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

LOCAL GOVERNMENT RECORDS MANAGEMENT IMPROVEMENT FUND  
(RFP #GC22-005)

Grant Application Guide  
2022–2023

Application Deadline  
March 21, 2022  
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 LGRMIF grant application information [webinars](#). In addition, applicants may direct questions regarding the LGRMIF to their respective Records 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 RAO 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 March 2, 2022 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 is contained under the Procurement section.

## Summary of Major Changes

- The State Archives will award grants based on funding available for the 2022-2023 Local Government Records Management Improvement Fund grant year. As required by law, \$1,000,000 will be allocated from available funds for projects for the City of New York.
  - References to a retention and disposition schedule listed in these Guidelines now refer to the new LGS-1 only, which was published in August of 2020 and became effective January 1, 2021. See Eligibility Requirements on p. 9 of these Guidelines.
  - Per the OGS Preferred Source list, the NYS Preferred Source Program for New Yorkers Who are Blind (NYSPSP) is a Preferred Source for scanning and shredding, in addition to NYSID. Their contact information has been added to these Guidelines.
  - These Guidelines now contain a link to [SED's Fiscal Guidelines for Federal and State Funded Grants](#). Applicants should pay particular attention to the provision under Purchased Services where employees of a local government cannot be hired as consultants.
  - The deadline for requesting a **new** eGrants user account has been increased to **10** business days prior to the posted application deadline.
  - M/WBE forms have been removed from these Guidelines. The forms can be accessed on the Archives' [M/WBE Compliance webpage](#). A link to the webpage can also be found in the M/WBE Program section (page 46) of these Guidelines.
  - SED's M/WBE Unit will now only accept certification from **currently** certified M/WBE vendors. For more information, see the M/WBE Program section on page 46 of these Guidelines.
  - For Shared Services applications only: Any local government that is integral to the success or sustainability of a Shared Services project must be listed either as the lead applicant or a participating partner.
1. Prior to applying, the State Archives strongly encourages applicants to verify that the information in SED's client database, SEDREF, is correct by accessing the [SEDREF public portal](#). If it is incorrect, submit a revised [Standard Data Capture Form](#) (SDCF) **prior** to submitting your application so we can update your SEDREF record. The revised SDCF can be emailed to [archgrants@nysed.gov](mailto:archgrants@nysed.gov). If the information in SEDREF is correct, there is no need to submit an SDCF with your application.
- General Requirements for All Applicants have now been incorporated into the Project Narrative Instructions, particularly Narrative section 3b. Grant Requirements (see pp. 24-29 of these guidelines). All applicants must address these requirements in the appropriate Narrative section in addition to all appropriate Category Requirements.

## Timetable

23 February 2022	Due date for submitting a Notice of Intent (NOI) to apply for an LGRMIF grant for the 2020-2021 grant year. <b>Note:</b> This applies only to Not-for-profit volunteer fire companies and volunteer ambulance services.
2 March 2022	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.
7 March 2022	Registration forms requesting <b>new</b> eGrants user accounts must be submitted before 5:00 pm on this date.
21 March 2022	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 2022	Earliest date grants projects may start, contingent on final approval from the Division of the Budget and the Office of the State Comptroller.
1 June 2023	All budget amendment templates must be submitted electronically before 5:00 pm on this date. Also, the paper FS-10-A form, Proposed Amendment, if required, must be postmarked by this date.
30 June 2023	All work on grants projects must be completed.
31 July 2023	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 electronically 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
- Adopt the State Archives LGS-1 records retention and disposition schedule

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, none of which are required to have RMOs or to adopt State Archives records retention and disposition schedule.

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.

## **Local Authorities**

In the past, the State Archives considered Public Benefit Corporations with local or regional jurisdiction to be independent units of local government and therefore eligible to apply for LGRMIF funding. Currently, the State Archives considers local Authorities under the [Public Authorities Law](#), including public benefit corporations, to be local governments and eligible to apply for LGRMIF funding. The State Archives considers state authorities under the Public Authorities Law to be state agencies and not eligible for LGRMIF funding. However, state authorities previously considered by the State Archives to be local governments and who previously received LGRMIF funding may continue to apply for LGRMIF funding as the State Archives transitions their status from local government to state agency and develops the necessary records retention and disposition schedule.

## **Community Colleges**

A community college sponsored by more than one county may apply for and receive grant payment 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, whose signature is required on the appropriate required paper forms. All pertinent applicant information will refer to the county only, not the community college. A single county may apply for an additional grant so long as that application focuses entirely on the records of its community college. In both cases grant payment will be made to the county as the eligible entity.

## **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, but they must meet the above eligibility requirements.

Pursuant to Chapter 508 of the Laws of 2014, volunteer fire companies and voluntary 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 required to register in the [New York State Grants Gateway](#), 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.

## **Libraries**

Public libraries that are independent local government entities or units of other local governments are eligible to apply for funding. Libraries that are a unit of another local government would have to apply through their respective governing body. For additional information, please consult the State Archives' publication #06, "[Retention and Disposition of Library and Library System Records](#)". You can also contact the Grants Unit at [archgrants@nysed.gov](mailto:archgrants@nysed.gov).

## **Charter Schools**

Charter schools are not local governments under the Local Government records law and are not subject to the State Archives records disposition authority. As a result, they are not eligible to apply for LGRMIF funding.

Please contact the State Archives Grants Administration Unit at [archgrants@nysed.gov](mailto:archgrants@nysed.gov) for all questions about LGRMIF grant application eligibility.

## **Prequalification Requirements**

The State of New York has implemented a [statewide prequalification process](#) 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 02/23/22 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**

Two types of competitive grants are available: Shared Services and Individual. Each type has multiple project categories: Disaster Management, Inactive Records, Historical Records, Files Management, and Document Conversion and Access. An overview of these 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). 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 at the State Archives. Preference will be given to applications proposing to establish new shared services consortiums for the management of records. This preference will be expressed in the form of bonus points (10).

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 each 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
- Any local government that is integral to the success or sustainability of a Shared Services project must be listed either as the lead applicant or a participating partner.
- 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.
- Demonstrate the proposed project will result in ongoing, positive programmatic change involving an alliance of two or more local governments. Also, demonstrate that all participating local governments are committed to supporting and expanding project results, through dedicated funds and staff, 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.

## **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. Under this type of application, preference will be given to first-time applicants applying for an inactive record 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, two or more agencies may band together to apply for a shared services application. In which case, the money for such grant projects will be part of the \$1,000,000 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 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 award 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 [Records 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 will award grants based on funding available for the 2022-2023 Local Government Records Management Improvement Fund grant year. As required by law, \$1,000,000 will be allocated from available funds for projects for the City of New York.

## **Project Categories**

**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) and **needs assessments, except for Inactive Records and Historical Records projects**, are also ineligible. If you need assistance framing your project in records management terms, contact your RAO or Archives staff in Albany.

## **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.

### *Types of Activities*

- Hiring a consultant to develop a disaster and business recovery plan for a local government's archival and vital records or for a shared services consortium's archival and vital records.
- Testing and implementing the recommendations of a disaster and business recovery plan.

### *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. Note: Per the [OGS Preferred Source List](#), both NYSID and NYSPSP are Preferred Sources for secure document destruction/shredding. For more information see the Procurement section of these Guidelines
- 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 that is 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 [Administration of Inactive Records \(Publication #49\)](#), and [Guidelines for Storage of Inactive Government Records](#). For information about developing office retention schedules, consult the State Archives publication, [Retention and Disposition of Records \(Publication #41\)](#).

### *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. **Note:** Volunteer fire companies are not covered by State Archives Retention and Disposition Schedule for Local Governments LGS-1. As a result, any application involving one or more volunteer fire companies should explain how the applicant will develop its own records retention and disposition schedules, including



obtaining approval for their use. Applicants are encouraged to consult their legal counsel, professional organizations, and/or the New York State Office of Fire Prevention and Control for guidance.

- 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 [Americans 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 the records retention and disposition schedule 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, or e-mail [dhs@nysed.gov](mailto:dhs@nysed.gov).

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, please consult with your [Records Advisory Officer \(RAO\)](#).

#### *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 an archival records management system(s), 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 set forth by the Society of American Archivists (SAA) in their [Describing Archives: A Content Standard \(DACS\)](#). To determine the time needed to complete the project, use the following as a guideline:
  - Completely unorganized series: 15 hours per cubic foot
  - Complicated series, such as correspondence or subject files: 10 hours per cubic foot
  - Fairly simple and organized series that may need some work, such as case files or business records: 5 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. Vendors should either be certified by the [American Institute for Conservation](#) (AIC), or adhere to the standards set forth in AIC's [Code of Ethics and Guidelines](#). AIC provides a search tool for certified vendors on its [website](#). 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 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. If files are managed well when they are active, managing them as inactive files will be easier. Although active files can be paper, electronic, or micrographic, this category is limited to paper records only. Projects involving active electronic, or micrographic records should be submitted under the Document Conversion and Access category.

### *Types of Activities*

- Reorganizing or centralizing paper 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 possible solutions.
- Provide a floor plan for projects involving the purchase of filing equipment such as lateral and/or locking files.

## **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.

**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 records with the creation of a database.
- Developing an electronic content management (ECM) system, including a filing schema, access and auditing controls, security, and assigning retention periods and disposition processes to records.
- Developing policies and procedures covering any aspect of electronic records management.
- Data conversion projects that include the scanning of geographic records. **Note:** 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.
- 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.
- Projects to reorganize or centralize electronic files, implement file classification systems and taxonomies, developing written policies and procedures, and train staff.

### *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. **If both the applicant and vendor intend to prepare records for scanning, the applicant must explain in detail the ways in which the prep work performed by the vendor will differ from that performed by the applicant.**
  - If scanning or microfilming paper documents, indicate whether, after the completion of the project, the paper will be retained by the applicant or destroyed.
  - If destroying the original records, indicate how you will verify that all the digitized or micrographic images are legible and that the 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. If maintaining the original records as a backup, explain what sampling

method, as defined in New York State Archives' Advisory 19.01, Quality Control and Content Verification of Digital Images, you will use to gauge the quality of the images.

- 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 \$30 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 Precision Microproducts, 7 Old Dock Rd., Suite 3, Yaphank, NY 11980, attention of Chris Capobianco; phone: 631-580-3456, Sales: 800-932-9215.
- Pursuant to [Article XI, Section 162 of State Finance Law](#), NYS Industries for the Disabled Inc. (NYSID) and the NYS Preferred Source Program for New Yorkers Who are Blind (NYSPSP) have been designated as "[Preferred Sources](#)" 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. Both NYSID and NYSPSP are given equal priority in this regard. If both meet the service requirements of applicants, then cost shall be the determining factor in choosing a Preferred Source.

You should obtain and attach a quote from NYSID or NYSPSP for document imaging services, unless you can demonstrate that the services are not available from NYSID or NYSPSP 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 or NYSPSP. In such instances, you must explain how NYSID, or NYSPSP, 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 or NYSPSP.

**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](tel:5184746541) 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 how 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. **Provide quotes that break down per image costs according to specific**

**activity, including scanning, indexing, prep work, and quality control. Be sure to include these activities as separate line items.**

- Indicate how you will follow State Archives standards and guidelines:
  - For projects involving the creation of digital images, indicate how you will follow standards outlined in the State Archives' [Digital Imaging Guidelines \(2014, rev. 2019\)](#).
  - 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](#).

**Note:** Be sure to include specific citations from the appropriate publication.

- Applicants proposing to microfilm or scan court records must also indicate how they will adhere to all Unified Court System guidelines.
- In section 1b of the project narrative, provide the number of images calculated for each records series you plan to digitize or microfilm.
- 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.
- Where appropriate, reference the guides and videos available as part of the [Electronic Records Management System \(ERMS\) Toolkit](#) produced by the Digital Towpath as part of its LGRMIF demonstration grant.

#### *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.

#### *For electronic files management activities*

- 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 electronic files management solution over other possible solutions.

## Instructions for the Project and Budget Narratives

**Note:** To receive any points for your responses to the individual sections of the narratives, you **must** provide these responses within the appropriate section of the online application. 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. **Pay particular attention to section 3b. Grant Requirements where you must address specific category requirements. All applicants, no matter what category being applied for, must also address the four requirements listed in section 3b.**

### 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. Be sure 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.

**Note:** Inventory and planning applicants will not be able to identify the specific records series that will be involved in this project, as required under section 1b of the application narrative. Instead, under section 1b, applicants should provide a general overview of the departments whose records will be inventoried and the types of records that will likely be part of the inventory project.

#### 1. Statement of the Problem (maximum 25 points)

- Defining the Problem:** Describe in detail the specific records management problem this proposed project will address, include specific reasons why this is a problem, and explain why this particular project is a high priority for your records management program. Where applicable, provide specific data about the problem, including the number of records requests and related costs to the government in terms of staff time and salaries. **Do not discuss any proposed solutions here, only the problems. Discuss solutions in Intended Results (2a).** (15 points)
- Defining Records Involved and Previous Grants:** Describe the specific records series that will be involved in this project, including the series titles, estimated volume, date ranges, retention periods, item number from the retention schedule, and general condition of each series (such as any damage, quantities of fasteners, or fragility). Indicate if your local government has received, in the past five grant cycles, funding relevant to your current proposed project. If you have received funding during the last five grant cycles, explain why this project would not a) replicate work already completed and/or b) address



a backlog that has developed since then. Funds are not awarded to address records that have accumulated since the completion of a previous project. (10 points)

**2. Intended Results (maximum 25 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. (15 points)
- b. **Anticipated Benefits:** Describe in detail the intended results or anticipated benefits of the project in terms of how they will address each of the problems cited in section 1a. Include specific products, time and/or cost savings, and service improvements. Provide a detailed description of how the proposed solutions will contribute to the development or enhancement of a records management program. 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. If you are proposing to redo a project funded under a previous LGRMIF grant 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. (10 points)

**3. Plan of Work (maximum 25 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. Include detailed information on 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. If you are required to be M/WBE compliant, be sure to factor into your plan any time needed to meet the M/WBE requirements. **Do not itemize and justify any expenditures here. Discuss and justify expenditures in the Budget Narrative only.** (10 points)
- b. **Grant Requirements:** Address each of the project category requirements. If applying for a Shared Services grant, address those requirements here as well. If your application combines elements of two or more grant categories, address the requirements of each. In addition, **all** applicants must address the following:

**Records Focus**

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

- i. 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.

- ii. 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.
- iii. 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.

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

Give details about how you will adhere to State Archives standards and guidelines relevant to your project. These can be obtained from our workshops/webinars, publications, or advice from a State Archives' Records Advisory Officer (RAO). For your convenience, references to applicable written standards and guidelines are included in the descriptions for most project categories.

### **Program Support**

Provide concrete information to demonstrate how you will maintain and expand the results of this project long term without additional LGRMIF grant funding. If additional grant funding will be required in the short term, explain why.

### **Supporting Documentation**

Applicants are responsible for ensuring they submit the documentation required by their specific project category. Examples of such documentation include needs assessments, responses to RFQs (Request for Quotes), floor plans and shelving layouts, and conservation treatment proposals.

- i. Attach to your application 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.
- ii. Request for Quotes (RFQ). An RFQ is required **by all applicants** when applying for funds
  - o to purchase equipment with a **unit** cost in excess of \$10,000
  - o to purchase computer software with a **unit** cost in excess of \$10,000
  - o for purchased services where the fee **for all activities** 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
- iii. Detailed Vendor Quotes. Three quotes are required whenever an RFQ is required, except that only one quote is needed in cases where services or products will be procured:
- off state contract
  - off NYC's Dept. of Citywide Admin. Services (DCAS) Citywide Requirements 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 for each specific task to be performed by the vendor. Each quote should also include vendor or contractor qualifications. **Quotes pertaining to Document Conversion and Access projects must break down costs according to specific activity, including per image scanning costs, indexing, prep work, quality control, and all other tasks performed by the vendor.** 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.

- iv. 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).
- v. 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).

(15 points)

#### 4. Local Government Contributions (maximum 5 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)

## **5. Project Budget (maximum 20 points)**

In the budget narrative itemize and justify **each** proposed project expenditure in terms of reasonableness of cost, the suitability of the chosen solution, and the necessity of the expense to ensure the project's success. Do not merely describe each item and service requested in the project budget, but instead provide a justification specific to the proposed project. 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 that particular scanner, make, and model, needs to be purchased to successfully complete the project. If a vendor quote includes multiple items, e.g., software and professional services, you should list and justify each item. (20 points)

### **a. 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.

### **b. 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. **Note: Employees of local governments cannot be hired as consultants, per SED fiscal guidelines.**

### **c. 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.**

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

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

### **e. 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.

**f. 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, no matter the unit cost, and items with a unit cost under \$5,000 in this budget code.**

**g. 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.

**h. 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.

**i. 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.

#### **Ineligible Expenditures**

#### **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.

#### **Ineligible Expenditures**

##### **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, 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, shredding, 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 grant writer

**Note:** According to SED's [Fiscal Guidelines for Federal and State Funded Grants](#), where there exists an employer-employee relationship between the local agency and project personnel, such personnel should not be budgeted as consultants; they must be listed in code 15/Professional Salaries or code 16/Support Staff Salaries, as appropriate. The existence of an employer-employee relationship is determined by the degree of control exercised by the employer. An employee is usually trained by the employer, is directed in how work is to be performed, and has a continuing work relationship with the employer. An independent consultant decides when, where, and how the work is to be performed, is paid according to an agreed-upon (contract) performance or result of work and is free to contract with work for others. Individuals listed under code 15/Professional Salaries or code 16/Support Staff Salaries are considered to be local government employees and may **not** also be listed under code 40/Purchased Services.

### **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 the State Archives publication [Guidelines for Storage of Inactive Government Records](#).

Standard one-cubic-foot records storage cartons (10" x 12" x 15") should 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 \$55.02 per case (approximately \$2.20 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**

- BOCES/NERIC cross contract fees are ineligible and the responsibility of the applying district or BOCES.
- 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 eGrants 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](#). All applications must be submitted by the posted deadline. The only exceptions to the deadline are a) If a State or Federal Major Disaster Declaration involving a natural disaster is declared in your area, the local governments affected by the disaster may be granted an extension of the grant application deadline of **one week**; or b) If the e-Grants system is down due to a technical failure on our end, in which case **ALL** local governments will be granted an extension of the grant application deadline of **one additional business day**. Please visit the [NYS Archives website](#) for updates.

Note: the eGrants system 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 that is associated with the LGRMIF grant. 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 10 business days of the application due date.

- To register, go to: <https://eservices.nysed.gov/ldgrants/ldgext/cnRegistration.do>.
- Enter all required information, including RMO's name, title, institutional address, and contact information. Then click Submit.
- Requests for user accounts will be processed in the order that they are received. Once an account is created, a username and password will be emailed from [archgrants@nysed.gov](mailto:archgrants@nysed.gov) 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](http://eservices.nysed.gov/ldgrants).

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

1. Enter your username and password and click “Sign In”. Your username is usually your first name followed by your last name, with a period between your first and last names: firstname.lastname, though there might also be a numeral after the last name (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 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 hard-copy 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 form, 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. This includes the submission of **all** required paper forms: FS-10-/Proposed Budget, Institutional Authorization form, and Payee Information form (see “Forms that cannot be filled out electronically”, below). **Applications submitted without each of these forms by the posted deadline will not be forwarded for review and will not be considered for funding.** When submitting these forms, be sure to include all the required signatures, as **applications submitted without the necessary signatures will be considered incomplete and will not be forwarded for review.**

Please refer to the [eGrants Applicant User Manual](#) for additional information on using the eGrants

system. Note: Once you submit an application you cannot edit the application, or un-submit it.

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

- Application Sheet
- Project Narrative
- Project Budget
- Participating Institutions (if applicable—Shared Services only)

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

- Shared Services Agreement Form (For Shared Services 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 projects, Historical Records projects that involve minor remodeling or the installation of shelving, or Files Management projects that involve the purchase of filing equipment such as lateral and/or locking files.)
- M/WBE forms
- 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 (auto-populated when online budget is filled in and saved.)
- Payee Information Form/W9 (SAM number is only necessary when applying for federal funds and does not need to be filled in for LGRMIF purposes.)
- Institutional Authorization Form

**Note:** The [Standard Data Capture form](#) (SDCF) contains information about your institution such as legal name, general contact information (address, phone number, website URL, etc.), and contact information and name of CEO. This information is contained in SED’s client database, SEDREF. Prior to applying, the State Archives strongly encourages applicants to verify the information is correct by accessing the SEDREF [public portal](#). For counties, use the search term: “county of . . .” If it is incorrect, submit a revised SDCF **prior** to submitting your application so we can update your SEDREF record. The revised SDCF can be emailed to [archgrants@nysed.gov](mailto:archgrants@nysed.gov). If the information is correct, there is no need to submit an SDCF with your application.

Forms that cannot be completed electronically in the eGrants 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

Note: Mail only the required paper forms noted above-- do not include any other parts of the application. Please do not staple any of the forms; paper clips and binder clips are acceptable.

## **Grant Application Review**

### **Priorities for Funding**

Shared Services projects remain a priority for funding in the current grant year. Any remaining funds, after the Shared Services review, will be allocated to Individual grants. Priority will also be given to **first** time inventory and planning projects, under the Inactive Records category. This priority will be reflected in the form of ten (10) bonus points.

### **Project Ranking**

All grant applications are evaluated and scored based on established criteria. The Project Narrative is worth 80% of an applicant's score, and the Project Budget is worth 20%. The questions applicants are required to address in the narrative and budget directly correspond to the reviewers' ranking criteria. See the 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/postmarked 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 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. The State Archives will award grants based on funding available for the current Local Government Records Management Improvement Fund grant year.

The panels reviewing Shared Services applications may complete their review before other panels. 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, or do not include expenditures listed in both the Project Budget (Amount Requested) and the application Budget Narrative.

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.

Information regarding the status of an application will not be released until the review process has been completed. At that point, the Archives will notify all applicants by email concerning the status of their application.

**Note: All award notifications are tentative, pending approval from:**

- Division of Budget
- Office of State Comptroller
- Awards over \$25,000 are also contingent on approval of M/WBE compliance
- SED's Grants Finance Unit approval of the project budget

Once SED has received the approvals noted above, including M/WBE compliance, SED's Grants

Finance Unit will send grantees a final Grant Award Notice. **You cannot begin work on a project until you receive this notice.**

All local governmental entities, and non-profit entities receiving an award of less than \$15,000, will receive a grant award 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. Upon final approval, awardees will receive a fully executed contract from NYSED's Contracts Administration Unit.

## **Debriefing Procedures**

All unsuccessful applicants may request a debriefing letter. Requests must be submitted within fifteen (15) **calendar** days of receiving notice from NYSED. Requests received after that date will not be honored. Bidders may request a debriefing letter on the selection process regarding this RFP by submitting a written request, by email, to [archgrants@nysed.gov](mailto:archgrants@nysed.gov).

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 emailed to:

[archgrants@nysed.gov](mailto:archgrants@nysed.gov)

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 ten (10) 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 encumbered prior to the start of the grant year, 1 July, 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](#).

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 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, when appropriate, 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**

There are various forms available to assist awardees in managing their projects. All of the forms are available through the eGrants system. While some have a hardcopy component and a matching electronic component, some have only a paper component. A list of electronic and non-electronic forms is provided below.

The following are forms that cannot be filled out electronically:

- Request for Additional Funds (FS-25)
- Amendment Form (FS-10-A): Populated by data entered into Budget Amendment Summary (see below)
- Final Report for Educational Uses Projects
- Final Expenditure Report (FS-10-F): Populated by data entered into Final Project Budget (see below)

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

- Final Project Narrative: Required as part of Final Reports
- Final Project Budget: Required as part of Final Reports
- Final Statistical Report: Required as part of Final Reports
- Budget Amendment Summary: Required when filing an FS-10-A; system only allows one Budget Amendment Summary per awardee per grant cycle; contact the Grants Administration Unit for instructions if a second amendment is to be filed.

Forms that must be attached in an electronic format to the application:

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

More information on the post-grant award reporting requirements can also be found in the [eGrants User Manual](#), or contact the Grants Administration Unit at [archgrants@nysed.gov](mailto:archgrants@nysed.gov).

# 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. A full [List of Preferred Sources](#) can be found at the [Office of General Services](#) (OGS) website, along with guidelines on using Preferred Sources.

Pursuant to Article XI, Section 162 of State Finance Law, NYS Industries for the Disabled, Inc. (NYSID) and [New York State Preferred Source Program for New Yorkers Who are Blind](#) (NYSPSP) have been designated as Preferred Sources for the provision of document imaging services and secure document destruction (shredding). As such, local governments applying for an LGRMIF grant that includes document imaging services should contact NYSID and/or NYSPSP when seeking quotes for this service to determine if either can meet the form, function, and utility required for the proposed project. Both are given equal priority. If both can meet the form, function, and utility required for your proposed project, cost will be the determining factor.

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)

NYSPSP also has associate member agencies, in the form of non-profits, throughout the state that are included in NYSPSP'S Preferred Source designation. Direct requests for quotes and additional information to the following point of contact at NYSPSP:

Rene´ Handford, New York State Sales Account Representative  
518-621-0638  
Office Fax 518-456-3587  
Cell Phone 518-269-9271  
E-mail: [rhandford@nyspsp.org](mailto:rhandford@nyspsp.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.

**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 \$55.02 per case (approximately \$2.20 per box). Grant funds will not be approved for cartons in excess of this price.

See [New York State's Preferred Source](#) program for more information and [List of Preferred Source Offerings](#) for a complete list of services and products.:

## **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 an 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. However, you must 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: BOCES are not considered a Preferred Source for M/WBE purposes; therefore, the appropriate paperwork must be submitted for that program.

## **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 M/WBE requirements.

## **M/WBE Program**

### **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) compliance requirements apply only when an applicant submits an LGRMIF application for funding that exceeds \$25,000.**

Compliance can be achieved by one of the methods described below. Full participation by meeting or exceeding the M/WBE participation goal of 30% for this grant is the preferred method.

M/WBE participation includes services, supplies, and materials purchased directly 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 the [NYS Directory of Certified Minority and Women-Owned Business Enterprises](#).

**Note: SED's M/WBE Unit will now only accept M/WBE certification from currently certified New York State firms. They no longer accept firms that have applied and/or are seeking M/WBE certification. These firms will not count towards the M/WBE goal.**

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

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 by uploading them (as one PDF file) to the applicant's eGrants account or emailing the PDF to [archgrants@nysed.gov](mailto:archgrants@nysed.gov). 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

**Note:** All of the forms listed below can be accessed from the [State Archives M/WBE Compliance](#) webpage. All forms need to be submitted electronically by uploading to your application or emailing them to [archgrants@nysed.gov](mailto:archgrants@nysed.gov). If you are unable to upload or email them, see below under “Submission of M/WBE Forms.”

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, in which case they must demonstrate and provide evidence of 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 Intent to Participate
  - M/WBE 105 Contractor’s (Applicant’s) Good Faith Efforts \***Must** be accompanied by documentation of those efforts per guidance from M/WBE Unit; see form for details.
  - M/WBE 105A Contractor Unavailable Certification
  - 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, in which case they must demonstrate and provide evidence of 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 \***Must** be accompanied by documentation of those efforts per guidance from the M/WBE Unit; see form for details.
  - 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. This method is acceptable only if you are contracting directly with a New York State Preferred Source vendor. BOCES are not considered a Preferred Source under the Finance Law. Please note: NYSID and NYSPSP are not Preferred Sources for software. Applicants utilizing a Preferred Source goal 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 and Instructions
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.
6. **No Participation, M/WBE Goal is \$0.** This is applicable only when applicants have proposed expenses just in personnel-related budget codes: Professional Salaries (code 15), Support Staff Salaries (code 16), and Employee Benefits (code 80). Complete the following forms:
- M/WBE Goal Calculation Worksheet
  - M/WBE Cover Letter
  - EEO 100: Staffing Plan and Instructions

## **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](#).

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 must document their efforts to comply with the stated M/WBE performance goals and submit this documentation 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. You must submit evidence of your good faith efforts along with form M/WBE 105. If you submit only the form, your paperwork will not be approved. 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. In addition, you must also submit form M/WBE 105A (M/WBE Contractor Unavailable Certification).

### **Submission of M/WBE forms**

Applicants should submit necessary M/WBE forms, including the M/WBE Checklist, in an electronic format by either uploading to your eGrants account or emailing them to [archgrants@nysed.gov](mailto:archgrants@nysed.gov). Please send them as one PDF using the following format:

[Project#] [Local Gov't Name] MWBE.PDF (ex. 0580-23-0001 City of Albany MWBE.PDF)

If you are unable to submit them electronically, you can mail hard copies, 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. **Note:** the initial 50% payment of your award cannot be made until your M/WBE paperwork has been submitted and approved.

### **M/WBE and Budget Amendments**

Grant recipients should be aware that amendments to their budgets could cause their level of M/WBE compliance to change. Regardless of the type of change (ex.: fully compliant to request for total waiver; partial compliance to full compliance, etc.), if a grantee's M/WBE status changes from the original, approved status because of a budget amendment, then they must re-file the appropriate forms and receive new approval from NYSED's M/WBE unit.

If this situation occurs, the necessary forms should be downloaded from the LGRMIF website, filled in and signed by the appropriate parties, and submitted as one PDF to [archgrants@nysed.gov](mailto:archgrants@nysed.gov) with the subject line "MWBE status change – [name of local government]". After a preliminary review by the NYS Archives Grants Administration Unit, the forms will be forwarded to the M/WBE unit for their review. Based on weekly updates from that unit, we will update grantees when their status change is approved. Questions can be e-mailed to the LGRMIF grants unit at [archgrants@nysed.gov](mailto:archgrants@nysed.gov) or to the M/WBE department at [MWBEgrants@nysed.gov](mailto:MWBEgrants@nysed.gov).

## **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 the M/WBE form 104G M/WBE Compliance Report. For LGRMIF grantees, this report must be submitted on an annual basis. To access the form contact SED's M/WBE Unit: [MWBEgrants@nysed.gov](mailto:MWBEgrants@nysed.gov).

## **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 [mwbegrants@nysed.gov](mailto:mwbegrants@nysed.gov).

## **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 that require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Management website](#).

**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 proposals will be disqualified from further consideration.**

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The [Vendor Prequalification Manual](#) on the Grants Management website details the requirements and [online tutorials](#) available to walk users through the process.

**1) Register for the Grants Gateway.**

- On the Grants Management website, download a copy of the [Registration Form for Administrator](#). 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 [grantsgateway@its.ny.gov](mailto:grantsgateway@its.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.

**2) Complete your Prequalification Application.**

- Log in to the [Grants Gateway](#). **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 Management Team at [grantsgateway@its.ny.gov](mailto:grantsgateway@its.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.

**Not-for-profit applicants are strongly encouraged to begin the process as soon as possible in order to participate in this 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](#). 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 [OSC's website](#).

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](#) or go directly to the [VendRep System online](#).

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 [ITServiceDesk@osc.ny.gov](mailto:ITServiceDesk@osc.ny.gov).

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep [website](#) 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 when:

- 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 is required only if your institution does not have a vendor ID.. 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.

## **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](#). 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 eGrants system, with the exception of those marked with \*. Use this checklist to ensure that your application submission is complete and in compliance with application instructions. **Applications will not be forwarded to panel review if they are submitted/postmarked late, missing any required forms, missing signatures, or have electronic signatures where originals are mandatory.**

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 (For applicant to read; no form to submit.)	<input type="checkbox"/>	<input type="checkbox"/>	
Payee Information Form* (CAO signature required on form)	<input type="checkbox"/>	<input type="checkbox"/>	
Institutional Authorization (signatures of CEO & RMO required)*	<input type="checkbox"/>	<input type="checkbox"/>	
FS-10 Budget (CAO 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="https://grantsmanagement.ny.gov/">https://grantsmanagement.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	<input type="checkbox"/>	No Participation, Preferred Source	
		<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/Evidence of Good Faith Efforts		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"/>
<b>SED Comments:</b>				
Has the applicant complied with the application instructions? <input type="checkbox"/> Yes <input type="checkbox"/> No				
SED Reviewer: _____ Date: _____				

## 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)



Department/Unit

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

Amount Requested \$

### Application

\*Application Type:                      Individual                      Shared Services

\*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 an LGRMIF grant.

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

Remember to Save your work often.

## LGRMIF 2020-2021 Grant Application Evaluation Form

Reviewer:

Panel Number:

Applicant:

Log Number:

Recommendation (F, M, or N):

Recommended Amount: \$

Score:

Rating Guidelines

Scores Defined                      Interpretation

- 5 Exemplary: Applicant flawlessly addresses the criterion in a way that can be held up as a model for others, providing exhaustive analysis and demonstrating a deep understanding of issues, problems, and/or solutions.
- 4 Very Good: Applicant has provided a complete, cogent, and convincing response to the criterion that exceeds expectations
- 3 Good: Applicant has addressed the criterion competently and completely as required by the guidelines
- 2 Mediocre: Applicant has addressed the criterion, but the response is generally weak, being neither convincing nor complete
- 1 Poor: Applicant may have 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 (25 Points)

- a. **Defining the Problem:** Describe in detail the specific records management problem this proposed project will address, include specific reasons why this is a problem and explain why this particular project is a high priority for your records management program. Where applicable, provide specific data about the problem, including the number of records requests and related costs to the government in terms of staff time and salaries. **Do not discuss any proposed solutions here, only the problems. Discuss solutions in Intended Results (2a).** [15points]
- b. **Defining Records Involved and Previous Grants:** Describe the specific records series that will be involved in this project, including the series titles, estimated volume, date ranges, retention periods, item number from the retention schedule, and general condition of each series (such as any damage, quantifies of fasteners, or fragility). Indicate if your local government has, or has not, received in the past five grant cycles funding relevant to your current proposed project. If you have received funding during the last five grant cycles, explain why this project would not replicate work already completed, and/or address a backlog that has developed since then. Funds are not awarded to address records that have accumulated since the completion of a previous project. [10 points]

### 2. Intended Results (25 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. [15 points]
- b. **Anticipated Benefits:** Describe in detail the intended results or anticipated benefits of the project in terms of how they will address each of the problems cited in section 1a. Include specific products, time and/or cost savings, and service improvements. Provide a detailed description of how the proposed solutions will contribute to the development or enhancement of a records management program. 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. If you are proposing to redo a project funded under a previous LGRMIF grant 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. [10 points]

### 3. Plan of Work [25 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. Include detailed information on 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. If you are required to be M/WBE compliant, be sure to factor into your plan any time needed to meet the M/WBE requirements. **Do not itemize and justify any expenditures here. Discuss and justify expenditures in the Budget Narrative only.** [10 points]
- b. **Grant Requirements:** Address each of the project category requirements. If applying for a Shared Services grant, address those requirements here as well. If your application combines elements of two or more grant categories, address the requirements of each. **In addition, all applicants must address the following:**

#### **Records Focus**

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

- i. 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.

- ii. 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.
- iii. 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.

### **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 be obtained from our workshops/webinars, publications, or advice from a State Archives' Records Advisory Officer (RAO). For your convenience, references to applicable written standards and guidelines are included in the descriptions for most project categories.

### **Program Support**

Provide concrete information to demonstrate how you will maintain and expand the results of this project long term without additional LGRMIF grant funding. If additional grant funding will be required in the short term, explain why.

### **Supporting Documentation**

Applicants are responsible for ensuring they submit the documentation required by their specific project category. Examples of such documentation include needs assessments, responses to RFQs (Request for Quotes), floor plans and shelving layouts, and conservation treatment proposals. If possible, be sure to obtain electronic versions of any documentation from a vendor.

- i. 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.
- ii. Request for Quotes (RFQ). An RFQ is required **by all applicants** 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 all activities** 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
- iii. Detailed Vendor Quotes. Three quotes are required whenever an RFQ is required, except that only one quote is needed in cases where services or products will be procured:
- off state contract
  - off NYC's Dept. of Citywide Admin. Services (DCAS) Citywide Requirements 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 for each specific task to be performed by the vendor. Each quote should also include vendor or contractor qualifications. **Quotes pertaining to Document Conversion and Access projects must break down costs according to specific activity, including per-image scanning costs, indexing, prep work, quality control, and all other tasks performed by the vendor.** 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.

- iv. 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).
- v. 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).
- [15 points]

#### 4. Local Government Contributions [5 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]

**5. Project Budget [20 points]**

- a. In the budget narrative itemize and justify **each** proposed project expenditure 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, but instead provide a justification specific to the proposed project. 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, e. g., software and professional services, you should list and justify each item. [20 points]

Total At-Home Score	0
Bonus Scoring (for funding priority)	0
Total At-Home + Bonus Scoring	0
Recommendation (F, M, or N):	
Total Amount Requested:	\$0
Recommended Amount:	\$0

## 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

<b>Denis P. Meadows, Director</b> <b>Government Records Services</b> <a href="mailto:denis.meadows@nysed.gov">denis.meadows@nysed.gov</a>	
<b>David F. Lowry, Manager</b> <b>Local Government Advisory Services</b> <a href="mailto:david.lowry@nysed.gov">david.lowry@nysed.gov</a>	<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>
<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>	
<b>Local Government Advisory Services</b>	
<b>Villages and Cooperative Extensions</b>  Phone: (631) 521-9796	<b>Lorraine Hill, Records Advisory Officer</b> e-mail: <a href="mailto:lorraine.hill-campbell@nysed.gov">lorraine.hill-campbell@nysed.gov</a>
<b>Counties and Miscellaneous Governments</b>  Phone: (518) 473-6803	<b>Monica Hauck-Wheaton, Records Advisory Officer</b> email: <a href="mailto:monica.hauck-wheaton@nysed.gov">monica.hauck-wheaton@nysed.gov</a>
<b>Cities, Fire Districts, and New York City Municipal Agencies</b>  Office phone: (518) 486-4823 Cell phone: (518) 925-3027	<b>Maria McCashion, Records Advisory Officer</b> e-mail: <a href="mailto:maria.mccashion@nysed.gov">maria.mccashion@nysed.gov</a>
<b>Towns</b>  Phone: (518) 330-7987	<b>Michael Martin, Records Advisory Officer</b> e-mail: <a href="mailto:michael.martin@nysed.gov">michael.martin@nysed.gov</a>
<b>School Districts, BOCES, Community Colleges, and Teacher Centers</b>  Phone: (518) 322-2555	<b>Sarah Durling, Records Advisory Officer</b> e-mail: <a href="mailto:sarah.durling@nysed.gov">sarah.durling@nysed.gov</a>
<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>	

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