" Flat | 1.1 |
| 2" x 38" x 50" Flat | 2.2 |
| 4" x 26" x 38" Flat | 2.3 |
| 4" x 38" x 50" Flat | 4.4 |

| Map or Plan Tubes | Cubic Feet |
|---|---|
| 2" x 2" x 38" Roll | 0.1 |
| 2" x 2" x 50" Roll | 0.1 |
| 4" x 4" x 38" Roll | 0.3 |
| 4" x 4" x 50" Roll | 0.5 |

**For all other situations, use this formula:**

Length x Width x Height (in inches) divided by 1728 = number of cubic feet

# Processing Rates

There are a number of tools that can be used to determine an appropriate processing rate. Full processing includes flat-filing, simple cleaning, arrangement, description, foldering, and boxing.

1) The Federal Rate for personal papers and manuscripts is 2.5 cubic feet per week

2) The State Archive's general guidelines are:
   - Completely unorganized collection -2.5 cubic feet per week
   - Complicated series such as correspondence or subject files - 5 cubic feet per week
   - Fairly straightforward series that may need some work such as case or job files, business records - 10 cubic feet per week
   - Well-organized series consisting primarily of volumes or voluminous series with uniform or repetitive information (such as invoices) - 15 cubic feet per week.

3) The following table based on Karen T. and Thomas E. Lynch's "Rates of Processing Manuscripts and Archives," (<u>The Midwestern Archivist</u>, 7:1, 1982).

| Type and Date of Record | Processing time per cubic feet | Cubic feet per week |
|---|---|---|
| Pre-1800 personal papers | 9 days | 0.5 |
| Pre-1900 personal papers | 5 ½ days | 1 |
| Post-1900 personal papers | 3 ½ days | 1.43 |
| Pre-1800 state government | 4 ¼ days | 1.18 |
| Pre-1900 state government | 2 ¾ days | 1.8 |
| Post-1900 state government | 1.1 days | 4.5 |
| Pre-1800 business | 4 ¼ days | 1.18 |
| Pre-1900 business | 2 ¾ days | 1.8 |
| Post-1900 business | 1 ¼ days | 4.0 |
| Pre-1800 local government | 7 days | 0.71 |
| Pre-1900 local government | 4 ½ days | 1.11 |
| Post-1900 local government | 2 ¼ days | 2.2 |

Whichever method you choose, be sure to provide justification and rational based on the records themselves (their current arrangement and their content).

# Outcomes and Evaluation

*Samples to Use When Formatting and Writing your Section II Narrative*

Outcomes should be predictions of the results of your project. Evaluations should be the activities you undertake to measure and assess your progress in achieving those results. See section III of the Application Narrative Instructions, Outcomes and Evaluation, pages 43-45.

**All Projects**

<u>DHP Outcome 1</u>: People who are involved in or learn about the project gain increased awareness of the value of historical records and the importance of organizations that preserve and make them accessible.

*Example: The Environmental Action Alliance's (EAA) Documentation project focuses on the records of three environmental organizations in the region, the EAA, the Land Trust, and Sustainable Solutions.*

*Project Outcome Statement 1a:* Each organization's leadership team, its board of directors, and its members learn more about its organization and come to appreciate that its records contribute to the history of the environmental movement in the region and the state. They also understand why it is important that the History Society accession the records and make them accessible to students and teachers, environmental activists, and the public.

*Evaluation 1b:* The Environmental Action Alliance will survey the three organizations' leadership teams and members at the end of the project to assess what they have learned about the organizations and the value and potential uses of their records.

<u>DHP Outcome 2</u>: Access tools (including MARC records and finding aids) created as a result of the project meet archival standards; needs assessment reports are consistent with archival best practices.

*Example: The History Society's Arrangement & Description project focuses on the records of two Latino organizations.*

*Project Outcome Statement 2a:* With DHP's Finding Aid Template as a reference and with the Consulting Archivist as a mentor, the archival assistant produces finding aids for the records of the Latino Cultural Center and the Hispanic Alliance that meet archival standards. Once the finding aids are finished, and again with the Consulting Archivist as a mentor, the archival assistant creates MARC records for each finding aid.

*Evaluation 2b:* The Consulting Archivist will regularly review the work of the archival assistant and make corrections as necessary to ensure the final products meet archival standards. The Project Director will submit drafts of the finding aids to the DHP office for review and address the DHP's recommendations, if any. The Consulting Archivist will review the MARC records and make corrections as necessary to ensure the final products meets archival standards.

**Documentation Projects**

DHP Outcome 3: Records of New York's underdocumented population groups and topics not currently in historical records repositories are identified and surveyed.

*Example: Phase Two of the Environmental Action Alliance's Documentation project focuses on the records of three environmental organizations in the region, the EAA, the Land Trust, and Sustainable Solutions.*

*Project Outcome Statement 3a:* The historically valuable records of the EAA, the Land Trust, and Sustainable Solutions are identified and surveyed.

*Evaluation 3b:* The Consulting Archivist will meet monthly with the Project Director to monitor progress of identifying and surveying the records, and adjust the target outcomes as needed. At the end of the grant period, the Project Director will assess the overall progress that was made, determine why outcome targets were missed or exceeded, and report on lessons learned.

DHP Outcome 4: The historically valuable records identified and surveyed during the project are donated to an appropriate historical records repository and added to its collection.

*Example: Phase One or Phase Two of the Environmental Action Alliance's Documentation project focuses on the records of three environmental organizations in the region.*

*Project Outcome Statement 4a:* Selection criteria for a repository in which to house the records of the three target organizations are developed, and an agreement with an appropriate repository to collect records that are covered by its acquisition policy is reached.

*Evaluation 4b:* The Consulting Archivist and Project Director will periodically review progress in developing selection criteria and identifying potential repositories, and will report the progress has been made by January in the DHP application for the next phase of the project. At the end of the grant period, the Project Director will review the project and assess the progress made, the reasons for outcomes that were missed or exceeded, and lessons learned.

*Example: Phase Three of the Environmental Action Alliance's Documentation project focuses on the records of three environmental organizations in the region.*

*Project Outcome Statement 4a:* The EAA, the Land Trust, and Sustainable Solutions donate their historical records to the History Society.

*Evaluation 4b:* The Consulting Archivist and Project Director will regularly monitor the status of the relationship with the History Society and take action as necessary. At the end of the grant period, the Project Director will review the project and assess the progress made, the reasons for outcomes that were missed or exceeded, and the lessons learned.

**Arrangement and Description Projects**

*Example: The History Society's Arrangement & Description project focuses on the records of two Latino organizations.*

DHP Outcome 5:  Access tools created as a result of this project are accessible online and locally, and potential users are aware of their availability.

*Project Outcome Statement 5a:* The completed Latino Cultural Center and Hispanic Alliance finding aids are available in print at the History Society, and the MARC records are submitted to the State Archives for inclusion in the HDI.  Publicity through the press, electronic media, and Latino community networks, and a public reception at the History Society raises awareness of these valuable records and of their availability to potential researchers and other likely users.

*Evaluation 5b:* The Project Director will meet regularly with the Consulting Archivist and the staff responsible for the public relations, publications, events, and the website to monitor progress and set goals.  Attendance at the reception will be recorded; calls and emails about the Latino collections will be logged. The Society will maintain a clipping file of published materials about the project or the collections and will log known broadcasts, presentations, or other communications, especially with members of the Latino communities. The Project Director and staff will periodically assess which communication methods work best for the target audiences and will use this information to develop an ongoing communications program beyond the end of the project.

DHP Outcome 6: The access tools and the records they describe are used by researchers.

*Project Outcome Statement 6a:*  Use of the Latino organizations' records, begins soon after the finding aids are completed and announced.  Use of the records increases during the year following the completion of the project to an average of 10 patrons per month.

*Evaluation 6b:* History Society volunteers will log all in-house uses of the finding aids and records.  They will also regularly survey users about the value of the records and their satisfaction with their experience using them at the History Society.  An online survey accessible through the Society's website will include questions about the online use of, and satisfaction with, the access tools and the records they describe.

**Archival Needs Assessment Projects**

*Example: The Central College library wants to create an archival program to manage, and make more accessible its growing collection of college records and local history materials.  The needs assessment will provide the information and rationale necessary to effectively advocate for and plan this process.*

DHP Outcome 7:  The Needs Assessment Report is presented to and discussed by the organization's leadership and most important stakeholders.

*Project Outcome Statement 7a:* The Needs Assessment Report is presented to the director of the library, the relevant committees of the college's board of trustees, and an advisory group of college faculty and community members whose interests are reflected in the college records and local history materials. The Project Director, Project Archivist and the individuals mentioned above meet to discuss the report's findings and to make recommendations.

*Evaluation 7b:* The Project Director will keep the library director, board of trustees, and advisors informed about the project in advance, so they are prepared to receive the Needs Assessment Report. The Project Director will report to leadership and stakeholders on the results of meeting. At the end of the project the Project Director will evaluate its success, including obstacles and lessons learned.

<u>DHP Outcome 8</u>: A plan to meet the needs as described in the report is developed and implemented.

*Project Outcome Statement 8a:* The library director and board of trustees authorize and fund the development of a detailed long-range plan for the archives, and implement the plan based on the findings and recommendations made in the Needs Assessment Report.

*Evaluation 8b:* During and after the grant period, the Project Director, Library Director, and advisors will periodically review progress toward the outcome and take action as necessary to further its success. The final report to the DHP will include the Project Director's current assessment of progress and expectations for implementation. Following the grant year, the library's director will continue to review progress towards achieving the outcome, take action as necessary to further a successful outcome, and keep DHP informed about the library's needs assessment implementation.

## Vendor Responsibility

State law requires that the award of state contracts be made to responsible vendors. Before an award is made to a not-for-profit entity, a for-profit entity, a private college or university or a public entity not exempted by the Office of the State Comptroller, the Department must make an affirmative responsibility determination. The factors to be considered include: legal authority to do business in New York State; integrity; capacity- both organizational and financial; and previous performance. Before an award of $100,000 or greater can be made to a covered entity, the entity will be required to complete and submit a Vendor Responsibility Questionnaire. School districts, Charter Schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the exempt entities. For a complete list, see: http://www.osc.state.ny.us/vendrep/documents/vrdocrules.pdf.

Vendors are invited to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. To enroll in and use the New York State VendRep System, see the VendRep System instructions at: http://www.osc.state.ny.us/vendrep/systeminit.htm or go directly to the VendRep System online at https://portal.osc.state.ny.us/wps/portal. Vendors should also refer to the VendRep System checklist, which can be found at http://www.osc.state.ny.us/vendrep/documents/checklist.pdf.

For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us.

Vendors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website: http://www.osc.state.ny.us/vendrep/templates.htm or may contact the State Education Department or the OSC Help Desk for a copy of the paper form.

# NYSED Consortium Policy for State and Federal Discretionary Grant Programs

Applicants/participants can form a partnership or consortium to apply for the grant. In order to do so, the partnership or consortium must meet the following requirements:

1. The partnership or consortium must designate one of the applicants/participants to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.

2. In the event a grant is awarded to a partnership/consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the partnership/consortium, since the group may not be a legal entity.

3. The applicant agency/fiscal agent 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 consortium partners to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide.

d. Must be an active member of the partnership/consortium, except where SUNY or CUNY Research Foundations are the fiscal agent.

e. Cannot act as a flow-through for grant funds to pass to other recipients. NYSED may establish a minimum level of direct service to be provided by the fiscal agent.

f. Is PROHIBITED from sub-granting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent 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 plan to participate.

# New York State Office of the State Comptroller

Thomas P. DiNapoli, State Comptroller

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New York State Office of the State Comptroller

## Procurement and Disbursement Guidelines (G-Bulletins)

| | | | |
|---|---|---|---|
| **Bulletin Category:** | Procurement & Contracting | | |
| **Bulletin Number:** | G-079 | | |
| **Date Issued:** | 8/22/88 | **Date Last Updated:** | 9/10/08 |
| **Bulletin Name:** | Contracts with Non-Profit Organizations | | |

The purpose of this bulletin is to clarify the requirement for state agencies to provide charities registration information in connection with State contracts with charitable organizations. This bulletin supersedes Procurement and Disbursement Guidelines' Bulletin G-079 last updated January 31, 2006.

Article 7-a of the Executive Law requires, with certain exemptions[1], that charitable organizations must register with the Office of the Attorney General. In addition, the Estates, Powers and Trusts Law (EPTL)Section 8-1.4(s) requires that a charitable organization "shall not be qualified to make application for funds or grants or to receive such funds from any department or agency of the state without certifying compliance with" all applicable registration and filing requirements.

Effective immediately, when an agency submits to the Comptroller's Office a contract with a charitable organization, the agency must submit one of the following:

1. The organization's charitable registration number and written documentation from the Office of the Attorney General that the charitable organization is currently up-to-date with its Charities Registration. This information should be submitted with the vendor responsibility documents. The Charities Registration number must also be inserted in the "provisions" section of the AC-340 Contract Encumbrance form accompanying the contract; or

2. A statement from the contractor (charitable organization) that the organization is exempt pursuant to one of the categories indicated on the Office of Attorney General's Request for Registration Exemption (Schedule E). The statement must identify the specific category under which the charitable organization is exempt, and be submitted with the vendor responsibility documents.

To obtain written documentation of an organization's charities registration status, or if you have questions regarding the statutory requirements for registration, contact:

Office of the Attorney General
Bureau of Charities Registration
120 Broadway
New York, NY 10271-0332
(212)416-8402

email: charities.bureau@oag.state.ny.us

Web address:

http://www.oag.state.ny.us/bureaus/charities/charities.html

If you have questions regarding this bulletin <www.osc.state.ny.us/agencies/gbull/g_79.htm>, contact:

Office of the State Comptroller
Bureau of Contracts
110 State Street - 11th Floor
Albany, NY 12236
(518)474-3488

http://www.osc.state.ny.us/

[1] Section 172-a of the Executive Law and Section 8.14 of the EPTL enumerate certain entities which are exempt from the registration requirements. These entities are listed on the Office of the Attorney General's Request for Registration Exemption (Schedule E).

“Appendix A”

# STANDARD CLAUSES FOR NYS CONTRACTS

Required for Federal and State Discretionary Grant Programs

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licenser, licensee, lessor, lessee or any other party):

**1. EXECUTORY CLAUSE.** In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

**2. NON-ASSIGNMENT CLAUSE.** In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the previous consent, in writing, of the State and any attempts to assign the contract without the State's written consent are null and void. The Contractor may, however, assign its right to receive payment without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

**3. COMPTROLLER'S APPROVAL.** Unless exempt by law or the Office of the State Comptroller's policy, in accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds $50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds $10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed $85,000 (State Finance Law Section 163.6.a).

**4. WORKERS' COMPENSATION BENEFITS.** In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

**5. NON-DISCRIMINATION REQUIREMENTS.** To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of $50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

**6. WAGE AND HOURS PROVISIONS.** If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law.

**7. NON-COLLUSIVE BIDDING CERTIFICATION.** In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

**8. INTERNATIONAL BOYCOTT PROHIBITION**. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds $5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

**9. SET-OFF RIGHTS.** The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

**10. RECORDS.** The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

**11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.** (a) FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER. All invoices or New York State standard vouchers submitted for payment for the sale of goods or services or the lease of real or personal property to a New York State agency must include the payee's identification number, i.e., the seller's or lessor's identification number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or New York State standard voucher, must give the reason or reasons why the payee does not have such number or numbers.

**(b)** PRIVACY NOTIFICATION**.** (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law.

(2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in New York State's Central Accounting System by the Director of Accounting Operations, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

**12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.** In accordance with Section 312 of the Executive Law, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of $25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of $100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of $100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over $25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State; or (iii) banking services, insurance policies or the sale of securities. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Governor's Office of Minority and Women's Business Development pertaining hereto.

**13. CONFLICTING TERMS.** In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

**14. GOVERNING LAW.** This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

**15. LATE PAYMENT**. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

**16. NO ARBITRATION.** Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

**17. SERVICE OF PROCESS**. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

**18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS**. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of State Finance Law §165. (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the state.

**19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES.** In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

**20. OMNIBUS PROCUREMENT ACT OF 1992.** It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
30 South Pearl St -- 7th Floor
Albany, New York 12245
Telephone: 518-292-5220
Fax: 518-292-5884
http://www.empire.state.ny.us

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
30 South Pearl St -- 2nd Floor
Albany, New York 12245
Telephone: 518-292-5250
Fax: 518-292-5803
http://www.empire.state.ny.us

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than $1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

**21. RECIPROCITY AND SANCTIONS PROVISIONS.** Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

**22. PURCHASES OF APPAREL.** In accordance with State Finance Law 162 (4-a), the State shall not purchase any apparel from any vendor unable or unwilling to certify that: (i) such apparel was manufactured in compliance with all applicable labor and occupational safety laws, including, but not limited to, child labor laws, wage and hours laws and workplace safety laws, and (ii) vendor will supply, with its bid (or, if not a bid situation, prior to or at the time of signing a contract with the State), if known, the names and addresses of each subcontractor and a list of all manufacturing plants to be utilized by the bidder. **(June 2006)**

APPENDIX A-1 G

**General**

A. In the event that the Contractor shall receive, from any source whatsoever, sums the payment of which is in consideration for the same costs and services provided to the State, the monetary obligation of the State hereunder shall be reduced by an equivalent amount provided, however, that nothing contained herein shall require such reimbursement where additional similar services are provided and no duplicative payments are received.

B. This agreement is subject to applicable Federal and State Laws and regulations and the policies and procedures stipulated in the NYS Education Department Fiscal Guidelines found at http:/www.nysed.gov/cafe/.

C. For each individual for whom costs are claimed under this agreement, the contractor warrants that the individual has been classified as an employee or as an independent contractor in accordance with 2 NYCRR 315 and all applicable laws including, but not limited to, the Internal Revenue Code, the New York Retirement and Social Security Law, the New York Education Law, the New York Labor Law, and the New York Tax Law. Furthermore, the contractor warrants that all project funds allocated to the proposed budget for Employee Benefits, represent costs for employees of the contractor only and that such funds will not be expended on any individual classified as an independent contractor.

**D. Variations in each budget category in Appendix B which exceed ten percent (10%) of such category must receive the approval of the Commissioner of Education and the Office of the State Comptroller.**

E. Funds provided by this contract may not be used to pay any expenses of the State Education Department or any of its employees.

**Terminations**

A. The State may terminate this Agreement without cause by thirty (30) days prior written notice. In the event of such termination, the parties will adjust the accounts due and the Contractor will undertake no additional expenditures not already required. Upon any such termination, the parties shall endeavor in an orderly manner to wind down activities hereunder.

Safeguards for Services and Confidentiality

A. Any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department. The material prepared under the terms of this agreement by the Contractor shall be prepared by the Contractor in a form so that it will be ready for copyright in the name of the New York State Education Department. Should the Contractor use the services of consultants or other organizations or individuals who are not regular employees of the Contractor, the Contractor and such organization or individual shall, prior to the performance of any work pursuant to this agreement, enter into a written agreement, duly executed, which shall set forth the services to be provided by such organization or individual and the consideration therefor. Such agreement shall provide that any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department and that such work shall be prepared in a form ready for copyright by the New York State Education Department. A copy of such agreement shall be provided to the State.

B. All reports of research, studies, publications, workshops, announcements, and other activities funded as a result of this proposal will acknowledge the support provided by the State of New York.

C. This agreement cannot be modified, amended, or otherwise changed except by a written agreement signed by all parties to this contract.

D. No failure to assert any rights or remedies available to the State under this agreement shall be considered a waiver of such right or remedy or any other right or remedy unless such waiver is contained in a writing signed by the party alleged to have waived its right or remedy.

E. Expenses for travel, lodging, and subsistence shall be reimbursed in accordance with the policies stipulated in the aforementioned Fiscal guidelines.

F. No fees shall be charged by the Contractor for training provided under this agreement.

G. Nothing herein shall require the State to adopt the curriculum developed pursuant to this agreement.

H. All inquiries, requests, and notifications regarding this agreement shall be directed to the Program Contact or Fiscal Contact shown on the Grant Award included as part of this agreement.

I. This agreement, including all appendices, is, upon signature of the parties and the approval of the Attorney General and the State Comptroller, a legally enforceable contract. Therefore, a signature on behalf of the Contractor will bind the Contractor to all the terms and conditions stated therein.

J. The parties to this agreement intend the foregoing writing to be the final, complete, and exclusive expression of all the terms of their agreement.

*Section III*

# Preparing an Application

# Questions about your application?

Applicants are encouraged to call the DHP office before preparing an application if they are applying to the DHP for the first time or have questions about eligibility or other aspects of the application (see contact information on page 3). All questions must be received no later than Thursday, January 15, 2009. Generally relevant questions and their answers will be posted to the New York State Archives website <www.archives.nysed.gov/a/grants/grants_dhp_faq.shtml>, which will be updated throughout the application period, with final version posted on January 22, 2010. Information about eight (8) free New York State Archives publications that may be useful in preparing your application can be found in Resource II, page 18.

# Parts of the application

- **Application Cover Sheet** (for signature information, see below)
- **Application Checklist** (use to ensure that you send all the required documents)
- **Payee Information Form**
- **Standard Data Capture Form**
- **Application Narrative Form**
- **Budget Category & Narrative Forms** (Codes 15, 16, 40, 45, 20, 46, and 80)
- **Budget Summary Form FS-20** (for signature information, see below)
- **Cost Sharing Form**
- **Proof of Not-for-Profit Status** (see page 5 for a list of eligible designations)
- **Attachments** (required and/or if applicable - for example**,** needs assessment report, letters of support and/or justification, resumes, job descriptions, see the Application Checklist on page 55).

Applicants must submit one (1) signed original and seven (7) copies of the application. Signatures are required on page 2 of the Application Cover Sheet, on the Payee Information Form, and on the Budget Summary Form/FS-20. All original signatures must be written *in blue ink*.

A complete list of the material which must be included in an application package can be found in the Application Checklist on page 55. The checklist also describes the order in which the documents in each application are to be collated. Incomplete applications or those that are out of order or not collated will not be reviewed.

# Grant Application Cover Sheet instructions

The Grant Application Cover Sheet (pages 53-54) should be completed using the following guidelines:

- *Chief Administrative Officer* – The Chief Administrative Officer is the person who has authority to commit the organization to carrying out the project.
- *Project Director* **-** The Project Director will manage the project, insure reporting is done in a timely fashion, and attend a meeting at the NYS Archives in Albany in September.
- *New York State Assembly and Senate Districts*- Indicate numbers for the Assembly district and the Senate district in which your main office is located. For district maps and numbers, visit the NYS State Legislative Task Force on Demographic Research & Reapportionment website <www.latfor.state.ny.us/maps/>.

- *Federal ID Number*- All applicants must enter their Federal ID Number.
- *Charities Registration Number* - Supply your Charities Registration Number if you have one. If you are exempt from this requirement, fill out section III of the Payee Information Form on pages 56-57.
- *Grant Project Type* – Select *only one* Project Type. The predominant project type should be selected in projects which combine Documentation with Arrangement & Description.
- *Grant Project Topical Priority* – Check *only one* priority area. Projects should focus on one priority area however, if your project also fits within another area, you may point that out in the Application Narrative. NOTE: Archival Needs Assessment projects do not have to declare a Topical Priority.
- *Grant Project Title* - Your Grant Project Title should include the type of grant for which you are applying and the subject, records, and/or institution involved (i.e. "Documentation of the Latino/a Population of Franklin County," "Arrangement and Description of the Michael Broderick Family Papers," or "Archival Needs Assessment for the Provident Public Library's Manuscript Collections").
- *Grant Project Summary* - Include the following information in this section: (1) a description of the project and, if it's a Documentation or Arrangement & Description project, the records involved; (2) how the work will be carried out, and (3) the outcomes of the project.
- Limit the summary to the space provided on the form (10 pt font, 225-word limit). Do not refer the reader to "see attached." Getting this summary right is important because it provides grant reviewers with their first impression of your institution and your grant proposal.
- *Signature* - The original signature of the Chief Administrative Officer (see *Chief Administrator* above) must appear on the Grant Application Cover Sheet in *blue* ink. His/her original signature must also appear on the Budget Summary Form FS-20.
- A signature provided "on behalf" of the Chief Administrative Officer is acceptable only if a specific designee has been authorized by the organization to sign in the absence of the officer. If this is the case, the designee should sign his/her own name and explain, in an attached Letter of Explanation, why the Chief Administrative Officer is unavailable to sign.

For **Partnership Applicants** (if applicable)
A partnership or consortium of organizations may collaborate on a project. (See Resource VII, page 29 for a full explanation.) Applicant information for all collaborative partners must be provided. Please make multiple copies of the Grant Application Cover Sheet to document all partner organizations.

# Payee Information Form instructions

The Payee Information Form (pages 56-57) is used to establish an identifying number that enables organizations to receive funds from the State Education Department. An online version of the Payee Information Form is available at
<www.oms.nysed.gov/cafe/forms/PIform.pdf>.

The Payee Information Form should be completed using the following guidelines:

- *Section II: Agency Profile: Question 2* - A sectarian organization is defined as one which is affiliated with a particular religious group. A non-sectarian organization has no religious affiliation.
- *Section II: Agency Profile: Question 3* **– "**Chartered or incorporated" here means created by the New York State Board of Regents.
- *Section III - Article 7-a of the Executive Law* requires that, with certain exemptions, non-profit organizations which receive funding of $25,000 or more in total from governmental agencies must register with the Department of State as a charitable organization**.**
- *Office of the State Comptroller Bulletin No. G-79* (see Resource IX, pages 30-31) clarifies the procedure for providing charities registration information for State contracts with non-profit organizations. It also includes a link to the *Request for Registration Exemption (Schedule E)* which lists the various bases for exemption. In order for the New York State Education Department to comply with the provisions of Bulletin No. G-79, applicants must read the Bulletin and the Schedule E and then answer **ONE** of the four questions included in Section II of the Payee Information Form.
- *Section IV* **-** Be sure to complete this section with an original signature of the Chief Administrative Officer in *blue* ink.

# Standard Data Capture Form instructions

The Standard Data Capture Form (page 58) should be completed keeping in mind the definitions below. In the case of applications from SUNYs or CUNYs, applicants should complete this form in their own name and not that of "The Research Foundation".

- *Legal Name of Institution* **-** as contained on a charter, license or other such document
- *Date Established* - the date or year that your institution was originally established
- *Physical Address* - the primary address where your institution is located
- *County of primary location* - the county where your primary address is located
- *School District of primary location* - the name of the school district where your primary address is located. A list of New York school district names can be found at <www.orps.state.ny.us/sdiv/schooldistcodes.htm>.

# Grant Application Narrative instructions

The application narrative provides the applicant with an opportunity to present a comprehensive description of the proposed project. We have provided an Application Narrative form (pages 59-60) with which to compose your narrative in a maximum of seven (7) pages.

The application narrative should include a description of the records involved, of the nature of the project, and of how it will be carried out and evaluated. It is to your advantage to be concise and straightforward, and to provide only information that is relevant to your organization and to your project. When reviewing your application, panelists will evaluate your narrative section and assign a maximum of 75 points.

# I. Project Description *[maximum 30 points]*

## a. Description of the Records *[10 points]*

Provide information about the records and their significance according to the Project Type of your proposal. Specific instructions for the three Project Types (Documentation, Arrangement & Description, and Archival Needs Assessment) follow.

**Documentation** (The amount of detail you can provide will depend on the project and whether you are applying for Phase One, the planning phase, or a subsequent phase.)

- Describe the topic of the documentation project
- Provide the following descriptive information about the records (if the application is for planning or surveying records and you don't yet have specific information about the records or the organizations or individuals that created them, indicate what you anticipate finding):
    - the individuals and/or organizations who have created the records
    - the datespan of the records
    - the quantity of records (in cubic feet; see the *Table of Cubic Equivalents*, Resource V, page 22)
    - the informational content of the records
- Describe the significance of the records including their research value, their potential audience and their importance in documenting New York State history.
- Indicate how the records will be made accessible and the anticipated level of use they will receive as a result of the project.

**Arrangement & Description**

- Provide the following descriptive information about the records:
    - the collection or series title(s), when possible
    - the individuals and/or organizations who have created the records
    - the datespan of the records
    - the quantity of records (in cubic feet; see the *Table of Cubic Equivalents*, Resource V, page 22)
    - the informational content of the records
- Describe the significance of the records including their research value, their potential audience and their importance in documenting New York State history.
- Indicate how the records will be made accessible.
- Describe the current level of use and how the records will receive broader or more intensive use as a result of the project.

***Arrangement & Description "Circuit Rider" Projects***

- Identify the participating organizations or repositories.
- Describe the collections using the list in *Arrangement & Description* above.
- Describe the significance of the records including their research value, their potential audience and their importance in documenting New York State history.
- Attach letters of commitment from all the participants. These letters should express the participant's intention to participate and should specify the cost share each will furnish.

**Archival Needs Assessment**

- Provide the following information:
    - the geographic area and community served by the repository
    - titles, datespans and brief descriptions of some of the more frequently used collections
    - the quantity of records currently owned by the repository (in cubic feet; see *Table of Cubic Foot Equivalents*, Resource V, page 22);
- Describe the current level of use and audience for the records and their importance in documenting New York State history. Indicate how the records will receive broader or more intensive use as a result of the project.
- Indicate the type and level of self-study, if any, and the results of the initial needs assessment undertaken by the DHP Regional Archivist. Include the initial needs assessment report as an attachment.

**I a. Required Attachments**

- For all **Arrangement & Description** projects: A sample finding aid, created by your repository or by your project's Archival Consultant, must be provided. You may either include the URL to a sample finding aid in your Project Description or include a paper copy of a sample finding aid in your application package. This paper copy must be five pages or less in length. If the finding aid you wish to use is longer than five pages, attach a sample of five pages from the finding aid, being sure the sample includes the critical elements of a standard finding aid.
- For **Arrangement & Description "Circuit Rider"** projects: Attach letters of commitment from all the participants. These letters should express the participant's intention to participate and should specify the cost share each will furnish.
- For **Archival Needs Assessment** projects**:** Attach the initial needs assessment undertaken by the DHP Regional Archivist.

### b. Topical Priority *[15 points]*

Make the case that the project for which you are applying fits within the one topical area indicated on your cover sheet (page 53). Applications are scored based on the priority level of the topical area as follows: Priority One [11 to 15 points], Priority Two [6 to 10 points], and Priority Three [1 to 5 points]. See pages 10-13 for further information. If your project has a significant impact in another topical area (for example, a project to document mental health organizations in a predominantly Latino community), you may indicate this in your description, but the point awarded for priority will be based only on your main topical priority.
Note: **Archival Needs Assessment** applications do not have to declare a Topical Priority. Because of this, the point score for Archival Needs Assessment applications will be adjusted accordingly to compete fairly with the other grant project types.

### c. Need for Project *[5 points]*

Explain the importance of the project, why you are applying at this time, why outside funds are needed, why the project cannot be carried out with funding already available, and what will happen if the funds are not provided.

## II. Outcomes and Evaluation *[Each of the four Outcome Statements/Evaluations can achieve a maximum of 3.75 points for a maximum total of 15 points]*

This section of the application was created to capture qualitative information about the DHP Grants Program and as a way to measure the benefits of DHP funded projects. This new process, which requires each applicant to respond to the same set of outcomes, results in consistency of qualitative data with which DHP staff can evaluate the program and improve its effectiveness. This process also will help applicants to better conceive of, implement and evaluate their projects so that the outcomes will meet archival standards and be of benefit to historical records repositories, their communities and their users.

In this section, describe how your project will lead to each of the intended and predictable outcomes, and how you will monitor and measure your progress in achieving each of those outcomes. For outcomes which cannot be achieved within the grant period, you should indicate how you will evaluate them in the future. See Resource VII, pages 24-27 to guide you in formatting and writing your Section II Outcomes and Evaluation narrative.

## a. Outcomes

The outcomes listed below were devised by the DHP for the program as a whole. In Section II of your narrative, you should develop your own specific versions of these outcome statements, being sure to address the concepts in the DHP outcomes listed below.

All applicants must write outcome statements for DHP Outcomes 1 and 2 below as well as the specific outcomes relevant to their project type. **Documentation** projects must address DHP Outcomes 1, 2, 3 and 4. **Arrangement & Description** projects must address DHP Outcomes 1, 2, 5 and 6.  **Archival Needs Assessment** projects must address DHP Outcomes 1, 2, 7 and 8.

Your outcome statements should serve as predictions of how your project will look at its completion. They show how each DHP Outcome will be expressed in your project and should focus on what you intend to achieve that can be evaluated. At the end of the project these predictions will give you a systematic method of evaluating the extent to which your project has achieved its intended results.

**Outcomes for all projects**

DHP Outcome 1: People who are involved in or learn about the project gain increased awareness of the value of historical records and the importance of organizations that preserve and make them accessible.

Such people may include staff and volunteers working on the project; the leadership, board, patrons, and funders of the sponsoring organization; community organizations and individuals interested in the subject matter of the records; teachers and students; civic and political leaders; media representatives; and individuals worldwide who visit the organization's website or learn about its records online. You do not need to address your project to all these groups. Select those, or others not mentioned here, that are appropriate and important to your project.

DHP Outcome 2:  Access tools (including MARC records and finding aids) created as a result of the project meet archival standards; needs assessment reports are consistent with archival best practices.

**Documentation** projects

DHP Outcome 3:  Records of New York’s underdocumented population groups and topics not currently in historical records repositories are identified and surveyed.

DHP Outcome 4: The historically valuable records identified and surveyed during the project are donated to an appropriate historical records repository and added to its collection.

**Arrangement & Description** projects

DHP Outcome 5: Access tools created as a result of this project are accessible online and locally, and potential users are aware of their availability.

DHP Outcome 6: The access tools and the records they describe are used by researchers.

**Archival Needs Assessment** projects

DHP Outcome 7: The Needs Assessment Report is presented to and discussed by the organization's leadership and most important stakeholders.

DHP Outcome 8: A plan to meet the needs as described in the Needs Assessment Report is developed and implemented.

Be sure all of your project outcomes are reflected in your Plan of Work (Section IIIa).

### b. Evaluation

Project evaluation lets you know whether you have achieved the outcomes you predicted and it provides information to help you improve future projects. It also provides information to the DHP about your work, and helps us to guide future grantees and improve the effectiveness of the program.

In Section II of your narrative, discuss the methods your organization will use to monitor and measure your progress in achieving each of your predicted outcomes.

Note: Some of your predicted outcomes (specifically 4, 6, and 8) may not be achieved during the grant period, so you will not be able to report on them in your project's final report to the DHP. In these cases, your Section II narrative should describe the methods you will use to evaluate your success in achieving these outcomes over the long term.

Be sure to account for all evaluation activities mentioned in this section in your Plan of Work (Section IIIa).

## III. Project Implementation *[maximum 25 points]*

### a. Plan of Work *[15 points]*

The plan of work is the heart of your project narrative. It should describe the work that will be undertaken to complete the project on time (by June 30, 2011) with the personnel, facility, and other resources available; and should include the key elements for your Project Type referred to in the descriptions on pages 5-9. Be sure to:

- Describe the project activities (who, what, when, where) and how they will be accomplished. For **Arrangement & Description** projects, include the rate of processing in hours per cubic foot (see Resource IX, page 23 for more information).
- Include a timeline to show how the work will progress in a logical way over the course of the project.

- Describe the use of archival, standards and best practices which are appropriate to your project.
- Describe the archival policies, bibliographic and environmental controls, and accessibility of the holdings for the project's historical records repository.
- Briefly discuss the results of any previous funding that directly relates to this specific project.

## b. Key Project Personnel *[10 Points]*

For all key project personnel:

- Describe qualifications with regard to education/training and experience for each.
- Describe project time commitment for each.
- Indicate what role each will play
- Indicate how each will be paid - whether by the applicant organization or with DHP grant funds.
- Attach resumes and applicable job descriptions.

For **Documentation** project Advisory Committee members:

- Attach a list of individuals who have agreed to serve on your Advisory Committee. The list should include member's name, affiliation, and a brief description.
- Resumes are not required for Advisory Committee members.
- If the particular advisors cannot be identified in advance, indicate what groups or skills will be represented on the committee.

**Definitions:**

- *Key Personnel* - Key personnel are individuals who work *directly* on the project. They can include both staff to be paid from grant funds, and existing staff or volunteers whose time will be contributed by the applicant organization.
- *Project Director* - Every project must have a Project Director. Project Directors are expected to monitor closely and supervise all work carried out by consultants, contract workers and project staff.
- *Advisory Committee (***Documentation** projects) - An advisory committee is made up of individuals who come from the community or topic being documented, and should be convened to provide advice and guidance to the project. Applicants are encouraged to seek advice from their DHP Regional Archivist concerning members for their advisory committee.

**III b. Required Attachments**

- Attach resumes, a maximum of three (3) pages in length each, for all key project personnel. Key project personnel could include: Project Director, Consulting Archivist, Archival Assistant, Project Interns, Project Specialists, etc.
- Attach job descriptions for every position that will be supported in whole or in part by grant funds.
- If you are proposing to transfer existing professional staff to work on project-related activities, in an attached letter justify the need and explain how these staff members will be replaced in their former assignments using non-grant funds.

- For **Documentation** projects: Attach a list of individuals who have agreed to serve on your Advisory Committee. The list should include member's name, affiliation, and a brief description; and be no more than one page in length. Resumes are not required for Advisory Committee members.

## IV. Organizational Capacity *[maximum 5 points]*

### a. Organizational Capacity *[5 points]*

Briefly, provide the following information about the applicant organization.

- Demonstrate your organization's past experience and its current capacity to carry out the project.
- Indicate how the work of the project relates to your organization's mission
- Describe your intention to maintain and continue the work of the project.

**IV a. Required Attachments**

- Attach the mission statement of the applicant organization.

# Application Budget and Cost Share instructions

The budget and cost share forms (pages 61-78) provide the applicant with an opportunity to present a comprehensive description of the project expenditures and match. Be concise and straightforward, and provide only information that is applicable to your organization and your project.

Grant reviewers will evaluate your application and assign points for each component. The highest score assigned will be 100, with a maximum of 25 points allocated to the budget/cost sharing section.

## Budget Category & Narratives and Budget Summary FS-20

*[maximum 25 points]*

Applicants should use the *Budget Category and Narrative* forms (pages 61-74) to itemize their funding requests. There are unique forms for each of the following categories: Salaries for Professional Staff (Code16); Salaries for Support Staff (Code 16); Purchased Services (Code 40); Supplies, Materials, and Equipment costing less than $5,000 (Code 45); Equipment (Code 20); Travel Expenses (Code 46); and Employee Benefits (Code 80). On each form there are fields for itemized expenditures and a narrative.

In the narrative field of each *Budget Category and Narrative* form, the applicant should briefly describe how the requested funds will be used and how they are appropriate, reasonable, and necessary to support the project activities and outcomes. In addition, the budget narratives should briefly describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided by the applicant. Applicants should only submit forms for the budget categories for which they are requesting funding.

The totals from each of the *Budget Category* & *Narrative* form should then be transferred to the appropriate field on page 2 the *Budget Summary* form which is located on page 76.

Also on page 2 of the *Budget Summary* form are fields to compute and enter *Indirect Costs* (Code 90). "Indirect cost" is broadly defined as central administrative costs and certain other organization-wide costs that are incurred in connection with a project, but that cannot be readily identified with the project. Applicants may request coverage of their indirect cost at a rate not exceeding 2.5 % of the total grant amount requested (excluding any grant funds requested for equipment).

An original signature of the Chief Administrative Officer *in blue ink* must appear on the *Budget Summary* form (FS-20).

If the project is accepted for funding, an approved copy of the *Budget Summary* form (FS-20) will be returned by NYSA Grants Finance to the contact person.

The above forms are the applicant's opportunity to provide a description of the proposed project expenditures. Reviewers will evaluate these forms and score points for each component. The highest score to be allocated to the budget is 20 points. See the specific instructions for each form (pages 61-74).

### Ineligible Expenditures

Most ineligible expenditures are listed in the instructions of the *Budget Category and Narrative* forms (pages 61-74) to which they pertain. Three additional ineligible expenditures are listed here. When in doubt as to expenditure's eligibility, contact the DHP office.

- Capital projects for the purchase or construction of facilities or additions to existing structures.
- Repairs to the roof, exterior walls, or foundation of a building.
- Routine repairs and building maintenance. Repairs are occasional work of a recurring nature, which are intended to restore to a satisfactory condition deteriorated or broken facilities. Maintenance is work of a recurring nature that is intended to promote the upkeep of a building or other structure.

Do not use *Budget Category & Narrative* forms or the *Budget Summary* form to report your cost share. Use them only to indicate your cost share for the funds you are requesting from the DHP. There is a separate form for reporting cost sharing.

## Cost Sharing

All cost share contributions **must directly support** project activities and outcomes. **Documentation** projects require cost sharing of at least 20% of the Total Project Cost. **Arrangement & Description** and **Archival Needs Assessment** projects require cost sharing of at least 50% of the Total Project Cost. See pages 77-78 for the *Cost Sharing Form* and instructions. Failure to meet these conditions will result in rejection of the application.

**Submit your application by mail**
**(postmarked no later than Monday, February 1, 2010) to:**

Documentary Heritage Program
New York State Archives
9C71 Cultural Education Center
310 Madison Avenue
Albany, NY 12230

**For further information, please contact:**

Pamela Cooley
Documentary Heritage Program
New York State Archives
9C71 Cultural Education Center
Albany, NY 12230
Phone: 518-474-6926 Email: dhs@mail.nysed.gov

# DHP Grant Application Review Process

In evaluating applications, reviewers base their recommendations on the four sections of the grant narrative (Project Description, Outcomes and Evaluation, Project Implementation, and Organizational Capacity) and on the budget.

The highest score an application can receive is 100 points. A grant must score a minimum of 60 points to be considered for funding. After the reviewers have scored and ranked each application, they will meet as a group to review their rankings, and using their initial rankings as a guide, come to a consensus on a final score. Reviewers will then make a decision on each project proposal to:

1) fund the project fully;
2) 2) fund it partially with modifications for scope reductions; or
3) not fund it at all.

Awards will be made in the order of ranking until the available funds are depleted. NYSED anticipates that higher-scoring applications will be more likely to be fully-funded (less any unallowable costs), while lower-scoring applications will be more likely to receive partial funding. In the event of a tie score, the least costly proposal is funded over the more costly one.

# DHP Grant Application Review Criteria

Reviewers will use the Criteria form on page 51 to evaluate the information in each section of the application's narrative and in its budget.

# DHP Grant Application Review Criteria

**I. Project Description** *[maximum 30 points]*

a. **Records Description:** Provided requisite information about the records and effectively described their significance according to the Project Type of the proposal. *[10 points]*

b. **Topical Priorities**: Made a convincing case that the project fit within one (and only one) of the topical priorities. *[Priority One: 11-15 points, Priority Two: 6-10 points, Priority Three: 1-5 points]*

c. **Project Need:** Persuasively explained the need for the project and why funding from DHP at this time is essential to its accomplishment *[5 points]*

**II. Outcomes and Evaluations** *[maximum 15 points]*

**Project Outcome Statements** and **Evaluations:** Clearly articulated all four outcomes required for their Project Type and satisfactorily discussed the methods that would be used to evaluate each of their predicted outcomes.
*Each of the four Outcome Statements and their corresponding Evaluations can achieve a maximum score of 3.75 points.*

**III. Project Implementation** *[maximum 25 points]*

a. **Plan of Work:** Clearly described the work that would be undertaken to complete the project on time, and with the personnel and other resources available. *[15 points]*

b. **Project Personnel:** Provided requisite information for all key project personnel, including qualifications and the roles each would play. *[10 points]*

**IV. Organizational Capacity** *[maximum 5 points]*

Briefly described the organization’s past experience and current capacity to carry out and sustain the project, and how the work of the project relates to the organization’s mission.

**V. Budget and Cost Share** *[maximum 25 points]*

a. Clearly described how the proposed expenditures would be used to support project activities and outcomes, and convincingly demonstrated that the expenditures are appropriate, reasonable and necessary. *[15 points]*

b. Clearly described how the expenditures and activities of the proposal are supplemental to and do not supplant or duplicate services currently provided. *[10 points]*

c. Clearly described how cost share contributions directly support project activities and meet minimum requirements.

*Section IV*

# DHP Grant Project Application Forms



* Required forms - complete and include with application

** Complete and include only the forms appropriate to your project

| | |
|---|---|
| **Institution Name:** | |
| **Chief Administrative Officer** *(name):* | Job Title: |
| CAO's work address:<br><br>City: Zip Code: | Telephone:<br><br>Email: |
| **Project Director** *(name):* | Job Title: |
| PD's work address: ☐ Address is same as above.<br><br>City: Zip Code: | Telephone:<br><br>Email: |
| County of primary location: | |
| NYS Assembly District #: | NYS Senate District #: |
| Federal ID #: | Charities Registration #:<br>☐ Exempt from this requirement (if checked, complete Payee Information Form, Sect. III, see p. 44-45) |
| **Grant Amount Requested: $** | |

**Grant Project Type** (*Check the predominant project type):*

| | | |
|---|---|---|
| ☐ Documentation | ☐ Arrangement & Description | ☐ Archival Needs Assessment |

**Grant Project Topical Priority** *(For Documentation and Arrangement & Description projects only; select one priority):*

| | | |
|---|---|---|
| **Priority One** | ☐ Population groups in the 20th & 21st centuries<br>☐ Economic change in the 20th & 21st centuries | ☐ World Trade Center disaster<br>☐ Education policy |
| **Priority Two** | ☐ Environmental affairs | ☐ Mental Health |
| **Priority Three** | ☐ Other under-documented topics in New York State history | |

| |
|---|
| **Grant Project Title:** |

**Grant Project Summary** (*Briefly describe your project in the box below – 10 pt font, 225-word limit*):

| |
|---|
| |

**2009–2010 DHP Grant Project Application Cover Sheet**, page 2

| Institution Name: |
| --- |
| Project Title: |

## Certification

I hereby certify that I am the applicant's chief administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable State laws and regulations, application guidelines and instructions, Certifications, Appendix A (pages 32-36); and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the New York State Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that this certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

| Chief Administrative Officer's/ Authorized Designee's Signature *(original signature in blue ink)*: | |
| --- | --- |
| Name *(please print or type)*: | Date: |

**Instructions for completing this form are on pages 39-40.**

**Submit an original and seven (7) copies of the completed application and required attachments to:**

Documentary Heritage Program
New York State Archives
9C71 Cultural Education Center
310 Madison Avenue
Albany, NY 12230

**The complete application package must be postmarked on or before Monday, February 1, 2010.**

| Institution Name: | Log # (for office use) |
|---|---|
| Project Title: | |

# 2010-2011 DHP Grant Project Application Checklist

Listed below, in the order that they should appear, are the required documents for an application package. Use this checklist to ensure that your application package is complete and in compliance with application guidelines. Incomplete, out of order, or incorrectly collated application packages will not be reviewed. Required documents for all projects are shaded grey. Application package must be postmarked on or before Monday, **February 1, 2010**.

| **Application Package Documents** | ✓ **Applicant** | ✓ **DHP** (for office use) |
|---|---|---|
| *Application Cover Sheet* - with original CAO signature in *blue* ink | | |
| *Application Checklist* | | |
| *Payee Information Form* - with original CAO signature in *blue* ink | | |
| *Standard Data Capture Form* | | |
| *Application Narrative Form* - maximum of 7 pages in length | | |
| Required Attachments for all projects | | |
| *Resumes* for key project personnel - maximum of 3 pages per resume (see page.46) | | |
| *Job descriptions* for all positions that will be supported in whole or in part by grant funds (see page 46) | | |
| If applicable: *Letter of justification* stating how staff members will be replaced in their former assignments using non-grant funds (see pages 46, 62 and 64). | | |
| Applicant organization's *Mission Statement* (see pages 4 and 47) | | |
| For instances in which the Chief Administrative Officer is unavailable to sign the application: *Letter of Explanation* (see page 40) | | |
| Required Project Specific Attachments | | |
| For **Documentation** projects: *Advisory Committee List* (see page 46-47) | | |
| For **Arrangement & Description** projects: *Sample Finding Aid* – maximum of 5 pages (see pages 4 and 43) | | |
| For **Arrangement & Description Circuit Rider** projects: *Letters of Commitment* from all participants (see page 42) | | |
| For **Archival Needs Assessment** projects: *Needs Assessment Report* from the DHP Regional Archivist (see pages 9 and 43)) | | |
| *Cost Sharing Form* | | |
| *Budget Category & Narrative Forms* - only those which are filled in | | |
| *Budget Summary Form FS-20* - with original CAO signature in *blue* ink | | |
| *Proof of not-for-profit status* | | |

DHP Application Check: *(for office use)* ______ New _____ ACIS

Date: Application check completed___

THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

# PAYEE INFORMATION

In order to receive funds from the NYS Education Department, **ALL SECTIONS** of this form will need to be completed and returned with **original signature in blue ink** to the Education Department program office as part of your grant application. It is available online at: http://www.oms.nysed.gov/cafe/forms/PIform.pdf

## Section I: Institution Identifying Information

| Legal Name of Agency | Contact Person/Telephone Number |
|---|---|
| | |

Please print or type

| |
|---|
| Business name, (if different from above ) |
| Payment/Fiscal Agent (if different from above) |
| Address (number, street, and apt. or suite no.) to which checks will be mailed |
| City, State, and ZIP code (+ 4 digits) or Foreign City, Country & Postal Code |

**Federal Employer Identification Number (FEIN) of this agency is:** ___ ___ - ___ ___ ___ ___ ___ ___ ___

* Provide FEIN of recipient agency regardless of payment/fiscal agent

**Municipality Code (if agency is a local government):** ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐

## Section II: Agency Profile

1. This agency is a (check one) ☐ Non-Profit Organization ☐ For Profit Organization
2. This agency is a (check one) ☐ Sectarian Organization ☐ Non-sectarian Organization
3. Is this agency chartered or incorporated by the New York State Board of Regents? (Check one) ☐ Yes ☐ No
4. Is any member of the Board of Directors an employee of the NYS Education Department?
   ☐ Yes, please name ______________________________________ ☐ No

## Section III: Charity Registration Number Status (NON-PROFIT ORGANIZATIONS ONLY)

Answer **ONE** of the four questions listed below.

1. The charity registration number (**NOT** a tax exempt or Federal ID number) of this organization is: ___________________________________.

2. ☐ This organization has applied for a charity registration number from the Department of State but has not as yet been notified of the authorized number granted.

3. ☐ This organization is exempt from the requirement of registering with the Department of State as a charitable organization because it receives less than $25,000 in total from governmental agencies.

4. ☐ This organization is exempt from the requirement of registering with the Department of State as a charitable organization pursuant to the Department of State Exemption Category indicated below (Please read attached Bulletin No. G-79 and the Summary of Exemption Categories and check **ONE** Exemption Category listed below, if applicable).

☐ Exemption Category 1 ☐ Exemption Category 2 ☐ Exemption Category 3 ☐ Exemption Category 4
☐ Exemption Category 5 ☐ Exemption Category 6 ☐ Exemption Category 7 ☐ Exemption Category 8

## **Section IV**: Certification

I hereby certify that the information herewith provided is to the best of my knowledge both accurate and true.

________________________________________
Chief Administrative Agency Official/Authorized Designee **(Please Print)**

________________________________________ ________________
Signature in blue ink - Chief Administrative Agency Official/Authorized Designee — Date

---

**SED USE ONLY: Deputy Area/Program Office**

Institution ID: | 8 | 0 | 0 | 0 | 0 | 0 | | | | | | |

I have reviewed the payee information contained herein and hereby approve this agency for payment.

______________________________ ______________________________
Deputy Area **(Please Print)** — Program Office **(Please Print)**

______________________________
Program Manager **(Please Print)**

______________________________ ________________
**Original** Signature - Program Manager (in *blue* ink) — Date

---

**SED USE ONLY: Grants Finance**

SED Agency Number/BEDS Code (if applicable): | | | | | | | | | | | | |

Institution Type: | | | | | |   Institution Subtype: | | | | | |

Interest Eligible: ☐ **yes** ☐ **no**

Reviewer: ____________________ Date: ____________________

new york state archives

Documentary Heritage Program, New York State Archives
9C71 Cultural Education Center, Albany, NY 12230

## Standard Data Capture Form

Please provide the following basic information so that your institution can be officially registered with the New York State Education Department. Instructions can be found on page 41.

**Legal Name of Institution** (as contained on a charter, license or other such document):

**Date Established** (the date or year that your institution was originally established:

**Physical Address** (the primary address where your institution is located):

**Street:**

**City**

**State:** New York **Zip code:**

**Mailing Address** (check here ☐ if this address is the same as your physical address above)

**Street:**

**City:**

**State:** New York **Zip code:**

**County of primary location** (county where primary address is located):

**Name of School District of primary location** (school district where primary address is located):

**Phone:** ( )

**Web URL:**

**Email address:**

**Name and Title of Chief Administrative Officer** (CAO):

**CAO's Phone:** ( ) - **CAO's Fax:** ( ) -

**CAO's Email address:**

**Parent Organization** (if applicable):

# 2010-2011 DHP Grant Project
# Application Narrative Form

| Institution Name: | |
|---|---|
| Project Title: | |
| Project Type: | Topical Priority: |

**Page Limits and Standards**:
Using the standards and form below, limit the Project Narrative to a maximum of seven (7) pages.

- Print this form and your narratives on 8.5” x 11” paper.
- Single space all text in the narrative sections. Use a 12-point Times Roman or Arial font.
- In narrative sections, double space between each heading and include the title of each heading (i.e. “Ia. Records Description”).

On the form below, address each of the issues referred to in the instructions on pages 41-47, Keep in mind that these issues directly correspond to the criteria used by reviewers when ranking your application.

| **I. Project Description** *[maximum 30 points]* |
|---|
| a. **Records Description:** Provide information about the records and describe their significance according to the Project Type of your proposal. *[10 points]*<br><br>b. **Topical Priorities**: Make the case that your project fits within one (and only one) of the priority topics. *[15 points]* **Archival Needs Assessment** projects do not need to address I.b. in their narrative.<br><br>c. **Project Need:** Explain the need for the project and why funding from DHP at this time is essential to its accomplishment *[5 points]* |

**Narrative:**

| **II. Performance Outcomes and Evaluation** *[maximum 15 points]* |
|---|
| a. **Project Outcome Statements:** Clearly and concisely articulate all four outcome statements required for your Project Type (**Documentation -** Outcomes 1, 2, 3, 4; **Arrangement & Description -** Outcomes 1, 2, 5, 6; **Archival Needs Assessment** Outcomes 1, 2, 7, 8,) See Resource VII, pages 24-27 for examples.<br><br>b. **Evaluation:** Discuss methods you will use to evaluate all four predicted outcomes. |

**Narrative:**

| **III. Project Implementation** *[maximum 25 point]* |
|---|
| *a.* **Plan of Work:** Describe the work that will be undertaken to accomplish project outcomes on time (by June 30, 2011) and with the personnel and other resources available. *[15 points]*<br><br>*b.* **Project Personnel:** Provide requisite information for all key project personnel. *(10 points)* |

**Narrative:**

| **IV. Organizational Capacity** *[maximum 5 points]* |
|---|
| a. **Organizational Capacity:** Briefly describe past experience and current capacity to carry out and sustain the project, and how the work of the project relates to your mission. |

**Narrative:**

**2010–2011 DHP Grant Project Budget Category & Narrative Form - Code 15**

| | |
|---|---|
| **Institution Name:** | |
| **Project Title:** | |

# Salaries for Professional Staff: Code 15

**Table:**

| Specific Position Titles | Hours Worked | Rate of Pay | Expenditure (Salaries) |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Total Expenditure (transfer to FS-20, Budget Summary Form, page 76) | | | |

**Narrative:**

# Salaries for Professional Staff: Code 15

## Instructions

### Table
Provide the position title, number of hours, hourly rate of pay, and total project salary for each *professional* staff person you propose to pay with grant funds. Use only whole dollar amounts.

### Narrative
Explain how these positions will directly support project activities and outcomes. Clearly explain and justify the individual(s) role in and time spent on the project.

### Eligible Expenditures (Code 15)
Grant funds may be used to hire new professional staff to carry out project-related activities.

Generally, when existing staff devotes time to grant project-related activities, it is provided as institutional match or as paid overtime.

If you are proposing to transfer existing professional staff to work on project-related activities, *in an attached letter* justify the need and explain how these staff members will be replaced in their former assignments using non-grant funds.

Work hours of existing professional staff may be increased and grant funds may be used to pay for this increase, providing the work is directly related to the project.

Professional staff may be hired to complete descriptive tasks such as creating MARC records and electronic versions of descriptive materials.

For any position that will be supported in whole or in part by grant funds, applicants must attach a job description.

A chart for use in estimating processing time for **Arrangement & Description** projects can be found in Resource VI, page 23.

### Ineligible Expenditures (Code 15)
Consultants, per diem staff, and support staff should not be included on this form. Use Code 40 Form instead.

DHP does not fund routine business activities of the organization.

No one may be paid to write grant applications with grant funds.

**2010–2011 DHP Grant Project Budget Category & Narrative Form - Code 16**

| | |
|---|---|
| **Institution Name:** | |
| **Project Title:** | |

# Salaries for Support Staff: Code 16

**Table:**

| Specific Position Titles | Hours Worked | Rate of Pay | Expenditure (Salaries) |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Total Expenditure (transfer to FS-20, Budget Summary Form, page 76) | | | |

**Narrative:**

# Salaries for Support Staff: Code 16

## Instructions

### Table

Provide the position title, number of hours, hourly rate of pay, and total project salary for each *support* staff person you propose to pay with grant funds. Use only whole dollar amounts.

### Narrative

Explain how these positions will directly support project activities and outcomes. Clearly explain and justify the individual(s) role in and time spent on the project.

### Eligible Expenditures (Code 16)

Grant funds may be used to hire new support staff to carry out project-related activities.

Generally, when existing staff devotes time to grant project-related activities, it is provided as institutional match or as paid overtime.

If you are proposing to transfer existing support staff to work on project-related activities, *in an attached letter* justify the need and explain how these staff members will be replaced in their former assignments using non-grant funds.

Work hours of existing support staff may be increased and grant funds may be used to pay for this increase, providing the work is directly related to the project

Support staff may be hired to complete descriptive tasks such as creating MARC records and electronic versions of descriptive materials.

For any position that will be supported in whole or in part by grant funds, applicants must attach a job description.

A chart for use in estimating processing time for **Arrangement & Description** projects can be found in Resource VI, page 23.

### Ineligible Expenditures (Code 16)

Consultants, per diem staff, and professional staff should not be included on this form. Use Code 40 Form instead.

DHP does not fund routine business activities of the organization.

No one may be paid to write grant applications with grant funds.

**2009–2010 DHP Grant Project Budget Category & Narrative Form - Code 40**

| | |
|---|---|
| **Institution Name:** | |
| **Project Title:** | |

# Purchased Services: Code 40

**Table:**

| Description of Item | Provider of Services | Calculation of Cost | Expenditure (Purchased Svcs.) |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Total Expenditure (transfer to FS-20, Budget Summary Form, page 76) | | | |

**Narrative:**

# Purchased Services: Code 40

## Instructions

Funding for both consultant services, contracted services, and for publications directly related to the project, should be requested under Purchased Services (Code 40).

Fees for an individual, usually an archival specialist who works fewer than 20 days and receives a lump sum payment (no benefits paid) are recorded under Purchased Services (Code 40) and referred to as “Consultant Services.” Consultants may be hired to train staff, conduct studies, prepare reports and recommendations, establish inventory procedures, and other similar services of an advisory nature.

If the consultant has been identified by the application deadline, his/her resume must be included in the application package. If the consultant is not identified and the application is successful, DHP must review the resume of the consultant before she/he is hired.

Pay for temporary workers who are hired for a period of weeks or months (usually working more than 20 days) and who do not receive benefits should also be recorded under Purchased Services (Code 40) and referred to as “Contracted Services.” These persons may be hired to conduct such work as surveying, arrangement and description, or similar activities.

Funding for the publication of manuals, teaching guides, finding aids, or other project-related documents, should be requested under Purchased Services (Code 40).

## Table

Identify the type of service and provide the total expenditure for each. For consultants and contracted services, indicate the number of days or hours a consultant or contract worker will work, multiplied by a daily or hourly fee. Use only whole dollar amounts.

## Narrative

Describe how the purchased services support project activities and outcomes. In the case of consultants and/or contract workers: list each name and provide information on their qualifications. Also, clearly explain and justify the consultant’s and/or contract worker’s role in and time spent on the project. A chart for use in estimating processing time for **Arrangement & Description** projects can be found in Resource VI, page 23.

## Ineligible Expenditures

DHP does not fund routine business activities of the organization.

No one may be paid to write a grant application with grant funds.

Consultants may not serve as directors of grant projects. Project Directors are expected to monitor closely and supervise all work carried out by consultants, contract workers and project staff.

DHP does not fund expenses associated with conferences and other events not directly related to the project.

**2010–2011 DHP Grant Project Budget Category & Narrative Form - Code 45**

| | |
|---|---|
| **Institution Name:** | |
| **Project Title:** | |

# Supplies, Materials, and Equipment costing less than $5,000: Code 45

**Table:**

| Description of Item | Quantity | Unit Cost | Expenditure |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Total Expenditure (transfer to FS-20, Budget Summary Form, page 76) | | | |

**Narrative:**

# Supplies, Materials, and Equipment costing less than $5,000: Code 45

## Instructions

### Table
Briefly describe each requested item and specify quantity, unit cost, and total expenditure. Use only whole dollar amounts.

### Narrative
Describe how each of the supplies, materials, and equipment costing less that $5,000 itemized on this form will directly support project activities and outcomes.

### Eligible Expenditures
Supplies such as office supplies, acid-buffered folders, archival storage containers, sleeves and enclosures, and shelving

Equipment items with a unit cost of less than $5,000

All computer software, regardless of the unit price

### Ineligible Expenditures
Purchase of office furniture or photocopiers

Purchase of motor vehicles

**2010–2011 DHP Grant Project Budget Category & Narrative Form - Code 20**

| Institution Name: | |
|---|---|
| Project Title: | |

# Equipment: Code 20

**Table:**

| Description of Item | Quantity | Unit Cost | Expenditure (Equipment) |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Total Expenditure (transfer to FS-20, Budget Summary Form, page 76) | | | |

**Narrative:**

# EQUIPMENT: Code 20

## Instructions

### Table
Briefly describe the item to be purchased and specify quantity, unit cost, and total expenditure. Use only whole dollar amounts.

### Narrative
Describe how this equipment will be used to directly support project activities and outcomes. Applicants requesting such equipment must demonstrate that it is critical to the project and will be used on an ongoing and continuing basis to support the project, even after the end of the grant funding.

### Notes
Requests for computer hardware are not encouraged unless the equipment is essential to the project; will be used exclusively for the project; and will be used to continue the project function after the grant period.

Do not include equipment expenditures as part of the direct cost base in the calculation of indirect cost.

### Eligible Expenditures
Equipment essential for the project

Equipment with a unit cost of $5,000 or more

## Ineligible Expenses
Office furniture and photocopiers

Do not include software, regardless of cost, in this budget code. Itemize all software expenses under Supplies and Materials (Code 45).

Equipment with a unit cost under $5,000 should be accounted for in Supplies and Materials (Code 45).

Purchase of motor vehicles

**2010–2011 DHP Grant Project Budget Category & Narrative Form - Code 46**

| | |
|---|---|
| **Institution Name:** | |
| **Project Title:** | |

# Travel Expenses: Code 46

**Table:**

| Position of Traveler | Purpose | Calculation of Cost | Expenditure (Travel) |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Total Expenditure (transfer to FS-20, Budget Summary Form, page 76) | | | |

**Narrative:**

# Travel Expenses: Code 46

## Instructions

### Table
Identify the position of the person traveling, purpose of travel, itemized travel expenses, and total expenditure. Use only whole dollar amounts.

### Narrative
Explain how the proposed travel directly relates to project activities and outcomes as outlined in the application.

### Eligible Expenditures
Although most applicants request funds for the Project Director's to travel to Albany for the DHP grant recipients' meeting in the fall, applicants may opt to absorb this cost as part of their contributed match.

Travel to State Archives' workshops and to other educational opportunities directly related to the project, such as computer training or conferences

Airfare, if it can be clearly demonstrated that it is the most cost-efficient method of travel available

Staff, traveling in excess of their regular commute for project-related activities, may receive a mileage reimbursement at the current federal per-mile-rate.

### Ineligible Expenditures
Expenses associated with conferences and other events such as computer training that do not directly relate to the project.

**2010–2011 DHP Grant Project Budget Category & Narrative Form - Code 80**

| | |
|---|---|
| **Institution Name:** | |
| **Project Title:** | |

# Employee Benefits: Code 80

**Table:**

| Benefit | Proposed Expenditure |
|---|---|
| Social Security, Retirement (NYS Teachers, NYS Employees, Other), Health Insurance, Worker's Compensation, Unemployment Insurance, Other | |
| | |
| | |
| Total Expenditure (transfer to FS-20, Budget Summary Form, page 76) | |

**Narrative:**

# Employee Benefits: Code 80

## Instructions

Applicants may request fringe benefits for professional staff and support staff identified in Code 15 and Code 16 forms.

### Table

Institutions may choose to calculate the proposed Employee Benefits by using their own Fringe Benefits (FB) rate or by itemizing the specific benefits. The FB Rate for project personnel must be the same as those used for other institutional personnel. Use only whole dollar amounts.

### Narrative

Justify the need for using grant funds to pay staff benefits.

Fringe benefits normally should not exceed 35% of the cost of salaries requested. Applicants must provide convincing justification for requests in excess of this limit.

### Ineligible Expenditures

Fringe benefits may not be paid to consultants or contract workers.

The University of the State of New York
STATE EDUCATION DEPARTMENT
*(see instructions for mailing address)*

**PROPOSED BUDGET SUMMARY FOR THE A FEDERAL OR STATE PROJECT**
**FS-20 (12/05)**

## Grant Applicant Information

Funding Source: **Documentary Heritage Program**

| | |
|---|---|
| Report Prepared By: | |
| Name of Applicant: | |
| Mailing Address: | |
| | Street |
| | City / State / Zip Code |

Telephone #: ____________________ County: ____________________

E-Mail Address: ____________________

Project Funding Dates: 07 / 01 / 2010 (Start) 06 / 30 / 2011 (End)

# INSTRUCTIONS

- **Submit the original FS-20 Budget Summary and the required number of copies along with the completed application directly to the appropriate State Education Department office as indicated in the application instructions for the grant program for which you are applying.** DO NOT submit this form to Grants Finance.
- **Please submit the FS-20 Budget Summary as a two page form (not back-to-back on a single sheet).**
- Enter whole dollar amounts only. The amounts must agree with the budget category totals from each Budget Category and Narrative Form.
- Enter the **original signature** of the Chief Administrative Officer in **blue** ink on all copies of the FS-20 Budget Summary.
- For changes in agency or payee address contact the State Education Department office indicated on the application instructions for the grant program for which you are applying.
- An approved copy of the FS-20 Budget Summary will be returned to the contact person noted above. A window envelope will be used; please make sure that the contact information is accurate, legible and confined to the address field.
- For information on indirect costs (Code 90) see page 48.
- For information on budgeting, including 2005-06 REVISED guidelines for equipment and supplies, refer to the Fiscal Guidelines for Federal and State Aided Grants at <www.oms.nysed.gov/cafe/>.

| CATEGORIES | CODE | PROJECT COSTS |
|---|---|---|
| Professional Salaries | 15 | |
| Support Staff Salaries | 16 | |
| Purchased Services | 40 | |
| Supplies and Materials | 45 | |
| Travel Expenses | 46 | |
| Employee Benefits | 80 | |
| Indirect Cost (IC)* (Amount from "IC" below) | 90 | |
| BOCES Services | 49 | |
| Minor Remodeling | 30 | |
| Equipment | 20 | |
| Grand Total *(total DHP grant funds requested)* | | |

| | |
|---|---|
| A. Modified Direct Cost Base (Add Codes 15, 16, 40, 45, 46 and 80) | $ |
| B. Approved Restricted IC Rate | 2.5 % |
| *IC (A) x (B) = Indirect Cost (Enter this total in Code 90 above) | $ |

**CHIEF ADMINISTRATOR'S CERTIFICATION**

*I hereby certify that the requested budget amounts are necessary for the implementation of this project and that this agency is in compliance with applicable Federal and State laws and regulations.*

/ / ______________ ______________________________

**Date** **Original Signature** (blue ink)

______________________________

**Name, Title of Chief Administrative Officer**

**FOR DHP USE ONLY**

**Agency Code**

| | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | |

**Project #**

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 0 | 3 | 7 | 5 | 1 | 0 | | | | |

**Contract #**

| | | | | | | |
|---|---|---|---|---|---|---|
| | | | | | | |

**Agency Name:** ______________________________

**FOR DEPARTMENT USE ONLY**

Approved Funding Dates: ______________ ______________

From To

Program Approval: ______________________________

Date: ______________

| Fiscal Year | First Payment | Line # |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |

______________ ______________

Voucher # First Payment

Finance: Log ____________ Approved ____________ MIR ____________

**2020-2011 DHP Grant Project Cost Sharing Form**

| | |
|---|---|
| **Institution Name:** | |
| **Project Title:** | |

# Cost Sharing Form

**Table:**

| **Category** | **Cost Sharing Contribution** |
|---|---|
| Salaries for Professional Staff | |
| Salaries for Support Staff | |
| Purchased Services | |
| Supplies & Materials | |
| Equipment | |
| Travel Expenses | |
| Employee Benefits | |
| Indirect Costs | |
| Total Cost Sharing Contribution - total items above and enter in correct Project Type field below: | |
| Total Cost Sharing Contribution: **Documentation** Projects (must be **20%** of Total Project Cost, see below) | |
| Total Cost Sharing Contribution: **Arrangement & Description** or **Archival Needs Assessment** Projects (must be **50%** of Total Project Cost, see below ) | |
| **Total Project Cost** = Grand Total from Budget Summary Form FS-20 (page 76) + Total Cost Sharing Contribution, above (calculate and enter here) | |

**Narrative**

## 2010-2011 DHP Grant Project Cost Sharing Form

# Cost Sharing Form Instructions

All cost share contributions **must directly support** project activities and outcomes. Failure to meet the following conditions will result in rejection of the application. Cost sharing requirements are as follows:

- **Documentation:** The applicant's cost share requirement is **20%** of the Total Project Cost
- **Arrangement & Description:** The applicant's cost share requirement is **50%** of the Total Project Cost
- **Archival Needs Assessment:** The applicant's cost share requirement is **50%** of the Total Project Cost

  - *20% example:* If you know that your project will cost a total of $10,000, then you are required to provide $2,000 or 20% of the total project cost, requesting of the DHP the remaining 80% or $8,000.
  - *50% example:* If you know that your project will have a total cost of $10,000, then you are required to provide $5,000 contributed match toward the project and request of the DHP the remaining 50% or $5,000.

Cost sharing can be demonstrated in two ways, through "matching" and through "in-kind." In both cases, cost sharing contributions may be claimed only if they directly support project activities and outcomes.

**Matching**: The costs of a grant project are borne by the applicant or by a third party. (Please note: costs used to match one grant cannot be used to match another).

  - *Matching example:* You decide to hire an archival consultant for 10 days of work. You pay the consultant partly from your funds and partly from the requested DHP funds. The amount you pay the consultant from your own funds is your matching contribution to the project.

**In-kind contributions**: The value of non-cash contributions are provided by the applicant in support of the project without charge to the grant). In-kind contributions must be in the form of goods and services which directly support project activities and outcomes. Both paid staff time and time contributed to the project by volunteers are eligible as in-kind contributions.

  - *In-kind contribution example:* You decide to have one of your paid staff persons, working 20 hours a week for your organization, spend five of those hours each week on the project without charge to the grant. The cost of the five hours each week is your in-kind contribution to the project.
  - *In-kind contribution example:* You allocate the time of two of your regular volunteers to work on the grant funded project. The hours they spend on the project may be claimed as an in-kind contribution. You need to establish a monetary value for their time, (usually $10-$15 per hour), and claim this on the Cost Sharing Form under salaries.

**Table:**

Indicate expenditures in all appropriate categories demonstrating your institution's cost share (match or in-kind contribution). Enter your institution's total cost share in appropriate Project Type field.

**Narrative:**

Provide an explanation for each category, including how each contribution directly supports the project's activities and outcomes. Include names, titles, items, etc. Also explain how the cost share was calculated. Note: You must maintain supporting documentation of your compliance. The documentation is subject to review upon audit and/or a program monitoring review. It is not to be submitted with your application.