

# How to Write a Successful LGRMIF Grant Application 2016-2017



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## Today We Will...

- Talk about what's new (and proposed)
- Explain the application process
- Provide tips for writing a winning application
- Explore the three grant types
- Provide a brief overview of eGrants
- Describe the review process



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## Important Dates

- **22 Jan 2016** Registration forms requesting new eGrant user accounts **must** be submitted before 5pm on this date
- **1 Feb 2016** Application deadline
- **25 Jun 2016** Scheduled notification of awards
- **1 Jul 2016** Earliest date to start your project
- **1 Jun 2017** All budget amendments due
- **30 Jun 2017** End all work
- **31 Jul 2017** Final reports due



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## Major Changes

- Funding Levels
  - Demonstration grants: up to \$1.3M
    - \$413,156 for the second year of two-year grants
    - Up to \$890,333 for new applications
  - Shared services grants: up to \$1M
  - NYC grants: \$1M
  - Disaster recovery grants: \$150,000
  - Individual grants: at least \$400,000



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## Major Changes II

- Only one Demonstration Grant activity
  - Managing Electronic Mail
  - **Two exceptions:** second year of a two-year grant.
  - Implementing an RMA if a needs assessment was completed.
- Maximum funding request for individual grants is now \$50,000 (Exclusive of NYC Agencies)



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## Major Changes III

- Shared Services grants: preference will be given to applications proposing to establish new shared services consortiums over ones that propose to add new members to an exiting consortium
- The cost for third-party testing of original microfilm is now \$23 per roll



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## Basic Requirements

- Applicants must be a local government, volunteer fire company or voluntary ambulance company with
  - RMO appointed (local governments only)
  - Schedule adopted by application deadline (local governments only, with few exceptions)
  - Completed final reports for previous grants



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## Types of Grants

- Individual
  - Up to \$50,000 (\$75,000 for NYC Agencies)
- Shared Services
  - Up to \$150,000
  - Priority for funding
- Demonstration
  - Planning (up to \$100,000)
  - Implementation (up to \$500,000 total)
  - Implementation grants may be 1 or 2 years



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## Number of Applications

- Each applicant can apply for only
  - 1 individual or
  - 1 shared services grant or
  - 1 demonstration grant
- Plus second grant for Disaster Management
  - Maximum award as second project is \$10,000
- Or a second grant to a county
  - If that grant is for the community college



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## Goals for Demonstration Grants

- To initiate large-scale 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



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## Demonstration Grants

- May include one government or multiple
- May be for planning or implementation
- May last one year or two years
  - Two years usually only for implementation



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## Facts about Demonstration Grants

- Always focus on electronic records
- Will change topics periodically
- Must be replicable
- Must achieve required outcomes
- Must follow same rules as shared services grants when they are multi-government



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## Project Outcomes

- Develop a webpage to publicize results
- Develop a canned one-hour webinar
- Create & disseminate governance docs
  - For multi-government projects



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## Project Outcomes, Part II

- Create a set of policies and procedures
- Publicize the results of the project through at least one public event
- Indicate in materials that the source of startup funding for project was LGRMIF



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## Demonstration Project Type

- Managing Electronic Mail
  - Manage email through the records lifecycle
  - Limit the involvement of email account holders in managing email
  - Identify and segregate record emails from non-record emails
  - Categorize record emails and apply retention periods
  - Implement single-instance storage
  - Design a system that completely destroys obsolete record emails



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## Shared Services Grants

### Requirements

- Must result in **permanent**, positive programmatic change
- Must involve an alliance of two or more local governments
- Must be **sustainable**
- Must show all participants are committed to supporting project results for the **long term**



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## Ways to Demonstrate Sustainability

- Inter-municipal agreement (IMA)
- Board resolutions
- Written policies and procedures
- Fee structure
- Dedicated staffing



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## Shared Services Applications Show

- Need for the project
- Clear financial and administrative advantages
- Mutual benefits
- Baseline information about the governments
- Full participation and support of participants
- Permanent, positive programmatic change



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## Advantages of Shared Services Grants

- More likely to be funded
- More funding available
- Economies of scale
- Better use of diminishing grant funds
- Network of support
- Permanent Solution



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## Shared Services Project Arrangements

- Hierarchical or "Service Provider"
  - BOCES provides scanning and retrieval services for a group of school districts
- Equals or "Shared Responsibilities"
  - Group of towns and villages share an inactive records storage facility



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## Examples of Shared Services

- Digital Towpath
- Tompkins County
- Town and Village of Lake George
- Nassau BOCES



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## Shared Services Grants May

- Include many or few governments
- Request modest or substantial funding
- Include multiple types of local governments
- Be for any grant category



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## First Steps

- Register in eGrants System
- Identify needs
- Talk to your RAO and other Archives staff
- Read the request for applications
- Conduct research
- Identify a project



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## Project Categories

- Disaster Management
- Inactive Records
- Historical Records
- Files Management
- Document Conversion and Access



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## To Register

- If without NYS Directory Service account
  - Register at
  - [eservices.nysed.gov/ldgrants/ldgext/cnRegistration.do](http://eservices.nysed.gov/ldgrants/ldgext/cnRegistration.do)
- Login information sent to RMO within 48 hours
- Only one account per government



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## Checklists in E-Grants

- Two checklists at top of screen
  - Initial Application Forms
  - Post-Grant Award Forms
- Use to navigate to the forms you need
- Help track progress



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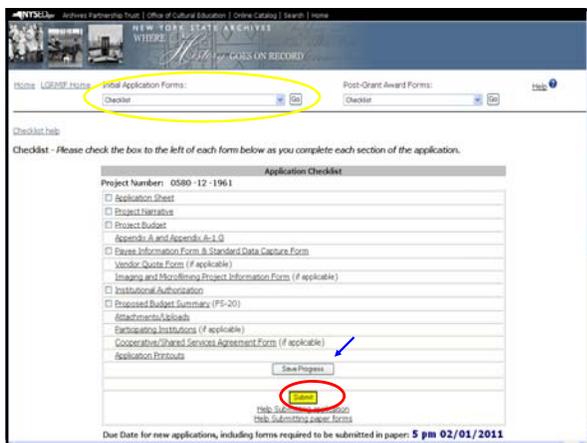
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## Initial Application Forms

- Application Sheet
- Project Narrative
- Project Budget and Budget Summary
- Payee Information Form
- Standard Data Capture Form
- Institutional Authorization
- Attachments/Uploads



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## Application Sheet

- Basic Contact Information
- Application Type
  - Individual, Shared Services, Demonstration
- Project Category
  - 5 for Individual and Shared Services Grants
  - 5 project types for Demonstration Grants
  - 1 category (NYC) for NYC agencies
- Project Summary



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## Project Narrative

- Worth 75% of overall score
- Four parts (scoring revised this year)
  - I. Statement of the problem (15 pts)
  - II. Intended results (20 pts)
  - III. Plan of work (30 pts)
  - IV. Local Government support (10 pts)



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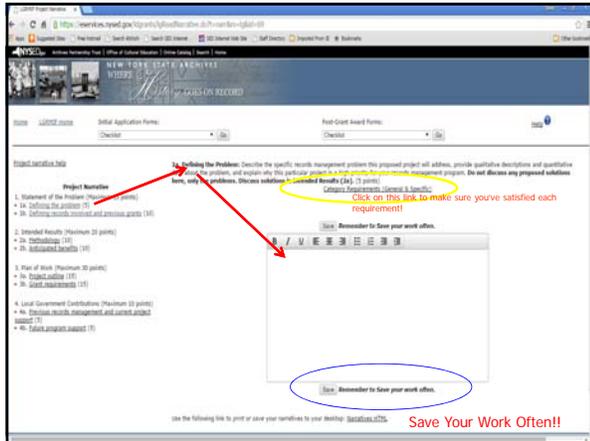
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## General Application Requirements

1. Records Focus
2. Adherence to Archives' Standards and Guidelines
3. Increased Capacity
4. Intent and Ability to Maintain
5. Project Staffing
6. Supporting Documentation




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## 1. Records Focus

- Demonstrate project will improve the management of records
- Examples
  - Address retention and disposition
  - Base costs on records
  - Address specific records issues
- Projects merely to improve a business process are not eligible




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## Some Ineligible Activities

- Water meter reading projects
- Voice recording systems
- Creation of GIS data using Global Positioning System (GPS) units
- Business Process Analyses (BPAs)
- Any software application that does not manage records as its primary purpose



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## 2. Adherence to Guidelines and Standards

- Explain which you will use in your project
  - And demonstrate how you will use them
- Examples
  - guidelines for digital imaging and microfilm
  - guidelines from workshops and publications
  - advice from State Archives staff



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## 3. Increased Capacity

- Show how you will develop or enhance the capacity of a RM program or system
- LGRMIF funds do not
  - support ongoing operational costs
  - pay for records that have accumulated since the completion of a previously funded project
  - pay for software and hardware upgrades
  - Cover non-grant payroll costs
  - redo a project funded under a previous grant



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## 4. Intent and Ability to Maintain

- Show how you will maintain project results and support RM after the grant
- Some examples
  - provide ongoing staff training
  - develop policies and procedures
  - implement system business rules & audit trails
  - budget for upgrades and annual maintenance



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## 5. Project Staffing

- Explain who will perform each project activity
  - Including project management
- Indicate the qualifications of each person
  - Include consultants and vendors
- Explain how and why they are qualified to perform the tasks indicated



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## 6. Supporting Documentation

- Submit required documentation
  - Formats supported:
  - Word, Excel, PDF, JPEG, BMP, or PNG
- Examples
  - Needs assessments
  - Floor plans and shelving layouts
  - Conservation treatment proposals
  - Vendor Quote Form and detailed quotes



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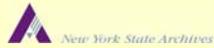
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## Vendor Quotes

- Three quotes required when a cost > \$10K
  - Unless products and services are
    - On state contract (provide contract number)
    - From a preferred source
    - From a sole-source vendor
    - Vendor already under contract with you
- Vendor quote form, RFQs, and detailed quotes required for services over \$10,000



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## Procurement Priorities

- NYSID
- M/WBE
- State Contract
- BOCES (for School Districts only)



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## NYSID

- Creates employment for the disabled
- Preferred source under NYS Finance Law
- Priority over other procurement methods
- But must meet form, function, and utility:
  - Project Activities
  - Imaging Guidelines
  - Timeframe

■ See <http://www.nysid.org>



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### Overview on How to Purchase From NYS Preferred Sources

- Agencies should work with Preferred Source and negotiate where possible.
- Do **NOT** do a competitive solicitation prior to speaking with the Preferred Source.
- Preferred Sources have **10 days to respond** with an accept or release the procurement opportunity.
- Letter of Intent or Waiver Release will be required for procurement record.

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### M/WBE Goals

- Definition
- Executive Law, Article 15-A
- Required of all applications > \$25,000
- SED's Participation Goal
  - 30% of grant
  - Exclusive of salaries and benefits
- Compliance

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### Compliance Methods

- Full Participation
  - Meet or exceeds 30% goal
- Partial Participation
  - Request for Partial Waiver
- No participation
  - Request for Complete Waiver
- Deferred Compliance
  - Within 30 days of grant award notification

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**M/WBE Requirement**

Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals Pursuant to Article 15-A of the New York State Executive Law

The following M/WBE requirements apply when an applicant submits an application for grant funding that exceeds \$25,000 for the full grant period.

**M/WBE Documents Package (original signatures required)**  
(Some documents available as fillable PDF)

Type of Form	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 (PDF format)	<input type="checkbox"/>	<input type="checkbox"/>	N/A
M/WBE 102 Notice of Intent to Participate (PDF format)	<input type="checkbox"/>	<input type="checkbox"/>	N/A
EOG 100 Staffing Plan and Instructions (PDF format)	<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 101 Request for Waiver Form and Instructions (PDF format)	N/A	<input type="checkbox"/>	<input type="checkbox"/>

All forms referenced here can be found in the M/WBE Requirements section of the end of the RFP




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## M/WBE Resources

- NYS M/WBE Directory
  - [www.esd.ny.gov/mwbe.html](http://www.esd.ny.gov/mwbe.html)
- Consultants and Vendors List
  - [http://www.archives.nysed.gov/a/records/mr\\_cons.shtml](http://www.archives.nysed.gov/a/records/mr_cons.shtml)
- SED M/WBE Coordinator
  - [mwbe@nysed.gov](mailto:mwbe@nysed.gov)
- Grants Administration Unit
  - [Archgrants@nysed.gov](mailto:Archgrants@nysed.gov)




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## Project Narrative

- Worth 75% of overall score
- Four parts
  - I. Statement of the problem (15 pts)
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## I. Statement of the Problem

15 points

- Describe the records problems (5 pts)
  - Do not discuss proposed solutions
  - Just discuss the problems.
- Identify records & related projects (10 pts)



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## Statement of the Problem Example 1

- Not so Good

The Village of Frosty Top has 103 years worth of minute books. However finding information in the minutes is quite cumbersome and time consuming. The village proposes to scan the minutes and index them thus making the information easier to find.



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## Statement of the Problem Example 2

- Much Better

The Village of Frosty Top has 103 unindexed minute books each comprised of approximately 120 pages of typed text. The books are stored in a locked vault which limits access. The books are also large and heavy and many are stored on high shelves making them difficult and even dangerous to retrieve. The village clerk receives seven to ten requests for information from the minutes each month. Without an index the clerk has to guess the time period and search several books to find the information. Most searches take at least one hour and some have taken days. In a few instances the information could not be located at all.



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## II. Intended Results

20 points

- Explain why methodology you chose to solve your records management problem was the best one (10 pts)
- Identify each intended result and the anticipated benefits (10 pts)



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## Intended Results Example

### Statement of the Problem

- Have 500 feet of unorganized records
- Many records are passed their retention period
- Takes one hour to locate a record
- Records are stored haphazardly in multiple locations

### Intended Results

- Inventoried 500 cubic feet of records
- Approximately 240 cubic feet will be disposed of
- Will take 10 minutes to locate a record
- Records will be stored centrally and organized on 18-gauge steel shelving



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## III. Plan of Work

30 points

- Provide a detailed outline and timeline of work activities (15 pts)
- Address each of the general application, project type, and project category requirements (15 pts)



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## Plan of Work: Timeline

<u>Task</u>	<u>Duration</u>	<u>Responsible Party</u>
Review and update scope of work	Two Weeks	Project Director
Complete Purchase Order	Four Weeks	Project Director
Assemble Reference Materials	Two Weeks	Project Team




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## Plan of Work: Application Requirements

### Records Management Focus

This proposed project is solely focused on improving records management for our agency. Our overriding goal is to set up an ECMS to...

### Increased Capacity

The RM program is still growing. The new system will form the cornerstone of the program and will enable the program to greatly increase its capacity. Currently the RM program is largely confined to storing records rather than truly managing records.....




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## IV. Local Government Support

10 points

- Demonstrate contributions to this project and to RM in your government (5 pts)
  - Additional funding, Staff time, Allocation of space
  - Previous grant funding is NOT an LG contribution
- Demonstrate how you will maintain the results of this project long term (5 pts)
  - Records law, Policies and procedures, Annual training, Support from top management, Maintenance contracts, Budget line for RM




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## Project Budget

- Nine budget codes
- Each code has eligible and ineligible expenses
- Each code has a budget table and narrative
- Populates Budget Summary (FS-20)



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## Eligible Expenditures Budget Codes

- Salaries
- Purchased Services
- Supplies and Materials
- Travel Expenses
- Employee Benefits
- Minor Remodeling
- Equipment



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## Ineligible Expenditures I

- Photocopiers
- Office furniture
- Purchase or construction of facilities
- Additions to existing structures
- Construction of or repairs to
  - Roof
  - Exterior walls
  - Foundation of a building



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## Ineligible Expenditures II

- Consultant fees
  - Paid to an employee of a local government
  - Or to develop a needs assessment for the implementation of new technology
  - Or for conducting a business process analysis
- Annual fees
- Ongoing operational expenses
- Hiring a grantwriter



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## Ineligible Expenditures III

- Standard file cabinets, even lateral ones
- Office furniture
- Office supplies
- Wooden shelving of any kind
- Records center cartons other than standard cubic-foot boxes



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## Ineligible Expenditures IV

- *Consider the Source: Historical Records in the Classroom*
- Travel to State Archives workshops or other training
- Expenses for travel to a conference
- Benefits in excess of 35% of salaries
  - Unless you provide you can justify requests in excess of this limit



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## Justifying the Project Budget

25 points

- Justify proposed project expenditures by
  - Reasonableness of cost
  - Suitability of the chosen solution
  - Necessity of expenses to project's success
  - Do not merely describe the items and services requested



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## Payee Information and Data Capture Forms

- Required of all applicants
- Project Director and RMO info must agree with Application Sheet
- Use to correct general contact information on Application Sheet
- Complete, print, sign (in blue ink), and mail to State Archives Grants Unit
  - Postmarked by February 1



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## Institutional Authorization

- Indicates your agreement
  - with Appendix A and Appendix A-1 G
- Print from system
- CAO and RMO must sign in blue ink
- Mail to State Archives Grants Unit
  - Postmarked by February 1



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## Submitting the Application

- Complete most forms electronically
- Sign (in blue ink) and mail signature forms
  - 3 copies of Budget (FS-10)
- Electronically attach all other forms and supporting materials
- Click “Submit”
- Cannot edit application after you submit



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## Forms Submission

- **Electronic**
  - Application Sheet
  - Project Narrative
  - Project Budget
- **Paper**
  - Budget Summary (FS-20): 3 copies
  - Payee Information Form
  - Standard Data Capture Form
  - Institutional Authorization Form



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## Forms Submission II

- **Attachments**
  - Shared Services Agreement Form
    - for Shared Services projects
    - and for multi-government Demonstration projects
  - Detailed vendor quotes
  - Request for Proposal
  - Needs assessment



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## Grants Reviewers

- Paid reviewers
- LGRAC reviewers
- State Archives staff
- Four reviewers per review panel
- Panels are segregated by type
  - Individual, Shared Services, Demonstration



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## The Review Process

- Reviewers and at-home review
  - Read each application
  - Score and write evaluation of each application
- Review panels and grants review
  - Resolve differences
  - Modify or eliminate funding requests
  - Make recommendations
- Final approval from SED, OSC, and DoB



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## Tips for Using E-Grants

- Apply early
- Save often
- Write project and budget narratives off line
  - Cut and paste (unformatted) text into eGrants
- Request electronic format from vendors
- Call us if you need help



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## Writing Tips

- Provide information where requested
  - You will lose points if you don't
- Address all category requirements directly
- For technical projects
  - Demonstrate both RM and IT involvement
- Have someone else review your work
- Make sure all parts fit together



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## Finding Help

- Online application guide
- State Archives
  - Your RAO
  - Staff in the Grants Unit
  - Other Albany-based staff
- Other local governments



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## Questions?

## Good Luck!



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