

DOCUMENTARY HERITAGE PROGRAM

Grant Application Guidelines and Resources 2012-2013

**Application Deadline
Postmarked by Thursday, March 1, 2012**



The University of the State of New York
The State Education Department
New York State Archives
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DHP Grant Project Application Forms

All 2012-2013 DHP Grant Application Forms can be found on the Documentary Heritage Program Grants page of the New York State Archives' website, www.archives.nysed.gov. Use the Grant Project Application Checklist to ensure that you are submitting all the required forms and that your application is complete.

Section I

DHP Grant Application Information

Introduction

The Documentary Heritage Program (DHP) is a statewide program established by law, (http://www.archives.nysed.gov/a/records/mr_laws_e1140.shtml) to provide financial support and guidance to not-for-profit organizations including archives, libraries, historical societies, museums, and other organizations that hold, collect, and make available historical records. The New York State Education Department's (NYSED) 2012-2013 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 about DHP grants, contact:

Pamela Cooley
Documentary Heritage Program, New York State Archives
(518) 474-6926
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 24.

Timetable for DHP Grant Projects

October-December, 2011	Regional grant application information sessions. For details contact the DHP Regional Archivist for our county (see page 27)
February 20, 2012	Final update of the online FAQ (Frequently Asked Questions) posted to the DHP webpage (see Getting Help, page 15)
March 1, 2012	Grant application postmarked deadline.
July 1, 2012	Grant projects may start (pending approval by NYS Office of State Comptroller)
January 18, 2013	Midterm report due
June 30, 2013	All work on grant projects must be completed
July 31, 2013	Final narrative and expenditure reports are due

Range of Grant Amounts

A total of \$92,000 is expected to be available for grant projects; grants will be available in amounts up to \$25,000.

Changes for 2012-2013

- The compulsory fall DHP Grants Recipients Meeting at the New York State Archives in Albany has been discontinued.
- Applicants must submit one (1) signed original and five (5) copies of the application.
- Section IV of the Application Narrative (Organizational Capacity) has been expanded to include information about the project's historical records repository (see page 22).
- Project Budget scoring in the Grant Application Review Criteria form has been changed: Section V. a. now can receive a maximum of 20 points. Section V. b. now can receive a maximum of 5 points (see page 26).
- Data required in the NYSED Payee Information form has been changed and the NYSED Substitute Form W-9 has been added. (see page 17)
- Budget Narrative and Worksheet forms have been substituted for the Budget Category Forms used in the past. (see page 23)
- Proposed Budget Form FS-10 form has been substituted for the NYSED Proposed Budget Summary Form FS-20 used in the past. (see pages 23-24)

Eligibility Criteria

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.

Organizations 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 Part (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 Part 501(c)(3) of the United States Internal Revenue Code; or
- Part of an institution previously approved, in accordance with the Education Law, Part 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.

Partnerships and Consortia

Eligible organizations may form a partnership or consortium to apply for a grant. Those who wish to do so must contact the DHP office for guidance. Such applicants must follow the NYSED's "Consortium Policy for State and Federal Discretionary Grant Programs" below. This policy describes the process for preparing a DHP Grant application when a partnership or consortium of applicants is involved.

Consortium Policy for State and Federal Discretionary Grant Programs

The partnership or consortium must meet the following requirements:

1. The partnership or consortium must designate one of the 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 is not 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.
 - f. Is prohibited from subgranting 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.

Grant Project Types

DHP supports two types of projects. They are: Documentation and Arrangement & Description. Applicants who intend to request funding for a project that combines Documentation with Arrangement & Description must contact DHP staff.

Documentation

Documentation projects identify and ensure the systematic preservation of papers and records that shed light 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 in repositories which make 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. The outline below describes the three phases and the work each typically entails. The phases often correspond to the years of a project—phase one in year one, etc.—but your work plan and timing should reflect the particular requirements of your project. It is strongly suggested that institutions interested in conducting documentation projects begin with the planning phase, and divide the work over at least two years (and therefore two grant applications).

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 to provide context, guidance and oversight.
- 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 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.
- Determine which groups of records surveyed have long-term historical value and should be saved.
- Using the standard archival format known as MARC (MACHine Readable Cataloging), write archival descriptions of the groups of records that have long-term historical value. (These descriptions will be submitted with your final report.) If you have questions about MARC contact the DHP office.
- Continue to work closely with the Advisory Committee.
- Foster relationships between likely donors of records and an appropriate repository to which the valuable historic records surveyed in this phase will eventually be transferred.
- Publicize your documentation effort.

Phase Three: Collecting

- Working with each donor and the selected repository, conduct an appraisal to determine which records to save.
- Negotiate the terms of a deed of gift; this may involve gaining the approval of the management and/or boards of the donor organizations and/or the repository.
- Donate and transfer records to the repository.
- Make electronic versions of the MARC records of the collections held by the repository available to the public on the Internet, either through your institution's website or through the State Archives' Historic Documents Inventory (HDI). If you have questions about HDI, contact the DHP office.
- Continue to work closely with the Advisory Committee.
- Publicize your documentation effort.

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

Note: Identifying repositories and potential donors of records, initiating relationships and building confidence and trust between them, reaching final agreements on the donation of records, and ultimately transferring the records can be a long process. This is why we urge that planning for the placement of the records in an appropriate repository begin in Phase One. For some simple projects, such as one that involves a single repository and a single organization or business with records, the collecting phase may be straightforward and quick, perhaps completed in a matter of weeks. For projects involving multiple donors, both individuals and organizations, and perhaps even two or more repositories, the collecting phase may take a year or longer – some donors whose records are identified in a survey may be ready only years later to donate their records.

The New York State Archives publication, *Documentation Basics: A Guide to Planning and Managing Documentation Projects* (Pub #79) 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.

Requirements

- A Cost Share of at least 20% of the Total Project Cost is required for Documentation projects. All cost sharing contributions *must directly support* project activities and outcomes. See the [Cost Sharing Form and Instructions](#) 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 or to receive a sample MARC record, contact the DHP office.
- Electronic versions of the MARC records, typically created in the third phase of the Documentation project, 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.
- Documentation grant recipients 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.

It is required that all access tools created as a result of the project 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 is required for Arrangement & Description projects. All cost sharing contributions *must directly support* project activities and outcomes. See the [Cost Sharing Form and Instructions](#) for more information.
- The records in an Arrangement & Description project must be held in an historical records repository or be transferred to an 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 and of historical significance within New York State, and possess high research value.
- Arrangement & Description projects must result in access tools which conform to archival standards. These tools include a MARC record and a finding aid. Further information on archival standards may be found in the State Archives publication: *Guidelines for Arrangement and Description of Archives and Manuscripts* (Pub. #SP02). You may also contact the DHP office for a sample MARC record and a finding aid template.
- 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). Finding Aids created in Arrangement & Description projects should be accessible electronically as well. If you have questions about HDI, contact the DHP office.
- Grant recipients should publicize their Arrangement & Description project and should use the DHP credit line provided on page 14 in all publicity material relating to the project.

Ineligible Project Types

Several types of projects are not eligible for funding through the DHP. Some of these are described below. When there are questions regarding eligibility, please contact the DHP office. .

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, documentation and arrangement & description projects that involve existing digital material are eligible for funding.

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, arrangement, and description 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 improve the 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 at (518) 486-4864.

Applicants who have not submitted required reports for previous DHP grants

Applications from applicants who have not submitted required DHP reports for grants received over the past five years (i.e. 2007/2008 - 2011/2012) will not be submitted for review.

Topical Priorities

In order to ensure 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 may 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.

Priority Level One

Population groups in the 20th and 21st centuries

New York's history during the 20th and 21st 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
- Groups 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 on efforts at economic revitalization including the development of new industries and businesses in the State. Projects may involve working with records of businesses that have been dissolved or absorbed by other businesses. Also, projects may involve records of 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 under-documented activities of individuals and organizations with very different points of view. These projects 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 collections of significance to the history of New York, either statewide or local. These collections should directly relate to events, organizations, individuals, or topics not well documented in the historical record, and not covered in the first two priority levels.

Application Due Date

The complete application package must be postmarked on or before Thursday, March 1, 2012. Applications postmarked after March 1, 2012 will not be submitted for review.

Grant Awards Notification

Grant award notification will be emailed to all applicants concerning the status of their application. These letters are usually 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 the Office of the State Comptroller (OSC) when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.
4. The NYSED 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 by January 31) and final narrative and fiscal reports (due by July 31) are required from grant recipients. Reports should be submitted in a timely fashion since they trigger award payments, and may, if not submitted, hinder the applicant's eligibility for DHP grants in the future.

Payments will be made as follows: Fifty percent of the full award amount is released when the Grant Awards Notification is emailed. Up to 40% of the full award amount is paid in increments as the recipient expends funds and submits forms for additional payments. The final 10% of the full award amount is paid at the end of the project following receipt by DHP of a satisfactory final report.

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

Preparing an Application

Getting Help

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 4).

Three Grantwriting Tip Sheets (#1 Developing Your Project, #2 Writing Your Application, #3 The Final Check) are available on NYSA's web site http://www.archives.nysed.gov/a/grants/grants_dhp.shtml to help applicants in all stages of the grant writing process. Also on our website are DHP Grant FAQs (Frequently Asked Questions) which will be updated throughout the application period until Monday, February 20, 2012 when the final version will be posted. Information about five free New York State Archives publications that may be useful in preparing your application can be found on page 29.

Parts of the application

- **Application Cover Sheet** (For signature information, see below.)
- **Application Checklist** (Use to ensure that you are submitting all the required forms and that your application is complete.)
- **Payee Information Form**
- **Standard Data Capture Form**
- **Application Narrative Form**
- **Cost Sharing Form and instructions**
- **DHP Project Budget Narrative and Worksheets, Budget Category Instructions**
 - Salaried for Professional Staff: Code 15
 - Salaries for Support Staff: Code 16
 - Purchased Services: Code 40
 - Supplies, Materials, and Equipment costing less than \$5,000: Code 45
 - Travel Expenses: Code 46
 - Employee Benefits: Code 80
- **NYSED Proposed Budget Form FS-10** (For signature information, see below)
- **Proof of Not-for-Profit Status** (See page 5 for a list of eligible designations)
- **Attachments** (required and/or if applicable - for example: letters of support, letters of justification, resumes, job descriptions. For a full list, see the [Application Checklist](#).)

Applicants must submit one (1) signed original and five (5) copies of the application. Signatures are required on page 2 of the [Application Cover Sheet](#), on the [Payee Information Form](#), and on the [NYSED Proposed Budget Form FS-10](#). **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. 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.**

Note: The DHP Grant Application can be found in electronic format on the Documentary Heritage Program Grants page of the New York State Archives website, www.archives.nysed.gov.

Grant Application Instructions

Cover Sheet

- *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 and ensure reporting is done in a timely fashion.
- *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.
- *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 topic. If your project also fits within an additional topic, you may point that out in the Application Narrative.
- *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,” or “Arrangement and Description of the Evangeline Broderick Family Papers.”)
- *Grant Project Summary* – This summary is important because it provides grant reviewers with their first impression of your grant project. Be sure to succinctly describe the following in your summary: (1) the project and 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 attach additional pages.
- *Signature* – The original signature of the Chief Administrative Officer (see above) must appear on the Grant Application Cover Sheet in *blue ink*. His/her original signature must also appear on the NYSED Proposed Budget Form FS-10. 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 on organization letterhead, why the Chief Administrative Officer is unavailable to sign.

Payee Information Form/NYSED Substitute W-9 Form

General Instructions: The Payee Information Form is a packet consisting of the Payee Information Form itself and an accompanying form known as the NYSED Substitute W-9 Form. The NYSED Substitute W-9 form may or may not be needed from your agency. Please follow the instructions for each as outlined below.

Payee Information Form

The Payee Information Form is used to establish the identity of applicant organizations and enables them to receive funds from the NYSED. Instructions for filling out the Payee Information Form can be found in the Forms section of the Guidelines. Note that organizations which do not receive funds from the Federal government can disregard the DUNS Number section of this form. An online version is available at <http://www.oms.nysed.gov/cafe/forms/PIform.pdf>.

NYSED Substitute Form W-9

The NYS Vendor Identification Number is a 10 digit number assigned by the Office of the State Comptroller (OSC) to your agency for the purpose of doing business with the State of New York. This number is required on the Payee Information Form (above). If you do not know your agency's NYS Vendor Identification Number, contact OSC at VMU@osc.state.ny.us to obtain it. If OSC notifies you that your agency does not yet have a NYS Vendor Identification Number, complete the NYSED Substitute W-9 according to the instructions on the form and submit it, along with the PI form with your grant application.

Standard Data Capture Form

The Standard Data Capture Form 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.

Application Narrative

The application narrative provides the applicant with an opportunity to present a comprehensive description of the proposed project. The application narrative should include a description of the records involved, the nature of the project, and 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.

Application Narrative Form page limits and specifications

- Limit the Project Narrative to a maximum of seven 8.5” x 11” pages.
- Single space all text in the narrative sections. Use a 12-point Times Roman or Arial font.
- In narrative sections, include the title of each heading (i.e. “Ia. Records Description”) and double space before each heading

Grant reviewers will evaluate your application and assign points for each component. The highest score assigned will be 100, with a maximum of 75 points allocated to the Application Narrative.

I. Project Description [maximum 30 points]

I 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 two Project Types (Documentation and Arrangement & Description) 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 date span of the records
 - the quantity of records in cubic feet (see the *Table of Cubic Equivalents* on page 30)
 - 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 and where 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:
 - collection or series title(s), when possible
 - individuals and/or organizations who have created the records
 - date span of the records
 - quantity of records in cubic feet (see the *Table of Cubic Equivalents* on page 30)
 - physical condition of the records
 - 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 of the records

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

Attachments Required for Part I a.

- 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 (in addition to the attachments required for standard A&D project listed above): 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.

I 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 Application Cover Sheet. 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.

I c. Need for Project [5 points]

Explain the importance of the project, how the records will receive broader or more intensive use as a result 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 [maximum 15 points]

This part 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 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.

Here you should 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. Some of your predicted outcomes (specifically 4 and 6) may not be achieved during

the grant period. In these cases, your narrative should describe the methods you will use to evaluate your success in achieving these outcomes over the long term. See pages 32-34 to guide you in formatting and writing your Part II Outcomes and Evaluation narrative.

II a. Outcomes

In Part II of your narrative, you should develop your own specific versions of the DHP Outcomes listed below. Write outcome statements for DHP Outcomes 1 and 2 as well as for the two specific outcomes relevant to their project type. Thus, **Documentation** projects must address DHP Outcomes 1, 2, 3 and 4. **Arrangement & Description** projects must address DHP Outcomes 1, 2, 5 and 6.

Your outcome statements should serve as predictions of how your project will look at its completion. They should show how each DHP Outcome will be expressed in your project and focus on what you intend to achieve that can be measured. At the end of the project these predictions will give you and the DHP, 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 conform to archival standards and are consistent with archival best practices.

Outcomes for Documentation projects

- **DHP Outcome 3:** Records of New York's under-documented 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.

Outcomes for 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.

II 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 guide future grantees and improve the effectiveness of the

program. Be sure that the evaluation activities mentioned in this part are accounted for in your Plan of Work (Part III a).

III. Project Implementation [*maximum 25 points*]

III 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, 2013) 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 6-9. Your Plan of Work must:

- Include a timeline to show how the work will progress in a logical way over the course of the project.
- Describe the project activities (who, what, when, where) and how they will be accomplished. For **Arrangement & Description** projects, *include the rate of processing in cubic feet per FTE week* (see page 31 for more information).
- Describe the use of archival standards and best practices which are appropriate to your project.

III b. Key Personnel [*10 Points*]

For all Key Personnel

- Describe qualifications (i.e. education/training and experience) for each. Attach resumes.
- Indicate what role each will play. Attach job descriptions.
- Describe project time commitment for each.
- Indicate how each will be paid (i.e. by the applicant or with grant funds).

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. If the particular advisors cannot be identified in advance, indicate what groups or skills will be represented on the committee.
- Resumes are not required for Advisory Committee members.

Definitions

- *Key Personnel* – Key personnel are individuals who work *directly* on the project. They can include staff, hired assistants, and consultants to be paid from grant funds, and staff or volunteers whose time will be contributed by the applicant as part of their cost share.
- *Project Director* – Every project must have a Project Director. Project Directors are expected to closely monitor and supervise all work carried out by consultants, contract workers and project staff; and to ensure that finances are being managed capably and that reporting is done in a timely fashion. Consultants may not serve as Project Directors of grant projects.
- *Advisory Committee* (Documentation projects) – The Advisory Committee should be convened to provide advice and guidance. Your Advisory Committee should include community members knowledgeable about the history, culture, current dynamics, and/or records of the group or topic you are documenting, and the project audience. Applicants are encouraged to seek advice from their DHP Regional Archivist concerning members for their Advisory Committee.

Note: DHP funds cannot be used to replace funds you are already paying to an existing staff person. However, you may use DHP funds to pay an existing staff person to carry out project-related activities if the hours spent on this work are *above and beyond* his/her normal work hours.

If you are proposing to use DHP funds to pay existing staff to carry out project-related activities *during their normal work hours*, you must use your organization's own funds to hire a substitute to take over that staff person's responsibilities. Paying for this substitute may not be claimed as part of your Cost Share. (See Required Attachments for Part III b. below.)

Required Attachments for Part III b.

- 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 use DHP funds to pay existing staff to work on grant project-related activities during their normal work hours, attach a *letter* to your application which justifies the need for such action, and explains how the replacement will take over the staff person's responsibilities and how they will be paid 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]

Briefly, provide the following information:

- Indicate how the work of the project relates to your mission.
- Describe your organization's past experience, previous funding, and current capacity as these relate to your proposed project.
- Describe your organization's intention to maintain and continue the work of the project.
- For the historical records repository participating in your project, describe:
 - Archival policies and procedures in place
 - Bibliographic and environmental controls in place
 - How holdings are made accessible

Required Attachments for Part IV a.

- Attach the *Mission Statement* of the applicant organization.

Cost Sharing

On the Cost Sharing Form, describe your organization's proposal for matching DHP funds with the appropriate percentage of the Total Project Cost. 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** projects require cost sharing of at least 50% of the Total Project Cost. See the Cost Sharing Form and Instructions for further information.

Project Budget

The DHP Project Budget Narrative and Worksheet forms provide you with an opportunity to present a comprehensive description of your project expenditures. Be concise and straightforward, and provide only information that is applicable to your organization and your project. The Proposed Budget Form FS-10 provides a complete summary of your budget for NYSED payment purposes.

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 Project Budget.

DHP Project Budget Narrative and Worksheet *[maximum 25 points]*

Applicants should use the Project Budget Narrative and Worksheet forms to itemize and describe their funding requests. There are unique forms for each of the following six budget categories:

- Salaries for Professional Staff: Code 15
- Salaries for Support Staff: Code 16
- Purchased Services: Code 40
- Supplies, Materials, and Equipment costing > \$5,000: Code 45
- Travel Expenses: Code 46
- Employee Benefits: Code 80

Specific instructions for each budget category are included. Follow these instructions carefully. They have been written for DHP grant projects exclusively. You should submit forms only for the budget categories for which you are requesting funds. It is not necessary to submit any Budget Category Instruction pages.

Each Budget Narrative and Worksheet form is made up of two parts: a table and a field for your narrative. In the tables, provide the information required including expenditure amounts. In the narrative fields, describe how the requested funds will be used; how they are appropriate, reasonable, and necessary to support your project activities and outcomes; and how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided by the applicant.

New this year: Once you have filled out the Project Budget Narrative and Worksheet forms to your satisfaction, transfer data in each table (by copying and pasting) into the appropriate table on the NYSED Proposed Budget Form FS-10. We realize that this is a cumbersome process, but it has advantages for all involved: it enables you to compute your budget for a given code and write your narrative in one place, it facilitates the grant review process, and it provides a complete summary of your budget for NYSED payment purposes. Check your work to be sure your calculations are correct and the amounts in the Worksheets exactly match those in the FS-10. Contact the DHP Office if you have questions.

NYSED Proposed Budget Form FS-10

The Proposed Budget Form FS-10 is a standard form used for all projects funded through NYSED and may include items and instructions that do not pertain to DHP Grant Projects. If you follow the instructions described above, copy and paste the data from the DHP Worksheet tables directly into the corresponding tables on the FS-10, check your work to be sure the amounts in the Worksheets exactly match those in the FS-10, the FS-10 will be filled out correctly.

In addition to the category tables found on the worksheet, the Proposed Budget Form FS-10 also includes a table for entering Indirect Costs (Code 90). “Indirect costs” are broadly defined as 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 Proposed Budget Form FS-10.

If the project is accepted for funding, an approved copy of the Proposed Budget Form FS-10 will be returned by NYSA Grants Finance to the Chief Administrative Officer named on the Application Cover Sheet.

NOTE: You should not use the Budget Narrative and Worksheet forms or the Proposed Budget Form FS-10 to record your cost share (i.e. match). Use them only for the funds you are requesting from the DHP. Use the Cost Sharing Form to record your cost sharing information.

Ineligible Expenditures

Ineligible expenditures are listed in the Budget Category Instructions for each Code. When in doubt as to an expenditure’s eligibility, contact the DHP office.

Submit your application by mail to:

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

Postmark deadline: Thursday, March 1, 2012

For further information, please contact:

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

DHP Grant Application Review Process

When evaluating applications, reviewers base their recommendations on the Application Narrative (including the Project Description, Outcomes and Evaluation, Project Implementation, and Organizational Capacity) and on the Project 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:

- fund the project fully;
- fund it partially with modifications; or
- not fund it at all.

Awards will be made in the order of score 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 26 to evaluate the information in the Application Narrative and Project Budget.

DHP Grant Application Review Criteria

I. Project Description *[maximum 30 points]*

- a. **Description of Records:** Provided requisite information about the records and effectively described their significance according to the Project Type of the proposal. *[10 points]*
- b. **Topical Priority:** 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. **Need for Project:** 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 accomplish project outcomes on time, and with the personnel and other resources available. *[15 points]*
- b. **Key Project Personnel:** Provided requisite information for all Key Personnel, including qualifications and the roles each would play. *[10 points]*

IV. Organizational Capacity *[maximum 5 points]*

Clearly described the relationship of the project to the organization's mission, the organization's past experience and current capacity to carry out and sustain the project, and the project's repository.

V. Project Budget *[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. *[20 points]*
- b. Clearly described how the expenditures and activities of the proposal are supplemental to and do not supplant or duplicate services currently provided. *[5 points]*

Section III

Resource Documents

Directory of Regional Archivists/Service Providers

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) 438-2500

Central New York Region

(Herkimer, Madison, Oneida, Onondaga)

Deirdre Joyce

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)

Kerry Durkin Sclafani

Coordinating 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 North Sunrise Service Road
Bellport, NY 11713
(631) 675-1570, ext. 204

Metropolitan New York Region

(Five Boroughs of New York City, Westchester)

Jason Kucsma

Acting Interim Director
New York METRO Reference & Research
Library Agency, Inc.
57 East 11th Street, 4th Floor
New York, New York 10003-4605
(212) 228-2320, ext. 23

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

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
Museumwise
11 Ford Avenue
Oneonta, NY 13820
(800) 895-1648
stephanie@museumwise.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. 114

New York State Archives Publications

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

Documentation Projects

- *Documentation Basics: A Guide to Planning and Managing Documentation Projects*, Pub #79 (Albany: State Education Department, 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 **environmental affairs** are urged to read *A Guide to Documenting Environmental Affairs in New York State*, pub. #73 (Albany: State Education Department, 2001. 41 pages). Your project 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 to **Latino/a history and culture** are urged to read *A Guide to Documenting Latino/Hispanic History & Culture in New York State*. Pub. #67 (Albany: State Education Department, 2002. 36 pages). Your project 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 (Albany: State Education Department, 2001. 17 pages). Your project 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>.

Arrangement & Description Projects

- *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.

Table of Cubic Foot Equivalentents

For use in estimating the volume of records

File Folder Drawer	Cubic Feet
Letter	1.5
Letter Transfile	2.0
Legal	2.0
Legal Transfile	2.5
Ledger	3.0
Jumbo	4.0
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
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
Shelf Units	Cubic Feet
Letter, 36" long	2.4
Legal, 36" long	3.0
Boxes	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

For all other situations, use this formula:

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

Processing Rates

Below is a table based on the State Archives' general guidelines that can be used to determine an appropriate processing rate. Full processing includes flat-filing, simple preservation measures, arrangement, foldering, and boxing, and description. Estimates are based on cubic feet (rather than linear feet) and on a full-time equivalent (FTE) week.

In your narrative, be sure to provide justification and rationale based on the records themselves (their current condition and their content), and record your rates in *cubic feet per FTE week*.

Condition	Cubic feet per FTE week
Completely unorganized collection	2.5
Complicated collection such as correspondence, subject files, or media files	5
Fairly straightforward collection that may need some work such as case or job files, business records	10
Well-organized collection consisting primarily of volumes or records with uniform or repetitive information (such as invoices)	15

Outcomes and Evaluation

Samples to Use When Formatting and Writing Part II of your Narrative

Outcomes predict the results of your project. Evaluations measure and assess your progress in achieving those results. See Part II of the Application Narrative Instructions, Outcomes and Evaluation, pages 19-21.

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.

Project 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.

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

Project 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 under-documented population groups and topics not currently in historical records repositories are identified and surveyed.

Project 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.

Project 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.

Project 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

Project Example: The Local 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 Local 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 Local 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: Local 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 Local 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.