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Archives*

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GRANTS ADMINISTRATION UNIT • 9A81 Cultural Education Center • Albany, NY 12230 • 518-474-6926

LOCAL GOVERNMENT RECORDS MANAGEMENT IMPROVEMENT FUND  
(RFP #GC18-013)

Grant Application Guide  
2018–2019

Application Deadline  
16 January 2018  
5:00 PM

All applications must be submitted electronically.  
If you have difficulty completing an online application,  
contact the Grants Administration Unit at 518-474-6926



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The State Education Department  
New York State Archives  
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# General Information

## Introduction

The Local Government Records Management Improvement Fund (LGRMIF) grants program provides funds to help local governments establish records management programs or develop new program components. It is a competitive program, awarding grants based on the merits of applications. The LGRMIF, created in 1989, is derived from fees collected by county clerks and the New York City Register for the recording of selected documents and for the assignment by county clerks of index numbers for certain court cases. The amount of grant funding available each year depends on the number of documents recorded and index numbers assigned that year.

The purpose of LGRMIF grants is not to support local government records management programs indefinitely. Local governments are expected to assume primary responsibility for ongoing support of their programs by providing the resources to manage their records on a continuing basis. This is consistent with the 1987 Local Government Records Law (Article 57-A, Arts and Cultural Affairs Law), which requires most local governments to designate a Records Management Officer (RMO) and to develop a records management program.

The State Archives encourages local government officials to attend one of the many LGRMIF grant application information sessions held throughout the state. In addition, applicants may direct questions regarding the LGRMIF to their respective Regional Advisory Officer (RAO), to the State Archives' Grants Administration Unit in Albany at 518-474-6926, or via email to [Archgrants@nysed.gov](mailto:Archgrants@nysed.gov). (See the directory of regional offices, with contact information for each of the RAOs, in the appendices.) New York City mayoral agencies must also contact the New York City Department of Records' Grant Administration Unit at 212-788-7513 or via email at [grants@records.nyc.gov](mailto:grants@records.nyc.gov) for information and assistance with additional requirements that are specific to them.

To comply with formal bidding procedures, the State Archives must receive by 5:00 PM on December 29, 2017 any questions that have not already been addressed in this guide or through the [frequently asked questions \(FAQs\)](#).

Submit all questions to the Grants Administration Unit at [Archgrants@nysed.gov](mailto:Archgrants@nysed.gov). Questions and their answers will be posted to the New York State Archives' website, which will be updated weekly. Additional information may be found on the Archives' website under "Grants and Awards."

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

## Summary of Major Changes

- The State Archives anticipates that approximately \$4.5 million will be available for the 2018-2019 Local Government Records Management Improvement Fund grant year. Grant funds will be allocated as follows:
  - Projects for the City of New York will receive up to \$1 million.
  - Disaster recovery projects will be funded up to \$150,000.
  - Individual grant projects will receive up to \$500,000.
  - Shared services projects will receive up to \$1,350,000.
  - Demonstration projects will be funded with the remaining funds.
  
- Records-Lifecycle Management of Electronic Mail (eMail Management) Implementation is the only eligible demonstration project activity this year. Records Management Application projects and Records-Lifecycle Management of Electronic Mail (eMail Management) planning projects are no longer eligible for funding.
  
- Section 4b Local Government Contributions, Previous Records Management and Current Project Support, has been updated to include support and maintenance of previous funded LGRMIF grants.
  
- Added inactive records category requirement that shelving arrangement should allow for aisles approximately 36” wide, to satisfy requirements under the Americans with Disabilities Act (ADA).
  
- Applicants proposing a document conversion and access project that involves district attorney records must indicate in the application that it has discussed the proposed project with representatives of the appropriate Judicial Department of the Appellate Division of State Supreme Court and confirm that the project meets with the department’s approval.

## Timetable

21 December 2017	Due date for submitting a Notice of Intent (NOI) to apply for a LGRMIF grant for the 2018-2019 grant year.
29 December 2017	Questions that have not already been addressed in this guide or through the frequently asked questions (FAQs) must be submitted to <a href="mailto:Archgrants@nysed.gov">Archgrants@nysed.gov</a> before 5:00 pm on this date.
8 January 2018	Registration forms requesting new eGrants user accounts must be submitted before 5:00 pm on this date.
16 January 2018	Grant applications must be submitted electronically before 5:00 pm on this date. Also, the paper signature forms required for all applications must be postmarked by this date and necessary M/WBE documents should be submitted.
1 July 2018	Grants projects may start contingent on final approval from the Division of the Budget and the Office of the State Comptroller.
1 June 2019	All budget amendment templates must be submitted electronically before 5:00 pm on this date. Also, the paper FS-10-A form, Proposed Amendment, must be postmarked by this date, if required.
30 June 2019	All work on grants projects must be completed.
31 July 2019	Final Reports must be submitted electronically and form FS-10-F, Final Expenditure Report, must be postmarked by this date.
<b>Note:</b>	Grant recipients who have not submitted the necessary M/WBE forms during the application process must submit them within thirty days from the date of notice of grant award. Failure to do so may result in loss of funding.



## **Eligibility Requirements**

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

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

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

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

## **Public Benefit Corporations**

The State Archives considers Public Benefit Corporations with local or regional jurisdiction to be independent units of local government and therefore eligible to apply for LGRMIF grants.

## **Community Colleges**

A community college sponsored by more than one county may apply as a separate local government. A community college sponsored by a single county may apply for grant funding only through its county's RMO and with the approval of the county's chief administrative official. A single county may apply for an additional grant so long as that application focuses entirely on the records of its community college.

## **Fire Districts, Volunteer Fire Companies, Emergency Rescue Services, and Ambulance Services**

Fire districts are eligible to apply for LGRMIF grants because they are local governments; they must meet the above eligibility requirements.

Pursuant to Chapter 508 of the Laws of 2014 volunteer fire companies and volunteer ambulance services are eligible to apply for LGRMIF grants. As they are not-for-profit entities, not local governments under the Local Government Records Law, they are not subject to the above eligibility requirements.

Not-for-profit entities, other than volunteer fire companies incorporated under section 1402 of the Not-For-Profit Corporation Law, are, though, required to register in the New York State

Grants Gateway, <http://www.grantsreform.ny.gov/>, and to complete the Vendor Prequalification process in order for their LGRMIF grant applications to be evaluated. Additional information on the prequalification process is available below and at the end of this document.

Emergency rescue services are neither local governments under the Local Government Records Law, nor covered by Chapter 508 of the Laws of 2014. Consequently, they are not eligible to apply for LGRMIF grants.

For questions on eligibility, contact the Grants Administration Unit at 518-474-6926.

## **Prequalification Requirements**

The State of New York has implemented a new statewide prequalification process (described in <http://www.grantsreform.ny.gov/Grantees>) designed to facilitate prompt contracting for not-for-profit vendors. This does not apply to local governments. All not-for-profit vendors are required to pre-qualify prior to grant application. This includes all currently funded not-for-profit institutions that have already received an award and are in the middle of the program cycle. The pre-qualification must be completed by all not-for-profit institutions prior to application in order to receive an award under this RFP. Please review the additional information regarding this requirement in the Prequalification for Individual Applications section towards the end of this document.

**Note:** Volunteer Firefighter Companies' incorporated under §1402 of the Not-For-Profit Corporation Law are no longer required to pre-qualify in order to be eligible to apply for LGRMIF grants.

## **Notice of Intent**

The Notice of Intent (NOI) is not a requirement for submitting a complete application by the application date; however, NYSED strongly encourages all prospective applicants to submit an NOI to ensure a timely and thorough review and rating process. A non-profit applicant's NOI will also help to facilitate timely review of their prequalification materials. The notice of intent is a simple email notice stating your organization's (use the legal name) intent to submit an application for this grant. The due date is Thursday, December 21, 2017 at 5:00 PM. Please send the NOI to the State Archives, Grants Administration Unit, at [archgrants@nysed.gov](mailto:archgrants@nysed.gov).

# Types of Grants

## Introduction

Four types of competitive grants are available and each type has multiple project categories:

Project Category	Application Type			
	Shared Services	Demonstration	Individual	NYC Dept. or Records
Disaster Management	✓		✓	✓
Inactive Records	✓		✓	✓
Historical Records	✓		✓	✓
Files Management	✓		✓	✓
Document Conversion and Access	✓		✓	✓
Implementation		✓		✓

A detailed listing of the project categories, including category requirements and eligible activities, follows later in this document.

Applicants may submit or be a party to only one grant application, unless the second application is for a project under the Disaster Management category or in the case of a county where the second application is focused entirely on the records of its community college. The maximum amount allowed for a Disaster Management project is \$10,000 when an applicant applies for this as a second application. If an applicant is submitting only one application and that application is for Disaster Management, the applicant may request up to \$75,000 (for an Individual project) or \$150,000 (for a Shared Services project). Demonstration projects cannot be submitted in the Disaster Management category. No local government can be a party to three or more competitive grant applications in the same year under any circumstances.

## Shared Services Grants

Shared Services Grants involve two or more local governments working together, with one government acting as the lead. Shared Services projects continue to be a priority for funding and the State Archives will allocate \$1,350,000 to fund Shared Services grants. Preference will be given to applications proposing to establish new shared services consortiums for the management of records.

Applicants proposing a Shared Services project may request up to \$150,000. To be eligible for funding, a Shared Services application must demonstrate how the grant project will establish an ongoing cooperative relationship between governments that results in sustainable programmatic change. Note that the New York State General Municipal Law Section 119-O states that municipal corporations and districts have the power to enter into agreements, including shared services agreements, with each other but that the maximum term of such agreements cannot

exceed five years, unless another law otherwise provides for a longer term.

Applicants for Shared Services grants must address all of the following:

- Prove there is need for the project. If a needs assessment is essential for proving the viability of a project, it is the responsibility of the governments involved to ensure a needs assessment is submitted with the application
- Demonstrate the clear financial and administrative advantages of working together by including a cost-benefit analysis that demonstrates the cost savings of implementing the proposed project
- Demonstrate the mutual benefits of the project to all participants
- Provide information on the type, size, and function of the governments and government departments involved, detailed information about the records that will be the focus of the project, and the basis of all costs
- Include a signed Shared Services Agreement Form for each participating institution of your project. Scan the signed form(s) and upload the form(s) to your application as an attachment. Please use "SS Agreement" as the description for your attachment.
- Demonstrate the full participation and support of all participants. Note that this participation and support cannot be fulfilled merely by submitting the required Shared Services agreement forms, which only address the willingness of a local government to participate in a Shared Services grant project. Each Shared Services application must include information about how the participants will continue to work together into the future.

In addition, proposals for Shared Services projects must:

- Demonstrate the proposed project will result in ongoing, positive programmatic change involving an alliance of two or more local governments; is sustainable largely without LGRMIF funding; and all participants are committed to supporting project results for the long term.

All of the following administrative requirements must also be met by Shared Services applicants:

- One of the local government participants must be designated to serve as the lead applicant and fiscal agent for the grant. The lead applicant and participating local government partners must be eligible grant recipients, as defined by the program statute or regulation.
- The lead applicant must be responsible for the greatest percentage of the budget relative to the other collaborating members.
- In the event a grant is awarded for a Shared Services project, the award will be prepared in the name of the lead applicant only.

The lead applicant must meet the following requirements:

- Must be an eligible grant recipient as defined by statute.
- Must receive and administer the grant funds and submit the required reports to account for the use of grant funds.
- Must require local government partners to provide a letter of intent. Each letter must explain what the government will do in the course of the project; how funds, personnel, facilities, and tasks will be shared; and what benefits will be gained. Each letter must be signed by the chief administrative officer of the participating government.
- Must be an active member of the partnership.
- Cannot act as a flow-through for grant funds to pass to other recipients.
- Is prohibited from sub-granting funds to other recipients, but the lead applicant is permitted to contract for services with other partners or consultants to provide services that the lead applicant cannot provide itself.
- Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each will participate.

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

A [coterminous town-village](#), wherein a town and a village share the same boundaries and governing structure, is not eligible to apply as two partners in a Shared Services project (with the exception of the Town and Village of Green Island, which function as totally separate entities). However, the coterminous town-village can be involved in a Shared Services project with a third local government.

Applicants for Shared Services arrangements for the storage of records in any form are required, by the Arts and Cultural Affairs Law Sect. 57.31, to obtain the consent of the Commissioner of Education for each cooperating member that is storing records in a facility that it itself does not maintain. Contact the State Archives for further information. Applicants and participating institutions are not required to obtain this consent prior to submitting their application, but should indicate in the application their intent to obtain this consent upon grant award notification.

## **Demonstration Grants**

The goals of the LGRMIF demonstration grants program are:

- To initiate projects that will serve as models for improving electronic archives and records management practices in local government.
- To develop replicable program models that will dramatically transform the management of digital records and archives in local government.

## **Types of Demonstration Grants**

This year only Records-Lifecycle Management of Electronic Mail (eMail Management) Implementation grants are eligible for funding. An implementation project can be funded for up to \$500,000 total and cover a period of one or two years. An applicant must have first completed a needs assessment and should attach a copy of the needs assessment to its application in the eGrants system.

## **Two-Year Implementation Projects**

For two-year implementation projects, the initial grant application must:

- Itemize the anticipated costs for just the first year and submit a proposed project budget (FS-10) for **just** the first year.
- Describe the full two-year project in the application narrative,
- Include a two-year budget summary as part of the narrative and as an attachment.

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

## **Project Requirements**

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

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

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

- Demonstrate the benefits of the project and the benefits of the project to local governments not involved in the project.
- Submit a needs assessment as part of any implementation grant application to prove the viability of the proposed project.

- Include a detailed estimated five-year cost-benefit analysis to demonstrate the clear financial and administrative advantages of the demonstration project into the future. This analysis must provide information on upfront and continuing costs, including system maintenance, and show the source of all estimated costs.
- Provide detailed information about the governments, governmental departments, archives and records management functions, and records that will be the focus of the project.
- Demonstrate the proposed project is sustainable and will result in ongoing, positive programmatic change.

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

- Demonstrate the mutual benefits of the project to all participants and the benefits of the project to other future consortia of local governments.
- Demonstrate how the grant project will establish an ongoing cooperative relationship between governments that will result in sustainable programmatic change.
- Demonstrate how each local government in a consortium will maintain control over its own records.
- Articulate the proposed governance structure of this consortium describing the expected intergovernmental agreement that will be created, the bylaws that will be enacted for a proposed governance committee, and the proposed policies for running the consortium.
- Demonstrate the full participation and support of all members of the consortium for the duration of the project and for the long term.
- Demonstrate the ability and intention of the lead government to continue to lead this program into the future.

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

- One of the local government participants must be designated to serve as the lead applicant and fiscal agent for the grant. The lead applicant and participating local government partners must be eligible grant recipients, as defined by the program statute or regulation.
- The lead applicant must be responsible for the greatest percentage of the budget relative to the other collaborating members.
- In the event a grant is awarded for a demonstration project, the award will be prepared in the name of the lead applicant only.

The lead applicant must meet the following additional requirements:

- Receive and administer the grant funds and submit the required reports to account for the use of grant funds.
- Ensure that each local government partner provides a letter of intent, signed by the respective chief administrative officer, explaining what the government will do in the

course of the project; how funds, personnel, facilities, and tasks will be shared; and what benefits will be realized.

- Be an active member of the partnership.
- Not act as a flow-through for grant funds to pass to other recipients.
- Not sub-grant funds to other recipients, though lead applicant is permitted to contract for services with other partners or consultants to provide services that the lead applicant cannot provide itself.
- Be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each will participate.
- Demonstrate the full participation and support of all participants. Note that this participation and support cannot be fulfilled merely by submitting the required Shared Services agreement forms, which only address the willingness of a local government to participate in a multi-government Demonstration grant project. Multi-government Demonstration application must include information about how the participants will continue to work together into the future

If applicants for multi-government demonstration grants do not meet all of these administrative and other requirements as indicated above, their proposals will be ineligible for funding. Applicants for demonstration grants should note that General Municipal Law Section 119-O states that municipal corporations and districts have the power to enter into agreements, including multi-government agreements arising from Demonstration projects, with each other but that the maximum term of such agreements cannot exceed five years, unless another law otherwise provides for a longer term.

Applicants proposing demonstration projects that include digital records storage are required, by the Arts and Cultural Affairs Law Sect. 57.31, to obtain the consent of the Commissioner of Education for each cooperating member storing records in a facility that it itself does not maintain. Contact the State Archives for further information.

### **Required Project Outcomes**

All demonstration implementation projects must achieve the following additional outcomes in the final year of an implementation grant.

- 1) Develop a webpage or a subsite of a website to publicize the program developed by the grant, including enough information to allow other local governments or consortia of local governments to replicate the program.
- 2) Develop a canned one-hour webinar that explains, in layman's terms, the elements of the program and how the program was developed.
- 3) Create and make available the governance documents of any consortium participating in a multi-government project, including the intergovernmental agreement for the consortium, the bylaws of its governance committee, and the policies for running the consortium.



- 4) Create a set of policies and procedures, including, at minimum, system management and maintenance, training and support, auditing systems, system performance assurance, information governance, and security, and make these policies and procedures (minus any sensitive information) available for use by others.
- 5) Publicize the results of the project through at least one public event, such as a one-day symposium or a presentation at a statewide or regional meeting of a local government, archives, or records management association.
- 6) Indicate in these materials that the source of startup funding for the project was the Local Government Records Management Improvement Fund, New York State Archives, State Education Department.

### **Projects to Fund in 2018-2019**

#### **Records-Lifecycle Management of Electronic Mail (eMail Management) Implementation**

Grant applications for this demonstration project must set up replicable products and protocols that will manage electronic messages (including attached metadata) through the records-lifecycle from creation to disposition. Proposed projects must propose methodologies and processes for managing email that limit the involvement of email account holders in the management of email records and implements uniform policies and methodologies to manage electronic mail. Applications for this project will be considered Document Conversion and Access grant applications for the purposes of review and must address all related requirements of that category. A demonstration project applicant must design implementation project that lays out how the applicant will

- Develop protocols and business rules to categorize electronic messages into record and non-record categories and develop a filing schema and taxonomies for record emails, including, but not limited to, the implementation of auto-categorization software.
- Develop protocols and processes to apply retention schedules to record emails using such retention methods as big bucket solutions, uniform retention period(s) or account holder retention, with the use of a content management system, records management application (RMA), or other methods.
- Develop protocols and processes to identify and retain only one official copy of each record email and implement single instance storage with the use of de-duplication software or other methods.
- Develop protocols and processes to ensure the preservation of electronic mail with long-term or permanent retention requirements.
- Design and/or implement a system of access controls to protect email records from both inappropriate access and accidental or otherwise unauthorized modification, replacement, or destruction.

- Design and/or implement a governance structure outlining individual roles, responsibilities and accountability for the system and processes within the system, including a process for authorizing disposition and ensuring that email records can be destroyed only after all appropriate authorizations have been granted
- Design and/or implement a system that completely destroys any obsolete electronic records from both the system and any backups once their destruction has been authorized

Proposed projects may also consider the need to

- Develop protocols and processes to comply with Freedom of Information Law (FOIL) requests and e-discovery motions for electronic mail including the ability to redact information protected under the Personal Privacy Protection Law (PPPL), personally identifiable information, and any other information that is not disclosable.
- Design and/or implement an auditing system to ensure that email records cannot be changed without such changes being documented within the system

## **Individual Grants**

Individual grants involve a single local government, a single volunteer fire company, or a single voluntary ambulance service. Applicants may request up to \$75,000 and may apply under any of the project categories listed later in this document. Up to \$500,000 will be available for individual grants. Under this type of application, preference will be given to first time applicants applying for an inactive records grant to complete an inventory and planning project. This preference will be expressed in the form of bonus points (10).

## **NYC Department of Records and Information Services (DORIS) Grants**

By law, the City of New York can receive up to \$1 million in LGRMIF grant funds each year. The departments of New York City apply through the standard application process and must compete for funding, just as other applicants. As part of this \$1 million allowance, DORIS, which directly administers LGRMIF grants to New York City departments, is also eligible for a grant of up to \$200,000 to support the administration of these grants and may also apply for a grant to address its own archives and records management issues.

For the purposes of LGRMIF grants, individual agencies of the City of New York are treated as local governments. Agencies may apply for individual grants focused solely on their respective agencies and may request up to \$75,000. Alternatively, an agency may apply for a demonstration grant or two or more agencies may band together to apply for a shared services application. In the latter two cases, the money for such grant projects will be part of the \$1 million allowance to New York City.

DORIS, as the administrator of LGRMIF grants to the City of New York, shall provide the State

Archives with a listing of projects proposed by New York City departments in priority order, including the amount requested for each project. This listing should be part of the cover letter that accompanies the signed FS-10 budgets and M/WBE document packages that are submitted in hard copy to the Grants Administration Unit. In the event of a tie where there is not enough money to fund all tying projects, the application or applications that will be funded are those that are the higher priority without exceeding the amount available.

## **Disaster Recovery Grants**

The LGRMIF program will set aside \$150,000 this year to fund this grant type, offering grants up to \$20,000 to support disaster recovery projects. All local governments, except New York City municipal agencies, are eligible to apply whenever a disaster involving records occurs. Disaster recovery grant applications must be submitted within thirty days of the disaster, unless extenuating circumstances preclude this. The disaster grant due date is based on the date of the disaster, and these applications are reviewed separately as they occur. If you experience a records disaster, contact your Regional Advisory Officer (RAO) immediately. If your RAO is not available, call Local Government Advisory Services in Albany at 518-474-6926.

## **Funding**

The State Archives anticipates that approximately \$4.5 million will be available for the 2018-2019 Local Government Records Management Improvement Fund grant year. Grant funds will be allocated as follows:

- Projects for the City of New York will receive up to \$1 million.
- Disaster recovery projects will be funded up to \$150,000.
- Individual grant projects will receive up to \$500,000.
- Shared services projects will receive up to \$1,350,000.
- Demonstration projects will be funded with the remaining funds.

## **General Application Requirements**

All applicants must directly address the following requirements in their LGRMIF applications. Individual categories have additional requirements that you must also address.

### **1. Records Focus**

Demonstrate that your project focuses on improving the management of records in your local government by addressing the following:

Demonstrate that you are prepared to address the appropriate retention and disposition of the records involved in your project. If you are proposing to implement new technology, explain how you will maintain the records and make them available for the full retention period (especially if the records are permanent) and destroy the records appropriately when their retention period has passed.

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

Address specific records management issues, including increased access to records, vital records protection and disaster management, preservation, confidentiality, security, compliance with FOIL and other records laws, and the legal admissibility of information.

**Note:** Projects that propose to create data or records or to improve a business process are not eligible for funding. Examples of these include water meter reading projects, projects to initiate or enhance a government's ability to transact business over the Internet, the implementation of incident voice recording systems, the creation of GIS data by use of Global Positioning System (GPS) units, and the installation of billing programs and other software applications that do not manage records as their primary purpose. Business Process Analyses (BPAs) are also ineligible. If you need assistance framing your project in records management terms, contact your RAO or Archives staff in Albany.

## **2. Adherence to Archives' Standards and Guidelines**

Give details on how you will adhere to State Archives standards and guidelines relevant to plan your project. These can include the Archives' standards for digital imaging and microfilming, as well as guidelines in the form of workshops, publications, or advice from a State Archives' Regional Advisory Officer. For your convenience, references to applicable written standards and guidelines are included in the descriptions for most grant categories.

## **3. Increased Capacity**

Explain how this project will help you develop or enhance the capacity of your records management program or system. In other words, explain how this project will help build a program or improve an existing component of a program rather than just maintain it. LGRMIF grants are not intended to support ongoing operational costs of a records management program. Funds are not awarded to address records that have accumulated since the completion of a previous project, to pay for upgrades to software and hardware already funded through an LGRMIF grant, or to cover payroll costs that are not directly associated with the grant project. If you are proposing to redo a project funded under a previous LGRMIF you must provide compelling justification about why you could not maintain the results of that project and how you will ensure you can do so in the future.

## **4. Project Staffing**

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

## 5. Supporting Documentation

Applicants are responsible for ensuring they submit the documentation required by their specific project category. We strongly encourage applicants to obtain electronic versions of any documentation from a vendor (for example, needs assessments, responses to RFQs, floor plans and shelving layouts, conservation treatment proposals), so that they can more easily integrate the documentation into their grant applications when applying on line.

- Submit any supporting documentation only in the following electronic formats: Microsoft Word (.docx) or PDF for text-based documents; Excel (.xlsx) for spreadsheets; and PDF, JPEG, BMP, or PNG for images. Note: Please do not attach MS Word 2003 or 2007 (.doc) files; they must be converted to MS Word 2010 (.docx) format.
- Needs assessments are not eligible for funding through the LGRMIF except for Demonstration grants (in the form of planning projects) and Inactive Records and Historical Records projects. However, if a needs assessment is essential for proving the viability of a project, it is the applicant's responsibility to complete and submit one with the grant application. Applicants may either use government funds to pay a consultant or work with their RAO to develop a needs assessment in house.
- Request for Quotes (RFQ). A RFQ is required when applying for funds
  - to purchase equipment with a **unit** cost in excess of \$10,000
  - to purchase computer software with a **unit** cost in excess of \$10,000
  - for purchased services where the fee for any **single** vendor or consultant exceeds \$10,000
  - for remodeling, where the cost of any **one** activity exceeds \$10,000
  - for remodeling, where any **one** contractor will receive over \$10,000 **even** if the services or products will be procured:
    - off state contract
    - from Preferred Source vendors
    - from BOCES
    - from sole-source vendors, or
    - by following your local government's procurement requirements.
- Detailed Vendor Quotes. Three quotes are required whenever a RFQ is required, except that only one quote is needed in cases where services or products will be procured:
  - off state contract
  - from Preferred Source vendors
  - from BOCES
  - from sole-source vendors, or
  - by following your local government's procurement requirements.

**Note:** All quotes must be detailed quotes that clearly delineate individual project costs and vendor or contractor qualifications. Where applicable, shared services applications should include a single, detailed vendor quote, rather than individual quotes for each project participant. For additional information on vendor quotes and methods of procurement please refer to the [procurement section](#) later in this document.

- If an applicant proposes a project that involves birth, death, marriage, or burial records, the applicant must indicate in the application narrative that it has discussed its proposed project with the Department of Health (DOH), which oversees those records, and confirm that the project meets with DOH's approval. Contact the Registration Unit at the Office for Vital Statistics at 518-474-8187. (**Note:** DOH is approving that the parameters of your project meet DOH Guidelines. DOH is not approving your grant application).
- If an applicant proposes a project that involves court records, the applicant must indicate in the application narrative that it has discussed its proposed project with the Unified Court System (UCS), which oversees those records, and confirm that the project meets with UCS's approval. Contact Unified Court System records management staff at 212-428-2875 or [records@nycourts.gov](mailto:records@nycourts.gov). (**Note:** UCS is approving that the parameters of your project meet UCS Guidelines. UCS is not approving your grant application).
- If an applicant proposes a document conversion and access project that involves district attorney records, the applicant must indicate in the application that it has discussed the proposed project with representatives of the appropriate Judicial Department of the Appellate Division of State Supreme Court and confirm that the project meets with the department's approval.

# Project Categories

## Disaster Management

Disaster Management supports projects to develop, test, and implement disaster and business recovery plans and systems to protect local government archival and vital records. Projects under this category must address both hardcopy and electronic records systems.

Local governments may apply for two grants only if the second application is for Disaster Management planning. The maximum award for projects under this category is \$10,000 when an applicant applies for this as a second application. If an applicant is submitting only one application and that application is for Disaster Management, the applicant may request up to \$75,000 for that Disaster Management project. The Archives encourages, but does not require, governments to produce their own disaster plans to help ensure the relevance of the plans and the governments' investment in disaster preparedness and response.

### *Category Requirements*

- If proposing the creation of a disaster plan, you must also include a detailed accounting of the specific risks faced by your government and its facilities.
- Any proposed disaster plan must include a section that addresses the specific risks faced by the applicant and its facilities and the government's plan to eliminate, avoid, or mitigate those risks.

## Inactive Records

This category encompasses projects to plan, develop, or improve the management of records during the inactive phase of their life cycle. Inactive records are records that are used infrequently but must be retained because their retention periods have not yet expired. This category also includes projects for governments to conduct records inventories and surveys to determine what records they have, identify obsolete records, improve how they organize and control records, and, generally, chart a course for the future of their records management programs. Inventory and Planning projects frequently focus on a backlog of inactive records, although they may also include active records.

### *Types of activities*

- A comprehensive inventory of all government records (active and inactive), or an inventory focused on the records of a specific department or departments.
- An inventory focused on a specific record format (maps and plans, email, or electronic records).
- Projects to inventory, organize, and enhance the accessibility of inactive records. These include identifying and consolidating all inactive records, integrating records into an inactive storage area, purging obsolete records, developing retrieval methods, and formulating policies for managing inactive records. Inactive Records projects may also involve hiring a consultant to develop a strategy, help formalize policies and procedures, and map the required technology infrastructure for managing inactive electronic records.

- Projects to improve an inactive records storage facility. Funding is available to purchase and install intruder alarm systems, fire-detection systems, fire-suppression systems, water detectors, environmental monitoring equipment, and stationary or mobile shelving for inactive records storage facilities. Minor renovations and improvements to storage facilities are also eligible. This may include the services of architects or engineers to develop plans and specifications for a proposed facility to store hardcopy records.
- A records survey, which collects information on records stored in a local government but in a way less labor-intensive than an inventory.

For information on records inventory and planning, consult [State Archives Publication #76, Inventory and Planning](#). This publication includes a worksheet to use for entering information directly by hand or for designing a database to ensure the uniformity of data collection. For information about managing Inactive Records, see [Publication #48, Developing an Inactive Records Storage Facility](#); [Publication #49, Administration of Inactive Records](#); and [Publication #65, Recommendation for Shelving for Inactive Storage](#). For information about developing office retention schedules, consult State Archives [Publication #41, Retention and Disposition of Records](#).

### *Category Requirements*

#### *For inventory and survey activities*

- All records inventory and survey projects must involve the development of a records management needs assessment and program plan that addresses short- and long-term goals. Describe the process you will use to develop the needs assessment and records management plan.
- Indicate, in cubic feet or bytes, the approximate quantity of records you intend to inventory, survey, or organize. Use the “[Table of Cubic-Foot Equivalents](#)” in the appendices to estimate cubic footage. Estimate inventory rates for electronic records by conducting a test inventory of a single electronic recordkeeping system.
- If applicable, explain how you will use the data from any survey or inventory project to develop office retention schedules.
- If planning a partial inventory or survey, specify which offices, government functions, or records formats (paper or electronic) the grant project will cover and why.
- Indicate an inventory, survey, or purging rate and how you arrived at that rate. The standard rate is one to two cubic feet per hour for paper records. This rate may be slower for projects involving a small volume of records and will be faster for a records survey.

#### *For inactive records activities*

- Explain why you selected a particular site for records storage and describe the suitability of that site based on location, size, security, and environmental conditions or based on the improvements that will occur because of the proposed grants project. Identify the departments that will use the storage area and the controls you will employ to ensure the security of the records.
- Include to-scale floor plans of proposed storage areas that indicate all dimensions (length, width, and height) and include the proposed layout of shelving. Indicate the number of cubic-foot boxes that will fit on each unit of shelving. Your shelving arrangement should



allow for aisles approximately 36” wide, which will satisfy requirements under the Americans with Disabilities Act (ADA). For additional information about compliance with ADA accessibility requirements applicants should consult [American with Disabilities Act Title III Regulations](#).

- Indicate that the floor load capacity of the chosen site can support the weight of the stored records unless the storage area proposed is on a slab.
- Plan for at least 30% more space based on the volume of records. For example, if you have 100 cubic feet of records to store, include space to store 130 cubic feet of records.

## Historical Records

Historical records, also known as archival records, are those records worthy of permanent preservation and special care because of the continuing importance of the information they contain. These records are frequently identified on records retention and disposition schedules as having permanent retention periods or potential historical importance.

Historical records may exist in a variety of formats, including paper files, maps, photographs, videotapes, or computer files. Funds cannot be used to care for published materials, which include newspapers (including clippings), books, magazines, and published maps. Applicants under this project category are strongly encouraged to work with the State Archives when planning to create series descriptions, catalog records, and collection guides in electronic format for use on a local website or through the Historic Documents Inventory (HDI). For assistance, call the State Archives’ Archival Services Program at 518-474-6926.

In addition, this category also supports projects that propose to use local government records as teaching tools in the community and in the classroom. **Educational Uses** projects promote the management of local government records and increase public awareness of the educational and historical value of these records. Many projects under this category also address state standards for K-12 education.

If you are considering an Educational Uses grant, direct your questions to either your RAO, or to the Archives Coordinator of Educational Programs at 518-474-6926.

### *Types of activities*

- Assessing the current status of archival activities in order to identify needs, develop plans, write policies and procedures, and recommend future activities for a formal historical records program. When developing an archival needs assessment project, refer to State Archives [Publication #59, Archival Needs Assessment Guidelines and Template](#).
- Improving access by arranging, rehousing, and describing historical records, or by reproducing and distributing guides and other finding aids in paper or electronic format. These activities may involve hiring a professional archivist as a consultant or purchasing pH-neutral or alkaline (pH not less than 7.5), lignin-free storage supplies, including folders, boxes, records cartons, and paper to wrap volumes.
- Hiring a professional conservator to survey the preservation needs of historical records and to develop a plan to address those needs, or to apply conservation methods directly to deteriorated or damaged items to return them to stable and usable condition.

- Developing websites, brochures, exhibits, walking tours, or other products that use local government records to educate the public and students about community history, the value of records, or other subjects.
- Preparing document-based instructional materials for classroom use, including a collection of documents relating to a particular topic, historical background information about the topic and learning activities that incorporate the documents into classroom instruction.
- Developing programs to train teachers to use local government records as teaching tools in the classroom.
- Developing and/or implementing systems to ingest electronic records into the archival records management system, standards for digital file conversions, standards for descriptive metadata, verify the accuracy of document conversions and of metadata, manage security, to make archival electronic records accessible, and to back up these records.

### *Category Requirements*

#### *For all activities*

- Provide a detailed list of each records series involved in the project, including records series title, inclusive dates, quantity, and condition of records.
- If you intend to use records of local governments other than your own, provide a list of the governments and demonstrate that you involved these governments while preparing the grant application.
- Indicate that you will submit copies of any products, including brochures, collection guides, and procedures manuals, to the State Archives.

#### *For activities focused on managing historical records*

- Indicate the volume (in cubic feet) and condition of records you intend to use.
- Demonstrate that your government has clear custody of the records involved.
- If arrangement and description are involved, follow the standards described in the State Archives' manual, *Guidelines for Arrangement and Description of Archives and Manuscripts*. To determine the time needed to complete the project, use the following as a guideline:
  - Completely unorganized series: 16 hours per cubic foot
  - Complicated series, such as correspondence or subject files: 8 hours per cubic foot
  - Fairly simple and organized series that may need some work, such as case files or business records: 4 hours per cubic foot
  - Well organized series consisting primarily of bound volumes or voluminous series with uniform or repetitive information: 2.5 hours per cubic foot
- Demonstrate that by the end of the project you will house the historical records in a safe, secure environment with appropriate temperature and humidity controls.
- Explain your policies and procedures relating to access, storage, and security of the historical records, unless these will be developed during the project.

#### *For conservation activities*

- Justify the intrinsic value of any records that must be preserved in their original form through conservation treatment rather than reformatted. Also, submit a copy of vendor treatment proposals and estimated price quotes for each item to be conserved. Treatment proposals must describe specific tasks, proposed materials and techniques, estimated number of hours needed, and itemized costs.

#### *For educational activities*

- Demonstrate your grant project's substantive use of local government records. You may use non-government records such as business, organization, and church records, as well as historical records from a local historical society and library, where such use supplements and provides essential support to the use of local government records.
- Address how the proposed project will support both your overall records management objectives and the State Education Department's learning and Common Core standards.
- Include the following project participants for teacher training projects:
  - Trainers with the necessary experience in using local government records in the classroom, who will instruct other teachers, and who will provide guidance during site visits. Trainers may have acquired this experience by conducting research at a local government and developing educational materials based on that research; participating in a workshop, such as "Primarily Teaching," offered by the National Archives and Records Administration; or participating in a training workshop on how to use local government records in the classroom.
  - Local government officials, who will identify and provide access to relevant records.
  - Participating teachers, generally eight to twenty teachers per one-week training session.
- Strong preference will be given to projects that offer teachers professional development credit from individual school districts, or graduate credit from colleges and universities, rather than stipends for attending training workshops. If you are requesting stipends, you must justify the amount according to relevant union contracts.
- Develop a plan to share the grant's final products to local governments whose records were used or who contributed to the project; to participating teachers; to the school district libraries of participating teachers; and to appropriate community, educational, and research institutions.

## **Files Management**

Files management is the systematic control of active files, preferably beginning at the point when the files are created. Active files can be paper, electronic, or micrographic. If files are managed well when they are active, managing them as inactive files will be easier.

#### *Types of Projects*

- Projects under this category may involve reorganizing or centralizing paper or electronic files, implementing file classification systems and taxonomies, developing written policies and procedures, and training staff. The implementation of a new filing system

may require the purchase of specialized filing supplies (end-tab, color-coded file folders) and equipment (lateral, locking files).

#### *Category Requirements*

- Describe the problems with the current filing system and the proposed changes to it, including anticipated improvements in the speed and accuracy of retrieval.
- Explain why you chose one files management solution over other possibilities.

## **Document Conversion and Access**

Local governments may choose to convert records to another format through the use of microfilming or imaging, or a combination of these. Microfilming is especially appropriate for records that are used infrequently and have retention periods of ten years or more. Imaging is a valuable tool for enhancing access to records. This category now also includes GIS and records system implementation projects that establish or enhance the management of records.

**Note:** Records systems application projects that do not manage records as their primary purpose are not eligible for funding.

#### *Types of Activities*

- Converting paper records to microfilm or digital images or producing a microfilm master (or preservation) image and digital use image.
- Converting microfilmed records to digital images, or copying digital images or information to microfilm.
- Addressing the deterioration of acetate-based or nitrate microfilm, including the costs of assessing the problem, duplicating deteriorating film, and re-filming original records previously filmed on acetate-based or nitrate microfilm.
- Improving access to microfilm or scanned images through manual indexing, converting images to electronic text, implementing full-text-searching software, or a combination of solutions.
- Improving access to images through the implementation of an electronic document management system.
- Improving access to records with the creation of a database.
- Developing an electronic content management system, as well as related filing schema, assignment of retention periods to records, access and auditing controls, security, and disposition processes.
- Developing policies and procedures covering any aspect of electronic records management.
- Creating a base map, building the capacity to transfer data between governments or government departments, collecting or converting data from hardcopy or other sources to integrate into a GIS, and enhancing an existing GIS to allow internal, public, and inter-government viewing access via a web interface.
- Data conversion projects that include the scanning of geographic records or the georeferencing of hardcopy maps. Projects to create data (for example, by using GPS

units or hiring a professional surveyor) and GIS needs assessments are not eligible for funding.

- Implementation of database management systems and enterprise content management (ECM) systems.
- Projects to enhance access to a government's records via the Internet.
- Email management projects, which may involve assessing the current email system, implementing an email management system, or developing policies and procedures for enforcing the appropriate management of email.

### *Category Requirements*

#### *For imaging, microfilming, and document management activities*

- Describe how you will manage all of the phases of a conversion project, including document preparation, document conversion (through microfilming, imaging, or both), image verification and quality control, and providing access to the images.
  - Describe the individual tasks required for preparation (unfolding paper, removing staples, purging obsolete records and duplicates), indicate the staff time you will need to accomplish these tasks, and indicate how you arrived at these rates. The baseline rate for preparing records is 1,000 sheets per hour, but more time may be required for older, worn records with many staples and clips. Applicants may consider preparing a small portion of the records before applying in order to calculate the most accurate rate.
  - Indicate how you will verify that all the digitized or micrographic images are legible and that images of the entirety of all records have been captured. One hundred percent of the images must be verified before destroying the original records. The base rate for verification is 300 images per hour.
  - Describe the chosen method for improving access: manual indexing, full-text searching, or a combination of solutions. If using off-the-shelf software, indicate the name and version.
  - If microfilming, request \$23 per roll for third-party testing of every fourth roll of original microfilm. This testing must verify adherence to State Archives' guidelines for density, resolution, targeting, and general quality. Testing is conducted by Filmtek, Bill Hulik, 144 Genesee Street, Suite 102-214, Auburn, NY 13021; phone, 315-255-0367. Applicants can use other third-party vendors for microfilm testing only if they have received permission from the State Archives to do so.
- Pursuant to Article XI, Section 162 of State Finance Law, NYS Industries for the Disabled Inc. (NYSID) has been designated a "Preferred Source" for the provision of document imaging services. Under this law procurement of imaging services, when available in the "form, function and utility" required by applicants, are required to be made from preferred sources and are not subject to competitive procurement requirements.

You should obtain and attach a quote from NYSID for document imaging services, unless you can demonstrate that the services are not available from NYSID in the form, function

and utility that you require to successfully complete your proposed project, or you can demonstrate other legal or procedural reasons that preclude you from providing a quote from NYSID. In such instances, you must explain how NYSID is not able to meet your required form, function, and utility, or cite the legal and/or procedural reason that you have not provided a quote from NYSID.

**Note:** The New York State Education Law (Article 40, Section 1950) authorizes school districts to contract with a BOCES for services that have been approved by the Commission of Education. One of the available services is non-print duplication, which may include scanning or document conversion. The law authorizes school districts to contract with a BOCES through a cooperative service agreement (CoSer) rather than through a competitive procurement or via a Preferred Source. For additional information and clarification please contact NYSED's Office of Educational Management Services at (518)474-6541 or [emscmgts@nysed.gov](mailto:emscmgts@nysed.gov).

- If you are developing a database index, indicate the number of hours you estimate the indexing will take, including the number of hours you will need to prepare for the project and develop a policies and procedures manual. Indicate you arrived at any indexing rate you chose. The usual estimate for indexing minutes is seven pages per hour. The usual estimate for indexing birth, death, and marriage records (and for similar types of objective indexing) is 4,000 keystrokes per hour.
- Provide detailed quotes for imaging and microfilming that include per-image costs for conversion.
- For projects involving the creation of digital images, indicate how you will follow standards outlined in the State Archives' [Digital Imaging Guidelines \(2014\)](#).
- For projects with microfilming as a component, indicate how you will follow the guidance outlined in the State Archives' [Publication #9, Producing High-Quality Microfilm](#).
- Indicate how you will follow the guidance outlined in [Publication #77, Managing Imaging and Micrographics Projects](#). Applicants proposing to microfilm or scan court records must also indicate how they will adhere to all Unified Court System guidelines.
- Provide, in section 1b of the project narrative, a listing of each of the records series you plan to digitize or microfilm that includes the series titles, dates, number of images, retention periods and references to schedule items, size of paper, and information about the condition of the records (such as any damage, large quantities of fasteners, or paper that is difficult to manage, such as onionskin).
- Identify how you will maintain the master image copy. For example, explain how camera-negative microfilm will be stored off site under environmentally controlled conditions and how you will ensure that the master digital copy will be preserved and maintained for the full retention period of the record.
- Describe how you will continue document conversion of records series initiated with grant funding and/or expand conversion to other records series.
- If proposing to establish an in-house imaging operation, demonstrate how doing so will be more economical and efficient than outsourcing.
- If implementing a document management system, demonstrate your ability to implement and maintain the system long term. For example, discuss your ability to budget for

systems maintenance, store image files, protect file integrity, and migrate images to the newer platforms and file formats when needed.

*For GIS activities*

- All applications for funding to implement a GIS must be for Shared Services projects.
- All applications must indicate how they will coordinate the development of the proposed GIS regionally with their respective county government or other regional local governments that have implemented GIS. The application must demonstrate compliance with this rule by providing a letter of acknowledgment from any relevant government that indicates how it will share in the management of data and expertise during the grant period, and how the proposed GIS will ensure conformance with extant geographic information systems and reduce potential redundancy of effort among local governments. Digitize these letters and upload them to your application in eGrants, using “GIS Letter of Acknowledgment” as the description for your attachment.
- Fully explain why each government needs a GIS and the specific GIS applications you request in your grant application.
- Specifically identify each government’s geospatial records involved in your application and how this project will improve the management of those records.
- If imaging is a component of your GIS project, provide, in section 1b of the project narrative, a listing of all the records you plan to digitize or microfilm and include the series titles, dates, number of images, retention periods and references to schedule items, size of paper, and information about the condition of the records (such as any damage, large quantities of fasteners, or paper that is difficult to manage, such as onionskin).
- If imaging is a component of your GIS project, provide quotes for imaging that include per-image costs for conversion.

*For record system implementation activities*

- Indicate in the grant application, when applicable, that source code for customized software developed with LGRMIF funds becomes the property of the local government by including a clause to that effect in any contract with a software designer.
- Agree to make any customized software code developed with LGRMIF funds available on request to other New York local governments for the cost of the storage media.
- Ensure that electronic records are maintained in open, non-proprietary formats except in rare cases when such formats do not exist.

# Instructions for the Project and Budget Narratives

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

## The Project Narrative

The project narrative is the most important part of the application, so pay careful attention to the information requested within it. To improve your chances of writing a successful grant application, pay special attention to the points assigned to each section of the narrative. Be sure to address past projects in section 1b of the Statement of the Problem. The grants review panels will have a list of all past LGRMIF grants received by your local government and will expect your application to explain that none of those previous projects included work proposed for your current application and that with your proposed project you will not conduct ineligible maintenance activities.

### 1. Statement of the Problem (maximum 15 points)

- a. **Defining the Problem:** Describe the specific records management problem this proposed project will address, provide qualitative descriptions and quantitative data about the problem, and explain why this particular project is a high priority for your records management program. **Do not discuss any proposed solutions here, only the problems. Discuss solutions in Intended Results (2a).** (5 points)
- b. **Defining Records Involved and Previous Grants:** Identify the specific records series that will be involved in this project, and include the series titles, estimated volume, date range, retention periods, and general condition of each series. Identify any projects funded in the past five grant cycles that relate to these records series and explain why this project would not replicate work already completed or would not address a backlog that has developed after a previous LGRMIF funded project. Indicate if your local government has not, in the past five grant cycles, received funding relevant to your current application. (10 points)

### 2. Intended Results (maximum 20 points)

- a. **Methodology:** Explain why the methodology you chose to solve your records management problem was the best one. Explain what other methodologies you considered, detail why these were rejected, and demonstrate why the chosen methodology was the best. (10 points)
- b. **Anticipated Benefits:** Identify each intended result or anticipated benefit of this project and your chosen solution, including specific products, time and cost savings, and service improvements. Describe how the anticipated benefits of this project will contribute to the development of a records management program or enhance an already existing program.



Provide both qualitative and quantitative data to support your arguments about the benefits of this project. (10 points)

**3. Plan of Work (maximum 30 points)**

- a. **Project Outline:** Provide a detailed outline of the proposed work activities including a detailed description of each work-step and a timetable that shows when each phase of the project will be completed. Show how you calculated estimated work rates to prove that your local government can attain all the project's goals by the end of the grant project period. (15 points)
- b. **Grant Requirements:** Address each of the general application, project type, and project category requirements. If your application combines elements of two or more grant categories, address the requirements of each. (15 points)

**4. Local Government Contributions (maximum 10 points)**

- a. **Previous Records Management and Current Project Support:** Demonstrate your local government's support for records management, including previous support and support for this project. As part of this, identify any LGRMIF grants your local government received over the last five grant cycles and indicate how you have maintained or expanded on the projects' results. Provide specific budget amounts whenever possible and include only financial and other support your local government has provided and/or that it will provide with its own funds. If your local government has not received any LGRMIF grants over the last five grant cycles, make note of that in this section. (5 points)
- b. **Future Program Support:** Provide concrete information to demonstrate how you will maintain the results of this project long term without additional LGRMIF grant funding. If additional funding will be required in the short term, explain why. (5 points)

**5. Project Budget (maximum 25 points)**

In the budget narrative itemize and justify each proposed project expenditures in terms of reasonableness of cost, the suitability of the chosen solution, and the necessity of the expenses to ensure the project's success. Do not merely describe each item and service requested in the project budget. For example, if purchasing a scanner for a project, do not simply explain that a scanner is needed to complete the project but also why the particular scanner, make, and model, needs to be purchased to successfully complete the project. If a vendor quote includes multiple items, i.e. software and professional services, you should list and justify each item. (25 points)

**1. Salaries for Professional Staff (Code 15)**

Justify in detail the need for these positions and clearly outline the responsibilities of the positions. Demonstrate why the requested number of hours is needed. Explain how the project staff will support project activities and goals.

**2. Salaries for Support Staff (Code 16)**

Justify in detail the need for these positions and clearly outline the responsibilities of the positions. Demonstrate why the requested number of hours is needed. Explain how the project staff will support project activities and goals.

**3. Equipment (Code 20)**

Describe how the requested equipment will be used to support project activities and goals, and demonstrate why this particular equipment is critical to the project's success. Demonstrate how such equipment will be used on an ongoing basis after the grant to support records management. **Note:** This code is only for items that have a unit cost of \$5,000 or more.

**4. Minor Remodeling (Code 30)**

Justify the need for the particular remodeling requested and why it is essential to the project.

**5. Purchased Services (Code 40)**

Describe how each of the items listed under purchased services supports the project's activities and goals. Clearly explain and justify the consultant or vendor's role in and time spent on the project, and demonstrate that the consultant or vendor is qualified to conduct this work.

**6. Supplies & Materials (Code 45)**

Describe how all the supplies and materials requested will support the project activities and goals and why they are essential to the project. **Note:** Include all software purchases and items with a unit cost under \$5,000 in this budget code.

**7. Travel Expenses (Code 46)**

Explain how the proposed travel will help achieve the intended results outlined in the application and why it is essential to the project.

**8. Purchased Services with BOCES (Code 49)**

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

**9. Employee Benefits (Code 80)**

Justify the need for using grant funds to pay staff benefits. Provide justification for any fringe benefits that exceed 35% of the cost of the salaries requested.

## **Budget and Eligible and Ineligible Expenditures Instructions**

### **Salaries for Professional Staff (Code 15)**

Provide the specific position title, number of hours needed, hourly rate of pay, and total project salary for each staff person you propose to pay with grant funds. Include only staff who will be professional employees of your local government in this budget code. Do not include consultants, per diem staff, or support staff.

#### **Eligible Expenditures**

Grant funding must be used only to pay staff involved with project-related activities. You may use grant funds to hire new staff or increase work hours of existing staff to carry out project-related work. If you are proposing to transfer existing staff to grant funds, justify the need and explain how these staff will be replaced in their former assignments using non-grant funds.

#### **Note to Town Applicants**

Refer to Sections 27 and 108 of the Town Law, which prescribe procedures for changes in the town clerk's salary. If the town clerk will work on the project and receive funds from the grant in addition to his or her regular duties, the application should clearly state that the clerk will perform these grant duties separately from and beyond his or her existing duties as town clerk or RMO. If the town receives a grant, the town board should adopt a resolution designating the clerk by an appropriate title (such as "project director") for the project work. The resolution should specify that the project duties will be performed separately from and beyond the person's responsibilities as town clerk or Records Management Officer.

Note: If a government proposes to pay existing staff with grant funds, it should submit a letter, signed by its chief authorizing official, explaining how it proposes to replace that employee in his or her regular job duties. Submit the signed original, by the stated postmark date, and attached a copy of the letter to the application in the eGrants system.

### **Salaries for Support Staff (Code 16)**

Provide the specific position title, hours needed, hourly rate of pay, and total project salary for each support staff you intend to pay with grant funding. Include only those individuals who will be support staff of your government in this budget code. Do not include consultants, per diem staff, staff hired through an employment agency, or professional staff.

#### **Eligible Expenditures**

You may use grant funds to hire new staff or increase work hours of existing staff to carry out project-related work. If you propose to transfer existing staff to grant funding, justify the need and demonstrate that you will replace these staff in their former assignments using non-grant funds. Demonstrate that grant-funded salaries will be used only to support project-related activities.

#### **Note to Town Applicants**

See note under "Salaries for Professional Staff (Code 15)."

Note: If a government proposes to pay existing staff with grant funds, it must submit a letter, signed by its chief authorizing official, explaining how it proposes to replace that employee in his or her regular job duties.

### **Equipment (Code 20)**

Briefly describe the item to be purchased and specify the quantity, unit cost, and proposed expenditure.

#### **Eligible Expenditures**

Use this category only for equipment with a **unit** cost of \$5,000 or more. Itemize equipment with a unit cost under \$5,000 (such as steel shelving) under Code 45, Supplies and Materials.

#### **Ineligible Expenditures**

- Photocopiers
- Office furniture
- Computer software (eligible under Code 45, Supplies and Materials)

### **Minor Remodeling (Code 30)**

Briefly describe and provide the cost of each proposed remodeling activity.

#### **Eligible Expenditures**

Any facility where proposed minor remodeling will take place must be in existence before the grant application deadline. Activities eligible for funding under Minor Remodeling include, but are not limited to

- feasibility studies and facility design
- renovations to facilities to improve them for records storage, or to prepare them for the installation of eligible equipment (including labor and construction materials)
- installation of fire detection and suppression systems and water detectors
- purchase, modification, and installation of heating, ventilating, and air conditioning systems to control temperature and humidity
- installation of walls, doors, locks, alarms, and other security systems to secure a records storage facility
- minor modifications necessary to install microfilming or other project-related equipment
- actions required to render the facility safe for occupancy and use by staff

#### **Ineligible Expenditures**

- Purchase or construction of facilities, or additions to existing structures
- Construction of or repairs to the roof, exterior walls, or foundation of a building

If one contractor is responsible for multiple activities, the quote from that contractor must provide a breakdown of costs by activity.

**Note:** Include a floor plan of any records storage area that is the focus of a remodeling

project.

### **Purchased Services (Code 40)**

Identify the type of service by general category (such as training, software installation, rentals), and provide the total expenditure for each. Indicate the number of days or hours a consultant will work, multiplied by a daily or hourly fee. List purchased services from a BOCES under Code 49.

#### **Eligible Expenditures**

- Consultant work, such as staff training, the preparation of records management needs assessments (for inactive and historical records projects only), and the development of records management policies and procedures
- Production of manuals, finding aids, teaching guides, or other publications directly related to the project
- Contractual services such as imaging, microfilming, system and application design, and software and hardware installation

#### **Ineligible Expenditures**

- Consultant fees paid to an employee of a local government
- Consultant fees for developing a needs assessment for the implementation of new technology or for conducting a business process analysis
- Technical support fees for software and electronic systems; rental fees or leases for equipment, records storage space, and server space; fees for web and data hosting services; and fees for equipment warranties
- Ongoing operational expenses, such as routine repairs, building maintenance, magazine subscriptions, membership fees, and systems maintenance
- Hiring a grantwriter

### **Supplies and Materials (Code 45)**

Briefly describe each requested item and specify quantity, unit cost, and proposed expenditure. Request any equipment items with a unit cost of less than \$5,000, and all computer software regardless of the unit price, under this budget code.

#### **Eligible Expenditures**

- Supplies, such as shelving, storage boxes, records management software, alkaline supplies (folders and boxes), and equipment with a unit cost of less than \$5,000
- Side-tab file folders for files management projects
- Computer software, regardless of the unit price
- Lateral open shelving with pull-down or flip-down locking doors
- Fire-resistant file cabinets

#### **Ineligible Expenditures**

- Software upgrades
- Standard file cabinets, including lateral file cabinets
- Office furniture

- Office supplies, such as tape measures, calculators, pens, toner, paper, and file folders
- Wooden shelving of any kind, including shelving with particle board decking
- Records center cartons other than standard cubic-foot boxes, unless the applicant provides sufficient justification for their purchase
- Consider the Source: Historical Records in the Classroom, a State Archives publication, cannot be purchased with funds from this granting source

**Other Required Forms**

- If purchasing shelving, you must include a floor plan indicating the layout of the shelving and the number of boxes you will store on each unit. For information on appropriate shelving for records storage, consult State Archives [Publication #65, Recommendations for Shelving for Inactive Records Storage](#).

Standard one-cubic-foot records storage cartons (10" x 12" x 15") may be purchased through

New York State Industries for the Disabled  
 11 Columbia Circle Drive  
 Albany, NY 12203  
 518-463-9706  
<http://www.nysid.org>

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

**Travel Expenses (Code 46)**

Identify the purpose of the travel, position of the person traveling, proposed mileage rate (if applicable), and total expenditure.

**Eligible Expenditures**

- Only travel that you can demonstrate is essential to the successful completion of a project is eligible for funding.
- Airfare is eligible if you can clearly demonstrate that it is the most cost-efficient method of travel available.

**Ineligible Expenditures**

- Travel to State Archives workshops and to other educational opportunities
- Expenses for travel to a conference, including registration fees, lodging, meals, bus or train fares, and mileage reimbursement

**Purchased Services with BOCES (Code 49)**

Briefly describe the proposed services. Provide the name of the BOCES providing the service, calculation of cost, and total proposed expenditure.

**Eligible and Ineligible Expenditures**

- See the list of eligible and ineligible expenditures under general purchased services (Code 40).

**Employee Benefits (Code 80)**

Calculate the proposed employee benefits using your local government's fringe benefits rate, rather than itemizing the individual benefits. The eGrant system requires a benefits rate in order to calculate the amount requested for employee benefits. The rate for project personnel must be the same as those used for other government personnel.

**Eligible Expenditures**

- Employee benefits payable to professional staff and support staff identified in Code 15 and Code 16, respectively
- Benefits equal to no more than 35% of the salaries for professional and support staff positions supported by grant funds

**Ineligible Expenditures**

- Benefits in excess of 35% of salaries, unless you provide convincing justification for requests in excess of this limit. Such evidence includes the fact that the rate for benefits for project personnel is the same as for other government personnel.

# The eGrants System

## Introduction

All LGRMIF grant applications must be submitted using the LGRMIF eGrants System, available at <https://eservices.nysed.gov/ldgrants>. This is separate from the New York State Grants Gateway and requires a separate user account. If you have difficulty completing an online application, please contact the State Archives Grants Administration Unit at [Archgrants@nysed.gov](mailto:Archgrants@nysed.gov) or 518-474-6926.

## Registering for a User Account

To log into the system, your respective Records Management Officer (RMO) must have a New York State Directory Service (NYSDS) username and password. If you do not have these, your RMO or designee (where an RMO is not required by law) must register for an account. If you are not sure whether your government already has an account, please contact the Grants Administration Unit at [Archgrants@nysed.gov](mailto:Archgrants@nysed.gov) or 518-474-6926.

We strongly recommend that you complete or verify your registration at least two weeks before the application deadline. Registration forms requesting new user accounts will not be processed if submitted within 5 business days of the application due date.

- To register, go to: <https://eservices.nysed.gov/ldgrants/ldgext/cnRegistration.do>.
- Enter all required information, including your RMO's name, title, institutional address, and contact information. Then click Submit.
- A username and password will be emailed within 48 hours to the institutional email address you entered on the registration form. Please be sure to provide the correct email address, otherwise receipt of your new account will be delayed.

Only one username and password will be established for your local government, so the RMO may delegate use of this account information to others as needed. The new user account is associated with the institution you represent. The account will allow you to access the eGrants system to submit grant applications on behalf of only that institution.

## Logging into the LGRMIF eGrants System

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

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

1. Enter your username and password, and click Login. Your username is usually your first name followed by your last name, with a period between your first and last names: firstname.lastname. (See "Registering for a User Account" if you do not have a New York State Directory Service username and password.)



2. The first time you log into the system, you will be asked to change your password and set up security questions. The security questions will be used in case you forget your password. The standards for passwords are as follows:
  - Passwords must be at least eight characters long, one of which must be a numeric character.
  - Passwords cannot be the same as your username or your original default password.
3. If you forget your password, click on “I forgot my password” and answer the security questions to reset your password. If you don’t remember the answers to your security questions, please contact the State Archives Grants Administration Unit at [archgrants@nysed.gov](mailto:archgrants@nysed.gov) or (518) 474 - 6926.
4. Click on the link for the LGRMIF grants program.

## **Applying for a Grant**

The eGrants system, <https://eservices.nysed.gov/ldgrants>, is designed to manage all information about a grant project from the initial application for funding to the closeout of a project after the submission of the final reports. Currently, forms that require signatures must still be submitted in paper, and supporting documentation for some projects must be submitted as electronic attachments to an application. Below is a breakdown of which forms can be submitted electronically, which must still be submitted in paper, and which must be attached as electronic files.

**Note:** A local government is responsible for submitting a complete application by the deadline and for providing information in the proscribed location and format.

Please refer to the eGrants Applicant user manual for additional information on using the eGrant system.

### **Forms submitted electronically in eGrants**

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

### **Documents that must be attached as electronic files**

- Shared Services Agreement Form (for Shared Services and multi-government Demonstration projects only)
- Request for Quotes (RFQ)
- Detailed vendor quotes
- Needs assessments
- Vendor treatment proposals (for relevant projects in the Historical Records category)
- Floor plans (for Inactive Records or Historical Records projects that involve minor

- remodeling or the installation of shelving)
- Letters of Acknowledgement (for geographic information system applications)
- Any other documentation required for your project

**Forms that cannot be filled out electronically (Original blue ink signatures required)**

- Proposed Budget (FS-10), one signed original and two copies
- Payee Information Form
- Standard Data Capture Form
- Institutional Authorization Form
- M/WBE forms

Forms that cannot be completed electronically in the eGrant system or attached to the application as an electronic file must be submitted and postmarked no later than the stated application due date to:

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

## **Grant Application Review**

### **Priorities for Funding**

Shared Services and Demonstration projects have been identified as priorities for funding in the 2018-2019 grant year. Shared services projects will receive up to \$1,350,000 and demonstration projects will be funded with remaining funds after allocating funds for NYC mayoral agencies, disaster recovery, shared services, and individual grants.

### **Project Ranking**

All grant applications are evaluated and scored based on established criteria. The Project Narrative is worth 75% of an applicant's score, and the Project Budget is worth 25%. The questions applicants are required to address in the narrative and budget directly correspond to the reviewers' ranking criteria. See appendices for a breakdown of points assigned to each section of the Project Narrative and to the Project Budget.

### **Review Process**

State Archives staff in the Grants Administration Unit first review applications for eligibility and completeness. They will not send forward for further review applications that do not meet basic eligibility requirements, are not submitted by the deadline, or do not have the appropriate signatures. **Note:** A local government is responsible for meeting all eligibility requirements and for submitting a complete application by the deadline.

All applications are separated by application type (shared services, demonstration, and individual) and ultimately ranked against all other applications for that particular type of application. Review panels are assembled based on application type, with the exception of applications from departments of New York City, which will be assigned to a single panel that includes applications in multiple grant categories, just as on the other panels.

Per an annual Revenue and Expenditure Plan, the LGRMIF program is provided with an approved dollar amount that is available to be awarded in a given grant year. For 2018-2019, it is expected that approximately \$4.5 million will be available. From the available funding, we:

- First allocate up to \$1 million to the grants from New York City mayoral agencies, per legislative mandate.
- Second, we segregate \$150,000 for possible disaster recovery grants.
- Third, we allocate up to \$500,000 for individual projects.
- Fourth, we allocate up to \$1,350,000 for shared services projects.
- Fifth, demonstration projects will be funded with the remaining funds.

The panels reviewing shared services and demonstration applications may complete their review before other panels. If any funds remain after the demonstration grant review, these funds will be added to the shared services panel. Should any shared services funds remain they will be returned to the grants funding pool for individual applications. Similarly, should any NYC DORIS funds remain they will be returned to the grants funding pool for individual applications.

Staff and outside expert reviewers, with a broad background in records management and archives, are assigned to panels to review grants. Each reviewer evaluates twenty-five to thirty-five grant applications and assigns each proposal a score based on information in the Project Narrative and Project Budget. Each application is scored by three reviewers.

Reviewers in each of the panels meet to discuss the applications they have scored, reconcile differences in conclusions from their preliminary reviews, assign each application a final average score, rank applications, and make funding recommendations in order of rank. Funding recommendations are made in the order of ranking until all available funds are depleted or there are no remaining applications that have scored 60 or above. To be considered for funding, an application must score a minimum average of 60 points. For applications proposing to establish new shared services consortiums and first-time applicants applying for an inactive records grant to complete an inventory and planning project this threshold will apply after bonus points are added. The cut-off score for funding may be higher than 60, depending on the quality of applications and the amount of funding available.

Applications are recommended for full funding, no funding, or partial funding. Applications may be recommended for partial funding if they include ineligible expenses, include elements that are not essential to the project, or propose a project that reviewers determine cannot be fully completed within the grant cycle.

In the event of a tie where there is not enough money to fund all tying projects, the application or applications that will be funded are those that are recommended for the lowest amount of funding without exceeding the amount available. If there are any unused funds following this action, they will be used to address Disaster Recovery activities that may occur throughout the grant year.

## **Awards**

The Local Government Records Advisory Council (LGRAC) recommends which applications to fund based on reviewers' evaluations, and presents these recommendations to the Commissioner of Education, who makes the final decision on the awarding of grants. The New York State Division of the Budget provides the authority necessary to make grant payments.

The State Archives does not release information regarding the status of an application until all applications have been reviewed, both the Division of Budget and the Office of the State Comptroller have given their approval, and the Commissioner of Education has approved the proposed grant awards. After this point, the Archives notifies all applicants by email concerning the status of their applications. A summary of the reviewers' recommendations is provided to applicants explaining the decision for those applications funded partially or not at all.

All local governmental entities and non-profit entities receiving an award of less than \$15,000 will receive a final approval notice from NYSED's Grants Finance Unit.

Awardees that are not-for profit organizations receiving an award of \$15,000 or more, are required to enter into a contract with NYSED to carry out the services described in this RFP. Contract awards over \$50,000 require the additional approval of the Attorney General and Office of the State Comptroller. Awardees will receive final notice of approval when a fully executed contract is delivered to the awardee.

## **Debriefing Procedures**

All unsuccessful applicants may request a debriefing within fifteen (15) business days of receiving notice from NYSED. Bidders may request a debriefing letter on the selection process regarding this RFP by submitting a written request to:

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

Program staff will provide a written summary of the proposal's strengths and weaknesses, as well as recommendations for improvement within fifteen (15) business days.

## **Contract Award Protest Procedures**

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

The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED. The protest must be filed within ten (10) business days of receipt of the notice of non-award. The protest letter must be filed with

NYS Education Department  
Contract Administration Unit  
89 Washington Avenue  
Room 501W EB  
Albany, NY 12234

The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with OSC when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.

The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

## **Post Award**

### **Schedule of Payments**

For approved applications, payments will be made as follows:

- 50% of the total as an initial disbursement;
- up to 40% of requested additional funds based on monthly estimates of funds needed to continue project work and monthly submission of the FS-25 form;
- and the final 10% at the end of the project, upon timely submission of satisfactory final reports on the completed work.

**Note:** Expenses incurred prior to the start of the grant year, 1 July 2018, cannot be paid using grant funds.

## **Project Administration**

### **Basic Requirements**

Each project must achieve results that substantially meet the objectives outlined in the application as approved. If you are awarded a grant, you must conduct your project in accordance with the proposed project budget and plan of work as modified by the grant award letter when applicable, LGRMIF grant guidelines, and [SED's Fiscal Guidelines for Federal and State Grants](#).

In addition, you must follow your government's policies concerning wages, mileage and travel allowances, overtime compensation, and fringe benefits, as well as adhere to state rules pertaining to purchasing from preferred sources, competitive bidding, safety regulations, and inventory control. For additional information on procurement please refer to the Office of the State Comptroller, Division of Local Government and School Accountability's, *Seeking Competition in Procurement*, available at:

<http://www.osc.state.ny.us/localgov/pubs/lmg/seekingcompetition.pdf>

Successful applicants must complete several required forms to document their projects, as listed and described under "Post-Grant Award Forms." In addition, supporting or source documents are required for all grant-related transactions that involve the disbursement of grant funds. These documents include, but are not limited to, purchase orders, contracts, time and effort records, delivery receipts, vendor invoices, travel receipts, and travel payment documents. You must retain these records for at least six years after the last payments are made, and, if requested, make all records available for inspection by State Education Department officials or representatives.

Local governments must also record in their files grant expenditure details in a manner consistent with the internal pages of the FS-10-F Long Form, maintain the information in their files, and make these details readily available upon request from authorized individuals. Authorized individuals include staff from SED; the Office of the State Comptroller; federal agencies; and state, federal, and local auditors.

In all cases, local governments must maintain complete and accurate records, and be prepared to provide additional detail, such as time and effort records, vendor invoices, and travel receipts, to support reported expenditures.

### **State Archives Oversight**

State Archives staff will monitor each grant-funded project and will make site visits during the course of projects to determine the rate and quality of progress. Some projects may be selected for more extensive review at the conclusion of the grant period.

## **Post-Grant Award Forms**

### **Required Forms**

All awardees must complete and submit a series of forms to document the progress and completion of their projects. The following are forms that cannot be filled out electronically:

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

Electronic forms that can be completed directly in the eGrants system:

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

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

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

The State Archives will provide the Project Director with detailed instructions and guidelines for completed post grant award reporting requirements.

## **Procurement**

### **Preferred Source**

To advance special social and economic goals, selected providers have preferred source status for the purposes of procurement under Article XI, Section 162 of State Finance Law. Procurement from these providers is exempted from the competitive procurement provisions of the State Finance Law and other competitive procurement statutes. Such exemption applies to commodities produced, manufactured or assembled, including those repackaged to meet the form, function and utility required by New York state local governments and, where so designated, services provided by those sources.

Pursuant to Article XI, Section 162 of State Finance Law, NYS Industries for the Disabled, Inc. (NYSID) has been designated the preferred source for the provision of document imaging services. As such, local governments applying for a LGRMIF grant that includes document

imaging services should contact NYSID when seeking quotes for this service to determine if NYSID can meet the form, function, and utility required for the proposed project.

NYSID has member agencies and associate member agencies throughout the state that are included in NYSID'S preferred source designation. Direct requests for quotes and additional information to the following points of contact at NYSID:

Meredith Hartman, Senior Sales Manager  
Tel: (800) 221-5994 Ext. 294  
E-mail: [mhartman@nysid.org](mailto:mhartman@nysid.org)

Bob Braun, Technical Projects Manager  
Tel: (800) 221-5994 Ext. 219  
E-mail: [rbraun@nysid.org](mailto:rbraun@nysid.org)

You do not need to submit three quotes if using a quote for a service or product from a Preferred Source vendor. It is your responsibility to make sure the vendor cited as a Preferred Source actually has that status, and to indicate this in the Project Narrative and Budget Narrative. If a service from a Preferred Source vendor is over \$10,000, include your RFQ and the detailed quote clearly delineating individual project costs. For additional information on Preferred Source vendors please visit the New York State Procurement Council's web site:

<http://ogs.ny.gov/bu/pc/>

**Note:** Upon award notification, any Preferred Source contracts in excess of \$50,000 must be reviewed by NYS OGS to ensure that the proposed prices are in accordance with statutory thresholds under Section 162 of the New York State Finance Law. Local governments should contact NYSID for additional information on the Preferred Source procurement process.

NYSID is also a preferred source for standard one-cubic-foot records storage cartons (10" x 12" x 15"). Local governments should purchase these storage cartons through

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

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

Additional information on New York State's Preferred Source program is available at:

<http://nyspro.ogs.ny.gov/content/buying-preferred-source-0>



## **BOCES and School Districts**

The New York State Education Law (Article 40, Section 1950) authorizes school districts to contract with a BOCES for services that have been approved by the Commissioner of Education. One of the available services is non-print duplication, which may include scanning or document conversion. The law authorizes school districts to contract with a BOCES through a cooperative service agreement (CoSer) rather than through a competitive procurement or via a Preferred Source. For additional information and clarification please contact NYSED's Office of Educational Management Services at (518) 474-6541 or [emscmgts@nysed.gov](mailto:emscmgts@nysed.gov).

For purposes of applying for a LGRMIF grant, School Districts and BOCES proposing to contract with a BOCES do not have to submit three quotes when the service costs over \$10,000. You must, though, include your RFQ and the detailed quote clearly delineating individual project costs. In such instances, though, School Districts and BOCES are still required to comply with SED's M/WBE goals.

**Note:** School Districts and BOCES are still required to comply with SED's M/WBE goals.

## **State Contracts**

Certain State contracts for the procurement of commodities, equipment, materials, supplies, services, technology, and food products are made available to local governments and school districts through the New York State Office of General Services (OGS). Local governments and school districts may make purchases at the same prices and under the same terms as the State.

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

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

## **Sole-Source Vendors**

Sole Source means a procurement in which only one vendor is capable of supplying the required commodities or services. You do not need to submit three quotes if using a quote for a service or product from a sole-source vendor. If there is only one vendor who can provide the required supplies, equipment, or contracted services, explain in the Project Narrative and Budget Narrative your attempts to find additional qualified vendors. A prior working relationship with a vendor or consultant does not, by itself, constitute justification for a sole-source contract. If a service from a sole-source vendor is over \$10,000, include your RFQ and the detailed quote

clearly delineating individual project costs.

## **Local Government's Procurement Procedures (LGPP)**

You do not need to submit three quotes if your local government can demonstrate that the vendor you have selected to carry out grant project work has been chosen using the standard requirements your own local government has for selecting vendors. For instance, if you have a longstanding contractual relationship with an existing vendor and your local government does not require you to re-bid for the services of this vendor periodically, then you can provide a quote from that vendor without providing two other quotes. State rules pertaining to competitive bidding, whenever necessary, must be followed. Unless your government has no written procurement policies and procedures, your application must demonstrate compliance with these policies and procedures by providing copies of the official procurement policies and procedures you are following along with an explanation of how you will follow these during your proposed grants project. In the absence of any written policies and procedures, you must provide a description of your standard procurement procedures along with a separate written explanation of how you will be adhering to these. If a service following your local government's procurement policies and procedures is over \$10,000, you must include your RFQ, a single detailed quote clearly delineating individual project costs, and a copy of your local government's procurement policies and procedures. Applicants using this method must still comply with SED's W/MBE requirements.

# M/WBE Goals and Forms

## Introduction

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

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

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

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

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

The participation goal for LGRMIF grants is 30% of the FS-10 grant project budget, exclusive of professional and support salaries and fringe benefits.

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

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

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

## Methods to Comply

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

1. **Full Participation.** This is the preferred method of compliance. Full participation is achieved when an applicant meets or exceeds SED's 30% participation goal for the LGRMIF. Applicants must complete these forms:

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

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

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

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

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

4. **Preferred Source.** Use of a Preferred Source vendor under Section 162 of the State Finance Law takes precedence over compliance with SED's M/WBE policy. Applicants utilizing a Preferred Source goals must complete the following:

- Cover letter indicating no/partial participation, name of Preferred Source vendor and amount budgeted.
- M/WBE Goal Calculation Worksheet
- EEO 100 staffing plan.

5. **Deferred Compliance.** This is acceptable if applicants are unable to identify participating M/WBE firm(s) at the time of application submission. Applicants will then have thirty days from the date of notice of grant award to submit the necessary documents for one of the above methods of compliance and respond satisfactorily to any follow-up questions from SED. Failure to do so may result in loss of funding.

## **Good Faith Efforts**

Applicants must make a good faith effort to solicit NYS certified M/WBE firms as vendors, consultants, subcontractors and/or suppliers to achieve the goals of this grant. Solicitations may include, but are not limited to: advertisements in minority and women-centered publications, solicitation of minority and women-oriented trade and labor organizations, and solicitations of vendors found in the NYS Directory of Certified Minority and Women-Owned Business Enterprises:

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

Good faith efforts include actions such as setting up meetings or announcements to make M/WBEs aware of vendor, consultant, subcontractor and/or supplier opportunities, identifying logical areas of the grant project that could be subcontracted to M/WBE firms, and utilizing all current lists of M/WBEs who are available for and may be interested subcontracting or supplying goods and/or services for the project.

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

## **Request for Waiver**

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

## **Submission of MWBE forms**

Applicants should submit necessary MWBE forms, including the MWBE Checklist, along with other hard copy forms required under the LGRMIF, postmarked no later than the stated application due date to:

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

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

## **Grant Project Payments**

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

## **Other**

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

SED's M/WBE Coordinator is available to assist applicants in meeting M/WBE goals. The Coordinator can be reached at [mwbe@nysed.gov](mailto:mwbe@nysed.gov).

**M/WBE Documents Package (original signatures required)** Full Participation Request Partial Waiver Request Total Waiver

Type of Form	Forms Required		
	Full Participation	Request Partial Waiver	Request Total Waiver
Calculation of M/WBE Goal Amount	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 100 Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	N/A
M/WBE 102 Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
EEO 100 Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 105 Contractor's Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 105A Contractor Unavailable Certification	N/A	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 101 Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>

**M/WBE Goal Calculation Worksheet- LGRMIF**

**RFP # and Title:** RFP # GC18-013 LGRMIF 2018-2019

**Applicant Name:**

The M/WBE participation for this grant is 30% of each applicant’s total discretionary non-personal service budget over the entire term of the grant. Discretionary non-personal service budget is defined as the total budget, excluding the sum of funds budgeted for direct personal services (i.e., professional and support staff salaries) and fringe benefits, as well as indirect costs if these are allowable expenditures. **For the purposes of this RFA (LGRMIF), these exclusions also apply to Preferred Source Vendors.** For example, any Purchased Services or Supplies and Materials budgeted for a Preferred Source vendor may be included in line 7.

Please complete the following table to determine the dollar amount of the M/WBE goal for this grant application.

	<b>Budget Category</b>	<b>Amount budgeted for items excluded from M/WBE calculation</b>	<b>Totals</b>
1.	<b>Total Budget</b>		
2.	<b>Professional Salaries</b>		
3.	<b>Support Staff Salaries</b>		
4.	<b>Fringe Benefits</b>		
5.	<b>Indirect Costs</b>		
6.	<b>Rent/Lease/Utilities</b>		
7.	Preferred Source, representing that portion of the budget in Purchased Services or Supplies and Materials		
8.	<b>Sum of lines 2, 3, 4, 5, 6, and 7</b>		
9.	<b>Line 1 minus Line 8</b>		
10.	<b>M/WBE Goal percentage (30%)</b>		<b>0.30</b>
11.	<b>Line 9 multiplied by Line 10 =MWBE goal amount</b>		

**Note: This form is only for use in the RFP# GC18-013 (LGRMIF 2018-2019) grant application. It may not be used with any other grant program.**

**RFP # and Title:** LGRMIF 2018-2019



**Applicant Name: Town of Blank**

The M/WBE participation for this grant is 30% of each applicant’s total discretionary non-personal service budget over the entire term of the grant. Discretionary non-personal service budget is defined as the total budget, excluding the sum of funds budgeted for direct personal services (i.e., professional and support staff salaries) and fringe benefits, as well as indirect costs if these are allowable expenditures. **For the purposes of this RFA (LGRMIF), these exclusions also apply to Preferred Source Vendors.** For example, any Purchased Services or Supplies and Materials budgeted for a Preferred Source vendor may be included in line 7.

Please complete the following table to determine the dollar amount of the M/WBE goal for this grant application.

	<b>Budget Category</b>	<b>Amount budgeted for items excluded from M/WBE calculation</b>	<b>Totals</b>
1.	<b>Total Budget</b>		<b>\$43,865</b>
2.	<b>Professional Salaries</b>	\$0	
3.	<b>Support Staff Salaries</b>	\$7,848	
4.	<b>Fringe Benefits</b>	\$941	
5.	<b>Indirect Costs</b>	\$0	
6.	<b>Rent/Lease/Utilities</b>	\$0	
7.	Preferred Source, representing that portion of the budget in Purchased Services or Supplies and Materials	\$14,967	
8.	<b>Sum of lines 2, 3, 4, 5, 6, and 7</b>		\$23,756
9.	<b>Line 1 minus Line 8</b>		\$20,109
10.	<b>M/WBE Goal percentage (30%)</b>		<b>0.30</b>
11.	<b>Line 9 multiplied by Line 10 =M/WBE goal amount</b>		<b>\$6,033</b>

**Note: This form is only for use in the RFP# GC18-013 (LGRMIF 2018-2019) grant application. It may not be used with any other grant program.**

# MWBE Cover Letter

## Minority & Woman-Owned Business Enterprise Requirements

**NAME OF GRANT PROGRAM** \_\_\_\_\_

**NAME OF APPLICANT** \_\_\_\_\_

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

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

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

Vendor:

Amount:

By my signature on this Cover Letter, I certify that I am authorized to bind the Bidder's firm contractually.

Typed or Printed Name of Authorized Representative of the Firm

Typed or Printed Title/Position of Authorized Representative of the Firm

Signature/Date

# M/WBE UTILIZATION PLAN

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

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

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Annual Dollar Value of Subcontracts/Supplies/Services
NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No.	NYS ESD Certified  MBE _____  WBE _____  <input type="checkbox"/> For Profit <input type="checkbox"/> Not -For-Profit		\$ _____
NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No.	NYS ESD Certified  MBE _____  WBE _____  <input type="checkbox"/> For Profit <input type="checkbox"/> Not -For-Profit		\$ _____

PREPARED BY (Signature) \_\_\_\_\_ DATE \_\_\_\_\_

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

NAME AND TITLE OF PREPARER: \_\_\_\_\_  
 (print or type)  
 TELEPHONE/E-MAIL \_\_\_\_\_  
  
 DATE \_\_\_\_\_

REVIEWED BY _____	DATE _____
UTILIZATION PLAN APPROVED YES/NO _____	DATE _____
NOTICE OF DEFICIENCY ISSUED YES/NO _____	DATE _____
NOTICE OF ACCEPTANCE ISSUED YES/NO _____	DATE _____

**M/WBE 100**

**M/WBE SUBCONTRACTORS AND SUPPLIERS  
NOTICE OF INTENT TO PARTICIPATE**

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

Bidder Name: \_\_\_\_\_ Federal ID No.: \_\_\_\_\_

Address: \_\_\_\_\_ Phone No.: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_ E-mail: \_\_\_\_\_

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

Date: \_\_\_\_\_

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

Name of M/WBE: \_\_\_\_\_ Federal ID No.: \_\_\_\_\_

Address: \_\_\_\_\_ Phone No.: \_\_\_\_\_

City, State, Zip Code \_\_\_\_\_ E-mail: \_\_\_\_\_

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

**DESIGNATION:**  MBE Subcontractor  WBE Subcontractor  MBE Supplier  WBE Supplier

**PART C - CERTIFICATION STATUS (CHECK ONE):**

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

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

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

The estimated dollar amount of the agreement \$ \_\_\_\_\_

\_\_\_\_\_  
Signature of Authorized Representative of M/WBE Firm

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed or Typed Name and Title of Authorized Representative

**EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN**

**Instructions on Page 2**

Bidder Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City, State, ZIP: \_\_\_\_\_

Telephone: \_\_\_\_\_  
 Federal ID No.: \_\_\_\_\_  
 RFP No: \_\_\_\_\_

Report includes:

Reporting Entity: \_\_\_\_\_

Work force to be utilized on this contract

Contractor

Contractor/Subcontractor's total work force

Subcontractor - Name: \_\_\_\_\_

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

EEO - Job Categories	Total Work Force	Race/Ethnicity - report employees in only one category																	
		Hispanic or Latino		Not-Hispanic or Latino															
		Male	Female	Male									Female						
				White	African-American or Black	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran	White	African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran
Executive/Senior Level Officials and Managers																			
First/Mid-Level Officials and Managers																			
Professionals																			
Technicians																			
Sales Workers																			
Administrative Support Workers																			
Craft Workers																			
Operatives																			
Laborers and Helpers																			
Service Workers																			
TOTAL																			

PREPARED BY (Signature): \_\_\_\_\_

DATE: \_\_\_\_\_

NAME AND TITLE OF PREPARER: \_\_\_\_\_

TELEPHONE/EMAIL: \_\_\_\_\_

*(print or type)*

## STAFFING PLAN INSTRUCTIONS

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

### Instructions for Completing:

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

### RACE/ETHNIC IDENTIFICATION

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

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

EEO 100

## 5 NYCRR 142.8 CONTRACTOR'S GOOD FAITH EFFORTS

- a. The contractor must document its good faith efforts toward meeting certified minority- and women-owned business enterprise utilization plans by providing, at a minimum:
  1. Copies of its solicitations of certified minority- and women-owned business enterprises and any responses thereto;
  2. If responses to the contractor's solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific reasons that such enterprise was not selected;
  3. Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circulation, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;
  4. Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;
  5. The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-owned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of fulfilling the contract participation goals;
  6. Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and women-owned business enterprises.
  
- b. In addition to the information provided by the contractor in paragraph (a) above, the State agency may also consider the following to determine whether the contractor has demonstrated good faith efforts:
  1. whether the contractor submitted an alternative utilization plan consistent with the subcontract or supplier opportunities in the contract;
  2. the number of certified minority- and women-owned business enterprises in the region listed in the directory of certified businesses that could, in the judgment of the State agency, perform work required by the State contract scope of work;
  3. The actions taken by the contractor to contact and assess the ability of certified minority- and women-owned business enterprises located outside of the region in which the State contract scope of work is to be performed to participate on the State contract;
  4. whether the contractor provided relevant plans, specifications or terms and conditions to certified minority- and women-owned business enterprises sufficiently in advance to enable them to prepare an informed response to a contractor request for participation as a subcontractor or supplier;
  5. the terms and conditions of any subcontract or provision of suppliers offered to certified minority- or women-owned business enterprises and a comparison of such terms and conditions with those offered in the ordinary course of the contractor's business and to other subcontractors or suppliers of the contractor;
  6. whether the contractor offered to make up any inability to comply with the certified minority- and women-owned business enterprises goals in the subject State contract in other State contracts being performed or awarded to the contractor; and
  7. any other information that is relevant or appropriate to determining whether the contractor has demonstrated a good faith effort.

## M/WBE CONTRACTOR GOOD FAITH EFFORTS CERTIFICATION

GRANT PROJECT/CONTRACT # \_\_\_\_\_

I, \_\_\_\_\_  
(Contractor/Vendor)

\_\_\_\_\_ of \_\_\_\_\_  
(Title) (Company)

\_\_\_\_\_ (Address) (Telephone Number)

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

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

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

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

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

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

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

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

Submit additional pages as needed.

\_\_\_\_\_  
Authorized Representative Signature

\_\_\_\_\_  
Date



# M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION

RFP#/PROJECT NAME \_\_\_\_\_

I, \_\_\_\_\_ (Authorized Representative) \_\_\_\_\_ (Title) \_\_\_\_\_ (Bidder's Company)  
\_\_\_\_\_ (Address) \_\_\_\_\_ ( ) \_\_\_\_\_ (Phone)

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

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

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

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

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

\_\_\_\_\_  
**Authorized Representative Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Print Name**

# REQUEST FOR WAIVER FORM

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

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

<b>BIDDER/CONTRACTOR IS REQUESTING (check all that apply):</b>	
<input type="checkbox"/> <b>MBE Waiver</b> - A waiver of the MBE goal for this procurement is requested.  <input type="checkbox"/> <b>Total</b> <input type="checkbox"/> <b>Partial</b> _____%	<input type="checkbox"/> <b>WBE Waiver</b> - A waiver of the WBE goal for this procurement is requested.  <input type="checkbox"/> <b>Total</b> <input type="checkbox"/> <b>Partial</b> _____%
<input type="checkbox"/> <b>Waiver Pending ESD Certification</b> (check here if subcontractor or supplier is not certified M/WBE, but an application for certification has been filed with Empire State Development)	
Subcontractor/Supplier Name: _____ Date of application filing: _____	

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

NAME OF PREPARER:	<b>FOR AUTHORIZED USE ONLY</b>
TITLE OF PREPARER:	REVIEWED BY: _____ DATE: _____
TELEPHONE:	<b>WAIVER GRANTED</b> <input type="checkbox"/> <b>YES</b> <input type="checkbox"/> <b>NO</b> <input type="checkbox"/> <b>TOTAL WAIVER</b> <input type="checkbox"/> <b>PARTIAL WAIVER</b> <input type="checkbox"/> <b>ESD CERTIFICATION WAIVER</b> <input type="checkbox"/> <b>NOTICE OF DEFICIENCY</b> <input type="checkbox"/> <b>CONDITIONAL WAIVER</b>
EMAIL:	COMMENTS: _____ DATE: _____

## REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

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

1. A statement setting forth your basis for requesting a partial or total waiver.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.
5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.
6. Provide copies of responses made by certified M/WBEs to your solicitations.
7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.
8. Provide documentation of any negotiations between you, the Bidder/Contractor, and the M/WBEs undertaken for purposes of complying with the certified M/WBE participations goals.
9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.
10. Provide the name, title, address, telephone number and email address of the Bidder/Contractor's representative authorized to discuss and negotiate this waiver request.
11. Copy of notice of application receipt issued by Empire State Development (ESD).

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

# Appendix I

## Prequalification for Individual Applications

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and to complete the Vendor Prequalification process in order for their grant applications to be evaluated. This does not apply to local governments. Information on these initiatives can be found on the Grants Reform Website:

<http://www.grantsreform.ny.gov/>.

**Note:** Volunteer Firefighter Companies' incorporated under §1402 of the Not-For-Profit Corporation Law are no longer required to pre-qualify in order to be eligible to apply for LGRMIF grants.

**Applications received from not-for-profit applicants that have not registered and are not prequalified in the Grants Gateway by 5:00 PM on the stated application due date cannot be evaluated. Such applications will be disqualified from further consideration**

Below is a summary of the steps that not-for-profit applicants must complete to meet registration and prequalification requirements. These requirements are detailed in the Vendor Prequalification Manual, which is available via the Grants Reform Website:

[http://www.grantsreform.ny.gov/sites/default/files/docs/VENDOR\\_POLICY\\_MANUAL\\_V.2\\_10.10.13.pdf](http://www.grantsreform.ny.gov/sites/default/files/docs/VENDOR_POLICY_MANUAL_V.2_10.10.13.pdf)

Additionally, an online tutorial is available to walk applicants through the process:

<http://grantsreform.ny.gov/youtube>

### 1. Register for the Grants Gateway.

- On the Grants Reform website, download a copy of the Registration Form for Administrator:

<http://grantsreform.ny.gov/sites/default/files/RegistrationFormforAdministratorfillable.pdf>

- A signed, notarized original form must be sent to the Division of Budget at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.
- If you have previously registered and do not know your Username please email [grantsreform@budget.ny.gov](mailto:grantsreform@budget.ny.gov). If you do not know your Password please click the Forgot Password link from the main log in page and follow the prompts:

[https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/PersonPassword2.aspx?Mode=Forgot](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/PersonPassword2.aspx?Mode=Forgot)

## 2. Complete your Prequalification Application.

- Log in to the Grants Gateway:

[https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/login2.aspx](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx)

If this is your first time logging in, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.

- Click the Organization(s) link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A Document Vault link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative at [prequal@nysed.gov](mailto:prequal@nysed.gov) or to the Grants Reform Team at [grantsreform@budget.ny.gov](mailto:grantsreform@budget.ny.gov).

## 3. Submit Your Prequalification Application

- After completing your Prequalification Application, click the Submit Document Vault Link located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to In Review.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

**Note:** Not-for-profit applicants are strongly encouraged to begin the prequalifying process as soon as possible in order to ensure their ability to participate in this funding opportunity.

## **Vendor Responsibility**

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

[http://www.osc.state.ny.us/vendrep/resources\\_docreq\\_agency.htm](http://www.osc.state.ny.us/vendrep/resources_docreq_agency.htm).

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at [https://osc.state.ny.us/vendrep/info\\_vrsystem.htm](https://osc.state.ny.us/vendrep/info_vrsystem.htm) or go directly to the VendRep System online at <https://portal.osc.state.ny.us>.

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us).

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or may contact NYSED or the Office of the State Comptroller's Help Desk for a copy of the paper form.

### **Subcontractors:**

For vendors using subcontractors, a Vendor Responsibility Questionnaire and a NYSED vendor responsibility review are required for a subcontractor where:

- the subcontractor is known at the time of the contract award;
- the subcontractor is not an entity that is exempt from reporting by OSC; and the subcontract will equal or exceed \$100,000 over the life of the contract

## **Requirements for Funding**

Payee Information Form/NYSED Substitute W-9. The Payee Information Form is a packet containing the Payee Information Form itself and the accompanying NYSED Substitute W-9. The NYSED Substitute W-9 may or may not be needed from your agency. Please follow the specific instructions provided with the form. The Payee Information Form is used to establish the identity of the applicant organization and enables it to receive federal and or State funds through the NYSED. An online version of

the packet is available at: <http://www.oms.nysed.gov/cafef/forms/>

## **Workers' Compensation Coverage and Debarment**

New York State Workers' Compensation Law (WCL) has specific coverage requirements for businesses contracting with New York State and additional requirements which provide for the debarment of vendors that violate certain sections of WCL. The WCL requires, and has required since introduction of the law in 1922, the heads of all municipal and State entities to ensure that businesses have appropriate workers' compensation and disability benefits insurance coverage *prior* to issuing any permits or licenses, or *prior* to entering into contracts.

Workers' compensation requirements are covered by WCL Section 57, while disability benefits are covered by WCL Section 220(8). The Workers' Compensation Benefits clause in Appendix A – STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS states that in accordance with Section 142 of the State Finance Law, a contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL.

Under provisions of the 2007 Workers' Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers' Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.

### **PROOF OF COVERAGE REQUIREMENTS**

The Workers' Compensation Board has developed several forms to assist State contracting entities in ensuring that businesses have the appropriate workers' compensation and disability insurance coverage as required by Sections 57 and 220(8) of the WCL.

*Please note – an ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.*

### **Proof of Workers' Compensation Coverage**

To comply with coverage provisions of the WCL, the Workers' Compensation Board requires that a business seeking to enter into a State contract submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate workers' compensation insurance coverage:

- **Form C-105.2** – Certificate of Workers' Compensation Insurance issued by private insurance carriers, or **Form U-26.3** issued by the State Insurance Fund; or
- **Form SI-12**– Certificate of Workers' Compensation Self-Insurance; or **Form GSI-105.2** Certificate of Participation in Workers' Compensation Group Self-Insurance; or

- **CE-200**– Certificate of Attestation of Exemption from NYS Workers’ Compensation and/or Disability Benefits Coverage.

### **Proof of Disability Benefits Coverage**

To comply with coverage provisions of the WCL regarding disability benefits, the Workers’ Compensation Board requires that a business seeking to enter into a State contract must submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate disability benefits insurance coverage:

- **Form DB-120.1** - Certificate of Disability Benefits Insurance; or
- **Form DB-155**- Certificate of Disability Benefits Self-Insurance; or
- **CE-200**– Certificate of Attestation of Exemption from New York State Workers’ Compensation and/or Disability Benefits Coverage.

For additional information regarding workers’ compensation and disability benefits requirements, please refer to the New York State Workers’ Compensation Board website at: <http://www.wcb.ny.gov/content/main/Employers/busPermits.jsp>. Alternatively, questions relating to either workers’ compensation or disability benefits coverage should be directed to the NYS Workers’ Compensation Board, Bureau of Compliance at (518) 486-6307.

### **NYSED’s Reservation of Rights**

NYSED reserves the right to:

1. Reject any or all proposals received in response to the RFP;
2. Withdraw the RFP at any time, at the agency’s sole discretion;
3. Make an award under the RFP in whole or in part;
4. Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
5. Seek clarifications of proposals;
6. Use proposal information obtained through site visits, management interviews and the state’s investigation of a bidder’s qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency’s request for clarifying information in the course of evaluation and/or selection under the RFP;
7. Prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available;
8. Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;
9. Change any of the scheduled dates;



- 10.** Waive any requirements that are not material;
- 11.** Negotiate with the successful bidder within the scope of the RFP in the best interests of the state;
- 12.** Conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder;
- 13.** Utilize any and all ideas submitted in the proposals received;
- 14.** Unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening;
- 15.** Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offeror's proposal and/or to determine an offeror's compliance with the requirements of the solicitation;
- 16.** To request best and final offers.

## Appendix II

### Application Checklist

Listed below are the required documents for a complete LGRMIF application package. All documents are submitted via the eGrant system, with the exception of those marked with \* and the M/WBE forms. Use this checklist to ensure that your application submission is complete and in compliance with application instructions.

Required Documents	Checked by Applicant	Checked by Archives	
Application Sheet	<input type="checkbox"/>	<input type="checkbox"/>	
Project Narrative	<input type="checkbox"/>	<input type="checkbox"/>	
Project Budget	<input type="checkbox"/>	<input type="checkbox"/>	
Budget Narrative	<input type="checkbox"/>	<input type="checkbox"/>	
Appendix A and Appendix A-1 G	<input type="checkbox"/>	<input type="checkbox"/>	
Payee Information Form & Standard Data Capture Form*	<input type="checkbox"/>	<input type="checkbox"/>	
Institutional Authorization*	<input type="checkbox"/>	<input type="checkbox"/>	
FS-10 Budget (signature required)*	<input type="checkbox"/>	<input type="checkbox"/>	
Attachments/Uploads	<input type="checkbox"/>	<input type="checkbox"/>	
Participating Institutions (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>	
Prequalification Requirement (Not-for-Profits only)* ( <a href="http://www.grantsreform.ny.gov">http://www.grantsreform.ny.gov</a> )	<input type="checkbox"/>	<input type="checkbox"/>	
Shared Services Agreement Form (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>	
Worker's Compensation Documentation (encouraged)	<input type="checkbox"/>	<input type="checkbox"/>	
Disability Benefits Documentation (encouraged)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>M/WBE Documents Package (Requirement for applications exceeding \$25,000)</b>			
<input type="checkbox"/>	Not Applicable	<input type="checkbox"/>	Full Participation
<input type="checkbox"/>	Partial Participation, Partial Request for Waiver	<input type="checkbox"/>	No Participation, Request for Complete Waiver
<input type="checkbox"/>	Deferred Participation		
		<b>Forms Required</b>	

<b>Type of Form</b>	<b>Full Participation</b>	<b>Request Partial Waiver</b>	<b>Request Total Waiver</b>
Calculation of M/WBE Goal Amount	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>M/WBE 100</b> Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	N/A
<b>M/WBE 102</b> Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
<b>M/WBE 105</b> Contractor's Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
<b>M/WBE 105A</b> Contractor Unavailable Certification	N/A	<input type="checkbox"/>	<input type="checkbox"/>
<b>M/WBE 101</b> Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>
<b>EE0 100</b> Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>SED Comments:</b></p> <p>Has the applicant complied with the application instructions? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>SED Reviewer: _____ Date: _____</p>			

## Application Sheet

Project Number:

Sponsoring Institution:

Mailing Address:

Address:

City, State, Zip:

Chief Administrative Officer:

Title:

Phone:

Email:

State Judicial District:

State Senate Districts:

State Congressional Districts:

Federal ID:

School District:

Institution Type:

NOTE: The institutional information listed above is pulled from the SEDREF database. SEDREF, the single authoritative source of identifying information about institutions which the NYS Education Department determines compliance with applicable policy, law and/or regulation.

If your institutional information is incorrect, it can only be updated once your Payee Information Form is received by the Grants Administration Unit and approved by Grants Finance. Grant Unit staff do not have authority to update SEDREF information.

The applicant cannot edit the SEDREF information above on their own.

Fields marked with an (\*) are required. The Application Sheet cannot be 'Saved' unless all required fields are completed.

Remember to save your work often.

\*New York City (NYC) Grant?

Yes No

Name of NYC Agency (if applicable)

## **Eligibility Requirements**

\*RMO Appointed?                              Yes    No    N/A

\*Year RMO Appointed? (#####)

\*Appropriate Retention Schedule Adopted?      Yes    No    N/A

\*Year Schedule was Adopted? (#####)

## **Project Director (PD)**

\*First Name

\*Last Name

\*Title

\*Phone (###-###-####)

Phone Extension

The Project Director email address listed below will receive notifications regarding the LGRMIF application

\*Email

## **Records Management Officer (RMO)**

\*First Name

\*Last Name

\*Title

\*Phone (###-###-####)

Phone Extension

The RMO email address listed below will receive notifications regarding the LGRMIF application

\*Email

## **Local Government Information**

County

\*Region

\*Type

Department/Unit

Population Served

\*Annual Operating Budget

\*Number of Employees

Full-time:

Part-time:

The Amount Requested field below will be completed by the system.

Amount Requested \$

### **Application**

\*Application Type:            Individual      Shared Services      Demonstration

\*Project Category:

Summary description of proposed project activities: Describe the project, including scope, objectives, and description of records. The summary should be brief, but should provide a clear statement of how you intend to use a LGRMIF grant.

The Project Summary field is limited to 2500 characters, including spaces.

Remember to Save your work often.

## LGRMIF 2018-2019 Grant Application Evaluation Form

Reviewer:

Panel Number:

Applicant:

Log Number:

Recommendation (F, M, or N):

Recommended Amount:     \$

Score:

### Rating Guidelines

Scores Defined	Interpretation
5     Outstanding	Applicant addresses the criterion with distinction
4     Good	Applicant has provided a cogent and convincing response to the criterion
3     Adequate	Applicant has addressed the criterion only competently
2     Fair	Applicant may have addressed the criterion but is far from convincing, or the project is inherently weak in this regard
1     Poor	Applicant has offered a few words in response to the criterion, but the words show little to no understanding of the issues
0     Unresponsive	Applicant does not address the criterion directly or indirectly

## Criteria

### 1. Statement of the Problem (15 Points)

- a. **Defining the Problem:** Describe the specific records management problem this proposed project will address, provide qualitative descriptions and quantitative data about the problem, and explain why this particular project is a high priority for your records management program. Do not discuss any proposed solutions here, only the problems. Discuss solutions in Intended Results (2a). [5points]
- b. **Defining Records Involved and Previous Grants:** Identify the specific records series that will be involved in this project, and include the series titles, estimated volume, date range, retention periods, and general condition of each series. Identify any projects funded in the past five grant cycles that relate to these records series and explain why this project would not replicate work already completed or would not address a backlog that has developed after a previous LGRMIF funded project. Indicate if your local government has not, in the past five grant cycles, received funding relevant to your current application. [10 points]

### 2. Intended Results (20 Points)

- a. **Methodology:** Explain why the methodology you chose to solve your records management problem was the best one. Explain what other methodologies you considered, detail why these were rejected, and demonstrate why the chosen methodology was the best. [10 points]
- b. **Anticipated Benefits:** Identify each intended result or anticipated benefit of this project and your chosen solution, including specific products, time and cost savings, and service improvements. Describe how the anticipated benefits of this project will contribute to the development of a records management program or enhance an already existing program. Provide both qualitative and quantitative data to support your arguments about the benefits of this project. [10 points]

### 3. Plan of Work [30 points]

- a. **Project Outline:** Provide a detailed outline of the proposed work activities including a detailed description of each work-step and a timetable that shows when each phase of the project will be completed. Show how you calculated estimated work rates to prove that your local government can attain all the project's goals by the end of the grant project period. [15 points]
- b. **Grant Requirements:** Address each of the general application, project type, and project category requirements. If your application combines elements of two or more grant categories, address the requirements of each. [15 points]

### 4. Local Government Contributions [10 points]



- a. **Previous Records Management and Current Project Support:** Demonstrate your local government's support for records management, including previous support and support for this project. As part of this, identify any LGRMIF grants your local government received over the last five grant cycles and indicate how you have maintained or expanded on the projects' results. Provide specific budget amounts whenever possible and include only financial and other support your local government has provided and/or that it will provide with its own funds. If your local government has not received any LGRMIF grants over the last five grant cycles, make note of that in this section. [5 points]
  
- b. **Future Program Support:** Provide concrete information to demonstrate how you will maintain the results of this project long term without additional LGRMIF grant funding. If additional funding will be required in the short term, explain why. [5 points]

**5. Budget Narrative and Forms [25 points]**

- a. In the budget narrative itemize and justify the proposed project expenditures in terms of reasonableness of cost, the suitability of the chosen solution, and the necessity of the expenses to ensure the project's success. Do not merely describe the items and services requested in the project budget. For example, if purchasing a scanner for a project, do not simply explain that a scanner is needed to complete the project but also why the particular scanner, make, and model needs to be purchased to successfully complete the project. If a vendor quote includes multiple items, i.e. software and professional services, you should list and justify each item. [25 points]

## Table of Cubic-Foot Equivalents

File Drawers	Cubic Feet	Records Storage Containers	Cubic Feet
Letter	1.5	10" x 12" x 15" – standard	1.0
Letter Lateral	2.0	0.5" x 8" x 14" – tab	0.2
Legal	2.0	3.5" x 8" x 24"	0.4
Legal Lateral	2.5	6" x 6" x 36" – map 6" x 6" x 48" – map 4" x 4" x 48" – map	0.7 1.0 0.4
Shelf Units	Cubic Feet	Shelf Units	Cubic Feet
Letter, 36" long	2.4	Legal, 36" long	3.0
Map Drawers	Cubic Feet	Map Tubes	Cubic Feet
2" x 26" x 38" flat	1.1	2" x 2" x 38" roll	0.1
2" x 38" x 50" flat	2.2	2" x 2" x 50" roll	0.1
4" x 26" x 38" flat	2.3	4" x 4" x 38" roll	0.3
4" x 38" x 50" flat	4.4	4" x 4" x 50" roll	0.5

## Government Records Services Directory

<p><b>Denis P. Meadows, Director</b>  <b>Government Records Services</b>  <a href="mailto:denis.meadows@nysed.gov">denis.meadows@nysed.gov</a></p>	
<p><b>David F. Lowry, Manager</b>  <b>Local Government Advisory Services</b>  <a href="mailto:david.lowry@nysed.gov">david.lowry@nysed.gov</a></p>	<p><b>Jennifer O’Neill, Manager</b>  <b>Scheduling and State Agency Services</b>  <a href="mailto:jennifer.oneill@nysed.gov">jennifer.oneill@nysed.gov</a></p>
<p><b>9A47 Cultural Education Center, Albany, NY 12230</b>  <b>Phone (518) 474-6926 • <a href="http://www.archives.nysed.gov">www.archives.nysed.gov</a></b></p>	
<p><b>Local Government Advisory Services</b></p>	
<p><b>Metro-Long Island Region</b></p> <p>Suffolk State Office Building, Room 3A  Veterans Memorial Highway  Hauppauge, NY 11788-5501  Phone: (631) 521-9796</p>	<p><b>Lorraine Hill, Regional Advisory Officer</b>  e-mail: <a href="mailto:lorraine.hill@nysed.gov">lorraine.hill@nysed.gov</a></p> <p><b>The Metro – Long Island Region</b> encompasses Bronx, Kings, Nassau, New York, Queens, Richmond, and Suffolk Counties</p>
<p><b>Catskill-Hudson Valley Region</b></p> <p>Eleanor Roosevelt State Office Bldg., Suite 308  4 Burnett Blvd.  Poughkeepsie, NY 12603  Phone: (845) 431-5847</p>	<p><b>Linda Bull, Regional Advisory Officer</b>  e-mail: <a href="mailto:linda.bull@nysed.gov">linda.bull@nysed.gov</a></p> <p><b>The Catskill – Hudson Valley Region</b> encompasses Columbia, Delaware, Dutchess, Greene, Orange, Otsego, Putnam, Rockland, Sullivan, Ulster, and Westchester Counties</p>
<p><b>Capital District – North Country Region</b></p> <p>Cultural Education Center  Room 9D80  Albany, NY 12230  Phone: (518) 486-4823</p>	<p><b>Maria McCashion, Regional Advisory Officer</b>  e-mail: <a href="mailto:maria.mccashion@nysed.gov">maria.mccashion@nysed.gov</a></p> <p><b>The Capital District – North Country Region</b> encompasses Albany, Clinton, Essex, Franklin, Fulton, Hamilton, Montgomery, Rensselaer, St. Lawrence, Saratoga, Schenectady, Schoharie, Warren, and Washington Counties</p>
<p><b>Central New York Region</b></p> <p>Utica State Office Building  207 Genesee Street, Room 404  Utica, NY 13501  Phone: (315) 542-5909</p>	<p><b>Vacant</b>  e-mail: <a href="mailto:recmgmt@nysed.gov">recmgmt@nysed.gov</a></p> <p><b>The Central New York Region</b> encompasses Broome, Cayuga, Chenango, Cortland, Herkimer, Jefferson, Lewis, Madison, Tioga, Tompkins, Oneida, Onondaga, Oswego, Seneca, and Wayne Counties</p>
<p><b>Western New York Region</b></p> <p>508 Main Street  Buffalo, NY 14202  Phone: (518) 322-2555</p>	<p><b>Sarah Durling</b>  e-mail: <a href="mailto:sarah.durling@nysed.gov">sarah.durling@nysed.gov</a></p> <p><b>The Western New York Region</b> encompasses Allegany, Cattaraugus, Chautauqua, Chemung, Erie, Genesee, Livingston, Monroe, Niagara, Ontario, Orleans, Schuyler, Steuben, Wyoming, and Yates Counties</p>
<p><b>Richard Sloma</b>  <b>Coordinator, Training and Publications</b>  (518) 473-4715 • <a href="mailto:richard.sloma@nysed.gov">richard.sloma@nysed.gov</a></p>	