

New York State Archives

Local Government Records Management Improvement Fund (LGRMIF)

Disaster Recovery Project Application Guidelines



The University of the State of New York
The State Education Department
New York State Archives
Grants Administration Unit
Cultural Education Center, Room 9A81
Albany, NY 12230
518-474-6926
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Introduction

Definition of Disaster

For the purposes of disaster recovery projects, a disaster is defined as: *Damage caused by a sudden, unexpected event involving fire, water, man-made or natural phenomena where a **timely response** is necessary to prevent the irretrievable loss of vital or archival records, or to ensure reasonable, timely access to vital records.* The maximum amount for a disaster recovery grant is \$20,000.

Who can apply?

Disaster Recovery grants are available to all local governments in New York State, except New York City municipal agencies. There is no set annual deadline for disaster recovery grants; you may apply whenever a disaster occurs, but disaster recovery grant applications must be submitted within thirty days of the disaster, unless extenuating circumstances preclude this. The disaster grant due date is based on the date of the disaster, which may occur long after our normal application due date. Disaster recovery grant applications are reviewed separately, as they occur.

Contact Your Records Advisory Officer (RAO)

When you experience a disaster, it is critical that you contact your [State Archives Records Advisory Officer](#) (RAO) *immediately*. If your RAO is not available, contact the State Archives at recmgmt@nysed.gov or at 518-474-6926. The RAOs and other State Archives staff are trained to offer technical advice on how to mitigate the effects of a disaster on your records. They can also determine whether you are eligible for disaster recovery funding and assist with identifying appropriate grant project activities. If you do apply for funding, the RAO prepares a site visit report, which constitutes a significant portion of your grant application.

You should also be aware that acceptance of other state or federal disaster recovery funds can affect your eligibility for [Federal Emergency Management Agency](#) (FEMA) money. FEMA funds are available only if your county or area has been officially declared a disaster area by the state or federal government. Consequently, it is imperative that you contact the [New York State Office of Emergency Management](#) (OEM), part of the [State Division of Homeland Security and Emergency Services](#) (DHSES), to inquire if your area has been declared a disaster area and if funding for records recovery will be available before applying for LGRMIF disaster grants. You can contact OEM at (518) 292-1198, or the 24-hour State Emergency Coordination Center at (518) 292-2200.

About the LGRMIF

Disaster Recovery grants are provided through the [Local Government Records Management Improvement Fund](#) (LGRMIF), a dedicated fund to improve records management and archival administration in New York's local governments. The LGRMIF is derived from fees that county clerks and the New York City Register collect for the recording of selected documents, including deeds and mortgages, and for the assignment of index numbers for certain court cases. The fund supports a regional program of technical advice and a program of grants, including disaster recovery grants, to local governments to improve the management of their records. The State Archives administers the fund, with advice from the Local Government Records Advisory Council (LGRAC).

Application Instructions

Role of RAO

As soon as you have contained the disaster, contact your [RAO](#) immediately for advice on minimizing its impact on your records. After directly assessing the situation, the RAO will determine whether you are eligible for disaster recovery funding. Disaster Recovery grants are available to salvage or mitigate damage only to permanent records or to records that are essential to the resumption of normal business operations. If such records are in immediate danger or already damaged, the RAO will prepare a site visit report that will not only include recommendations for preventing further damage until you receive funding but will also function as your application narrative.

You are strongly encouraged to work closely with your RAO throughout the recovery period, regardless of whether you receive a grant.

Damage to court records

If court records are involved, you should also immediately contact the [Office of Court Administration](#) (OCA) to discuss disposition of those records. You may reach the OCA Records Office at (212) 428-2877.

Disaster Recovery Applications and eGrants

The [eGrants](#) online system is designed to manage grants from application submission to filing final reports.. To apply for a Disaster Recovery grant, the records management officer (RMO) for a local government should first request an eGrants user account if they do not have one already. These accounts are always held by the RMO, but once established, the user ID and password can be shared with colleagues who might need access to the portal. RMOs can request their account on the [LGRMIF website](#) by visiting the [account registration page](#), filling in the necessary information, and submitting the online form. During most of the year, we can fulfill account requests in 24-48 hours.

Once an RMO's eGrants account is set up by the Grants Administration Unit, an e-mail notification will be sent with information about logging into the portal for the first time, including the user ID and a temporary password that is good for 24 hours. After establishing a password of their own, the RMO can then click on a menu option for the LGRMIF grant program, which will bring them to a main menu page showing their institution's regular or Disaster Recovery grants previously applied for from 2010 to the present:

New York State Archives

You can only create 2 new LGRMIF applications per fiscal year during the new application period.

Only Disaster Recovery applications can be created outside of the application period. On the Application Form, the Project Category must be Disaster Recovery.

[Create Disaster Recovery Application](#)

Local Government Records Management Improvement Fund Applications

List of Applications

Project Number	Institution	Fiscal Year	Status
0580 -23 -8896	Upper Hudson Library System	2023	Unsubmitted
0580 -23 -8895	Upper Hudson Library System	2023	Unsubmitted

Quick Links

- > LGRMIF Summary, Guidelines and Instructions: Located on the Help Page
- > Creating or Accessing an Application help

At the top of the list, you will see a brown “Create Disaster Recovery Application” button. Click on this button to begin the process of creating a Disaster Recovery application. This will take you to the Application Checklist. Click on the link for the “Initial Application”. From there, select the Application Sheet form. Fill in this form as you usually would when applying for a non-disaster grant. Be sure to fill in the form completely before saving any data.

At the bottom of the form, under the heading “Application”, click on the drop down menu for Project Category. Scroll down and select “Disaster Recovery.” You must select this Project Category in order to be able to submit your Disaster Recovery application outside of the normal application deadline. This will validate your application so that the system will recognize it as a disaster request. Only Disaster Recovery applications can be submitted outside of this deadline.

Instructions for completing the Project and Budget Narratives

For Disaster Recovery applications, it is not necessary to meet all of the criteria listed in the various narrative sections. Your application consists primarily of the Application Sheet (with the Project Summary), the site visit report, the FS-10/Budget and any supporting documentation. The site visit report will contain the facts of the disaster and the records damaged; this, then, is your primary narrative.

It is a system requirement, however, to have text entered within each narrative section in order to be able to submit the application. To meet this requirement, you can simply enter the following text in each narrative section: "See attached." Once you enter the text, be sure to save your work before moving on to the next section.

When completing your project budget, you should also enter text in the budget narrative describing each proposed expenditure.

Parts of the application

You must submit the grant application to the State Archives' Grants Administration Unit within thirty days of the disaster, unless extenuating circumstances preclude this. A complete application consists of:

1. The Application Sheet (Complete in eGrants portal per instructions above)
2. Project Narrative (Fulfill via RAO site report; see previous section on *Role of RAO* and instructions on this page)
3. Budget and corresponding Budget Narratives (Complete in eGrants portal by clicking on "Initial Application" link, then link for "Project Budget". Filling in and saving data in this section auto-populates the FS10 Budget Form)
4. Institutional Authorization Form, signed by your CEO (or designee), preferably in blue ink. Print out the form, then have your CEO sign it and mail it in with your paper FS-10/Proposed Budget form.
5. A site visit report, which will be completed by your RAO. Directions for filling out the site visit report are included below under "Instructions for Records Advisory Officers". (Upload this form to your application.)
6. Response to "Questions for Disaster Recovery Vendors." This form is only for paper-based documents. Before you sign a contract with a vendor, please consult the State Archives records advisory ["Working With Disaster Recovery Vendors"](#) (Upload this form to your application.)
7. A proposed budget/FS-10 form which you should complete in consultation with your RAO. This form is populated when you enter and save budget data in eGrants. It must be signed by your CEO or designee and mailed to the Grants Unit with your Institutional Authorization form. Disaster grant funds may be used to support the following:
 - *Salaries* for project staff, including clerical workers, laborers, and others;
 - *Purchased services*, such as freeze drying, fumigating, some conservation, microfilming, storage, transportation (including moving), rental, and others;

- *Costs of data and system recovery*, including consultants' and vendors' fees, associated hardware and software purchases, and others;
- *Supplies*, including acid-free boxes and folders, standard storage cartons (from the NYS Industries for the Disabled [NYSID], a Preferred Source for these cartons, but if NYSID is unable to meet the form, function, and utility of your disaster recovery, you may use other vendors), folders, cleaning materials, plastic milk crates, protective gear, and others related to disaster recovery and mitigation;

The focus of the disaster recovery effort and application should be on information retrieval. Activities and purchases that merely improve the cosmetic look of the records are not eligible for funding.

Submitting the Application

The following forms must be submitted as hard copy paper forms with the appropriate signatures:

- Institutional Authorization form
- FS-10/Proposed Budget (auto-populated when eGrants budget data is entered and saved)

Please mail the above forms to:

New York State Archives
Grants Administration Unit
CEC, Room 9A81
Albany, NY 12230

The following forms can be submitted as either Word documents or PDFs:

- Response to “Questions to Disaster Recovery Vendors”
- RAO site visit report
- Any other documents deemed necessary, such as vendor quotes (be sure the quotes are detailed ones)

These forms should be uploaded to your local government’s Disaster Recovery application in eGrants.

The Review Process

The State Archives' Grants Administration Unit (GAU) will forward your grant application to the disaster grant review team. The team is made up of representatives from the State Archives' Government Records Services and Archival Services units, and

members of the Local Government Records Advisory Council (LGRAC) Grants Committee and the LGRAC Chair. The team reviews the application and makes recommendations.

Although funds are set aside for Disaster Recovery applications, these applications generally fall outside of the regular LGRMIF cycle and thus require separate authorization to issue a payment. You should be prepared to pay expenses up front as there could be delays in payment from the State if awarded a grant.

Upon review and approval of a disaster recovery grant, the GAU will notify the local government by e-mail and forward your FS-10/Proposed Budget to SED's Grants Finance Unit for processing and payment.

LGRMIF requirements and forms

Once an award is made, you are expected to follow the requirements of the LGRMIF grant program. Although you may submit a disaster recovery grant application at any time, as with other LGRMIF grants you must expend or encumber all funds by June 30th of the grant cycle in which you are applying.

You will receive 50% of your grant after you receive a Final Approval Notice of an award from State Education Department's (SED) Grants Finance Unit. To request the release of additional funds you will need to submit form FS-25/Request for Funds for a Federal or State Project to the Grants Finance Unit. The amount of funds requested at any one time may only include actual expenditures to date plus anticipated expenditures for the next month. Form FS-25, and other fiscal forms, are available through the [eGrants system](#).

Mail a signed (preferably in blue ink) FS-25 to: Grants Finance Unit, New York State Education Department, Room 510W EB, Albany, NY 12234. Do not submit this form to the Grants Administration Unit (GAU) at the archives.

If you make significant changes to your proposed budget, you must first contact your RAO to verify that the changes are valid and allowed. Upon approval from the RAO, submit an FS-10-A/Proposed Amendment for a Federal or State Project to the GAU (New York State Archives, Grants Administration Unit, Room 9A81, Cultural Education Center, Albany, NY 12230). This form is also available through the [eGrants system](#). The FS-10-A is due no later than a postmark of June 1st.

At the conclusion of the project, you must complete a Final Project Budget and FS-10-F/Final Expenditure form, a Final Narrative Report, a Final Signoff Report, and a Final Statistical Report. All of these forms are accessible through the eGrants system. More information on these forms can be found in the [eGrants Applicant User Manual](#). Final payment of your grant is contingent upon receipt of these final reports by the GAU and Grants Finance.

Disaster Recovery Grants

Instructions for Regional Advisory Officers (RAOs)

Site Visit Report

The RAO should travel directly to the disaster site, once it's safe to do so, to provide immediate advice and support. If the RAO determines that a disaster recovery grant is merited, and that the damaged records are vital and/or archival, and thus eligible for a disaster recovery grant, he/she will prepare a site visit report that should address the following:

1. Name of local government.
2. Person who contacted the Regional Advisory Officer.
3. Date of contact by the local government.
4. The exact nature of the disaster including its cause, exact location, time of occurrence, and impact on records.
5. Immediate steps taken by government.
6. Name, volume, format, and retention period of the affected records series.
7. Are any of the above essential to the resumption of normal business operations?
8. Are there backup copies offsite?
9. Do the damaged records pose a health hazard? If so, what kind of health hazard?
10. Immediate recommendations from RAO.

11. Further RAO recommendations based on consultation with the local government, the appropriate State Archives staff, vendors, or other archival consultants.

12. Did the local government follow recommendations?

13. What should the government do to prevent this disaster from happening again?

14. Are there alternate sources of funding to provide for remediation, such as Insurance, contractor liability, or federal sources of funding such as FEMA?

15. For what and why is the government requesting disaster recovery funding? Describe and explain all proposed recovery expenditures.

The site visit report must be included in the application packet.

Disaster Recovery Grants

Questions for Disaster Recovery Vendors (for paper-based documents only)

Note: Before you sign a contract with a vendor, please consult the State Archives records advisory ["Working with Disaster Recovery Vendors"](#). The State Archives also maintains a list of disaster recovery [vendors](#).

1. Are the documents soaking wet, or damp?
2. Do you have the capacity to vacuum freeze dry the documents?
3. What are all of the steps proposed for drying out these wet or damaged documents?
4. Does your process involve applying any proprietary solutions or exposure to a proprietary vapor product? Please describe any proprietary products or methods that are proposed.
5. Is there active mold on these documents?
6. Do you have any reason to recommend sterilization for these documents? Please describe the reason(s).
7. Do you have the capacity to treat these documents either by gamma irradiation or by exposure to ethylene oxide?
8. What are all of the steps proposed for treating these documents with either gamma irradiation or ethylene oxide?
9. What are all of the steps proposed for treating any mold or mold damage on these documents?

10. Please confirm that the documents will be returned to the local government in a condition that allows staff to use them in a conventional manner - for example, without protective garments, masks, or respirators.