



DOCUMENTARY HERITAGE PROGRAM ♦ 9C71 Cultural Education Center ♦ Albany, NY 12230 ♦ 518-474-6926

DOCUMENTARY HERITAGE PROGRAM

Grant Application Guidelines and Resources 2011-2012

**Application Deadline
Postmarked by Tuesday, February 1, 2011**



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

All 2011-2012 DHP Grant Application Forms can be found at the end of these Guidelines and on the Documentary Heritage Program Grants page of the New York State Archives' website, <www.archives.nysed.gov>. Use the Grant Project Application Checklist to insure that you are submitting all the required forms and that your application is complete.

Section I

DHP Grant Application Information

Introduction

The Documentary Heritage Program (DHP) is a statewide program established by law <http://www.archives.nysed.gov/a/records/mr_laws_el140.shtml> to provide financial support and guidance to not-for-profit organizations including archives, libraries, historical societies, museums, and other organizations that hold, collect, and make available historical records. The New York State Education Department's (NYSED) 2011-2012 appropriation for DHP is \$461,000. This includes \$369,000 for regional services and \$92,000 for DHP Grants. DHP grants are designed to encourage more comprehensive documentation of New York State's history and culture by supporting projects that identify, survey, collect, and make available important records relating to groups and topics traditionally under-represented in the historical record. DHP is administered by the New York State Archives, a unit of the NYSED.

For further information about DHP grants, contact:

Pamela Cooley

Documentary Heritage Program, New York State Archives

Phone: 518-474-6926

Email: dhs@mail.nysed.gov

We suggest that you review the entire booklet before beginning work on your application. The mailing address for completed applications is provided on page 24.

Timetable for DHP Grant Projects

- | | |
|----------------------------------|--|
| October -December, 2010 | Regional grant application information sessions held. For details contact the DHP Regional Archivist for your county. (See page 27) |
| Friday, January 14, 2011 | All questions about proposed DHP Grants received by this date; general questions and answers will be posted on Friday, January 21, 2011 to the NYSA website at < www.archives.nysed.gov/a/grants/grants_dhp_faq.shtml > |
| Tuesday, February 1, 2011 | Grant application due date; this is a postmark deadline |
| Thursday, June 30, 2011 | <i>Tentative</i> date for notification of grant awards mailed to successful applicants |
| Friday, July 1, 2011 | Grant projects may start (pending approval by NYS Office of State Comptroller) |
| Friday, January 13, 2012 | Midterm report due |
| Saturday, June 30, 2012 | All work on grant projects must be completed |
| Tuesday, July 31, 2012 | Final narrative and expenditure reports are due |

Range of Grant Amounts

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

Change for 2011-2012

The Grant Project Type -Archival Needs Assessment has been eliminated. If your repository requires a needs assessment, contact your Regional Archivist for assistance. New York's nine Regional Archivists are listed in the Resource Section (Section III) of these Guidelines.

Eligibility Criteria

Not-for-profit organizations

Eligible applicants include not-for-profit community organizations, archives, libraries, historical societies, and similar institutions within New York State and consortia or partnerships of such agencies. Also eligible are service providers such as historical service agencies, colleges and universities, professional associations, or other not-for-profit institutions or systems that provide services to historical records programs.

Institutions are eligible for grants only if they certify that they are:

- Chartered by the Board of Regents of the State of New York; or
- Accepted by the Board of Regents for filing under the not-for-profit Part (216) of the Education Law; or
- Registered with the Office of Charities of the New York State Department of State; or
- Granted not-for-profit status under Part 501(c)(3) of the United States Internal Revenue Code; or
- Part of an institution previously approved, in accordance with the Education Law, Part 6401, to receive Aid to Independent Colleges and Universities ("Bundy Aid").

A copy of the document proving certification of not-for-profit status must be included with this application.

SUNY/CUNY Institutions

SUNY/CUNY institutions are eligible with certain restrictions and should contact the DHP office for guidance.

Religious Institutions

Religious institutions with a religious affiliation should contact the DHP office to discuss general eligibility and whether the specific records involved in the project are eligible for funding.

If a partnership or consortium is applying for a grant, applicants must contact the DHP office for guidance.

Grant Project Types

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

Documentation

Documentation projects identify and ensure the systematic preservation of papers and records that shed light on the people, groups, events or changing political, economic or social conditions of New York State. The ultimate goal of a documentation project is to contribute to building a comprehensive and equitable historical record in repositories which make unique original source materials available to researchers and citizens. These materials enable us to better understand the present and to plan more intelligently for the future.

A documentation project typically consists of three phases—planning, surveying, and collecting—and usually takes at least two years to complete. The outline below describes the three phases and the work each typically entails. The phases often correspond to the years of a project—phase one in year one, etc.—but your work plan and timing should reflect the particular requirements of your project. It is strongly suggested that institutions interested in conducting documentation projects begin with the planning phase, and divide the work over at least two years (and therefore two grant applications).

Phase One: **Planning**

- Identify and assign project personnel and/or any consultants.
- Define the chosen topic and become familiar with its history.
- Establish an advisory committee that includes people who are knowledgeable about the topic, its current dynamics and history, and about archives. (When working with under-documented population groups it is critical to the success of the project to include members of the community familiar with the group's history and culture.)
- Develop a contact list that identifies individuals and organizations that are or have been involved in the topic being documented and are likely to have created records.
- Develop and test a survey instrument to gather significant details about the groups of records held by individuals or organizations.
- Begin planning for the eventual placement of the valuable historical records surveyed in this project in an appropriate repository.
- Publicize your documentation effort.
- Create a work plan for Phase Two.

Phase Two: **Surveying:**

- Conduct the survey and assess the results.
- Determine which groups of records surveyed have long-term historical value and should be saved.
- Using the standard archival format known as MARC (MACHINE Readable Cataloging), write archival descriptions of the groups of records that have long-term historical value. (These descriptions will be submitted with your final report.) If you have questions about MARC contact the DHP office.

- Foster relationships between likely donors of records and an appropriate repository to which the valuable historic records surveyed in this phase will eventually be transferred.
- Publicize your documentation effort.

Phase Three: **Collecting**

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

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

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

The New York State Archives publication, *Documentation Basics: A Guide to Planning and Managing Documentation Projects* (Pub #79) offers detailed guidance in carrying out a documentation project. It is available on the New York State Archives website <www.archives.nysed.gov/a/records/mr_pub79.pdf>. If you have questions about your documentation project please contact the DHP office or your DHP regional archivist for assistance.

Requirements

- A Cost Share of at least 20% of the Total Project Cost is required for Documentation projects. All cost sharing contributions **must directly support** project activities and outcomes. See the [Cost Sharing Form and Instructions](#) for more information.
- All descriptive work (typically the MARC records created in the second phase of the Documentation project) must conform to archival standards. If you have questions about MARC records, contact the DHP office.
- In all three phases, grant recipients must publicize their Documentation project and should use the DHP credit line provided on page 14 in all publicity material relating to the project.

Arrangement & Description

Arrangement and description are the processes used to gain physical and intellectual control over materials held in historic records repositories. **Arrangement** is the process of organizing materials with respect to their provenance and original order, to protect their context and to achieve physical and/or intellectual control over the materials. **Description** is the creation of an accurate representation of a unit of archival material by the process of capturing, collating, analyzing, and organizing information that serves to identify archival material and explain the context and records system(s) that produced it. The objective of archival description is the creation of access tools that assist users in discovering desired records.

Since it is required that all access tools created as a result of the project must meet archival standards, applicants are encouraged to work with the DHP office in developing the records access components of the grant application. See “Requirements” below for further information.

Applications are also invited for what are called informally “circuit rider” projects. “Circuit rider” projects involve hiring an experienced archivist with expertise in arrangement and description who will work with several community organizations or repositories that have high priority historical records.

Requirements

- A Cost Share of at least 50% of the Total Project Cost is required for Arrangement & Description projects. All cost sharing contributions *must directly support* project activities and outcomes. See the [Cost Sharing Form and Instructions](#) for more information.
- The records in an Arrangement & Description project must be held in an historical records repository or be transferred to an historical records repository by the end of the project. The records should fit within the repository’s Collection Policy.
- The records in an Arrangement & Description project should be rich in content, have high research value, and be of historical significance within New York State.
- Arrangement & Description projects must result in access tools which conform to archival standards. These tools include a MARC record and a finding aid. Further information on archival standards may be found in the State Archives publication: *Guidelines for Arrangement and Description of Archives and Manuscripts* (Pub. #SP02). You may also contact the DHP office for a sample MARC record and a finding aid template.
- Electronic versions of the MARC records created in Arrangement & Description projects must be accessible through the repository’s website, an online catalog, or the State Archives’ HDI (Historic Documents Inventory). If you have questions about HDI, contact the DHP office. Finding Aids created in Arrangement & Description projects should be accessible electronically as well, providing the repository has the capacity to do this.
- Grant recipients should publicize their Arrangement & Description project and should use the DHP credit line provided on page 14 in all publicity material relating to the project.

Ineligible Projects

Several types of projects are not eligible for funding under the DHP. Six of these are described below. When there is doubt as to eligibility, contacting the DHP office is advisable.

Non-New York State focus

Projects that do *not* demonstrate a primary New York State focus will not be considered for funding. This includes documenting organizations based in New York but whose primary focus is regional, national, or international.

Digitization

The DHP does not support projects to create digital records. However, documentation and arrangement & description projects that involve existing digital material are eligible for funding.

Item-level description and indexing

The DHP does not support projects that involve either the item-level description or the indexing of historical records.

Oral history and videotaping

The DHP does not support projects to create oral history audio or video recordings, or to transcribe oral history recordings. However, the documentation, arrangement, and description of such materials are eligible for consideration.

Newspapers

Since newspapers are not considered historical records within the DHP law, DHP supports projects that include *only modest* quantities of newspaper scrapbooks or clipping files as part of a broader collection of historical records.

Preservation

The DHP does not fund preservation (i.e. physical work to conserve, restore, or repair records; or to microfilm, digitize, or otherwise reproduce records primarily for preservation purposes). However, the New York State Library's Conservation/Preservation Program provides support for libraries and other organizations to encourage the proper care and accessibility of research materials, to promote the use and development of standards for conservation/preservation work, and to support the growth of local and cooperative preservation activities. If your institution could benefit from any of these activities, visit the New York State Library's website <www.nysl.nysed.gov/libdev/cp/> or contact grants officer Barbara Lilley at 518-486-4864.

Projects of applicants who have not submitted required reports for previous DHP grants

Applications from applicants who have not submitted required DHP reports for grants received over the past five years (i.e. 2006/2007 - 2010/2011) will not be submitted for review.

Topical Priorities

In order to insure that the DHP addresses the New York State Historical Records Advisory Board's mandate to identify, survey, collect, and make available historical records that relate to

under-documented groups or subjects, the State Archives has identified and given priority to specific topical areas for DHP funding. These topics are listed in Priority Levels One and Two below. Although applications for projects that focus on *any* under-documented group or subject are eligible for funding, they will receive fewer points during grants review than those in Levels One and Two.

Applications are scored, in part, based on the priority level of the topic, with the highest score going to projects that address Level One topics. They are also scored on how effectively applicants make the case that their project fits within one (and only one) topical priority. Applicants are cautioned to make their case for a particular priority topic carefully. A poorly justified case for a priority Level One topic will receive a lower score than a well-presented case for a priority Level Two topic.

Priority Level One

Population groups in the 20th and 21st centuries

New York's history during the 20th and 21st centuries has been shaped substantially by the arrival, emergence, and growth of a great diversity of groups united in varying degrees by shared culture, ethnic or racial background, socioeconomic status, beliefs or values, or experience. Most groups include both concentrations of individuals in neighborhoods or communities and individuals spread in small clusters throughout the state. Most will also share and nurture particular ways of life or other cultural expressions that help define the group and shape its contributions to New York's history.

These population groups include, but are not limited to:

- People of African, Latino/a, Native American, European, or Asian/Pacific-Islander descent who have immigrated to rural or urban New York State or have moved within the state in search of more stable economic, political, and/or social conditions.
- Groups whose members have long been in New York but who have emerged and coalesced as active communities during this period, for example, the gay/lesbian/bisexual/transgender community.

Projects should focus primarily on records that document the social, cultural, political, and economic lives of these communities and their engagement with the broader history and culture of the state.

Applicants who have questions about whether a particular group fits within this category should contact the DHP office before beginning work on an application.

The State Archives has published *A Guide to Documenting Latino/Hispanic History & Culture in New York State* (Pub. #67) which can be used as a model for how to create a comprehensive historical record of a population group. A summary of the guide is available on the New York State Archives website

<www.archives.nysed.gov/a/research/res_topics_pgc_latino_plansum.shtml>. For a paper copy of the complete guide, email dhs@mail.nysed.gov.

Economic change in the 20th and 21st centuries

New York's history over the past century has encompassed vast and sometimes turbulent changes in the economic life of the state, such as the decline of heavy industry, the changes in

agricultural technology and practice, and the explosion of tourism. These changing economies, whether of individual towns and cities, various regions, or the state as a whole, are one of the defining themes of New York's history.

Projects in this topical area should focus on changes in New York State's economic base or in agriculture, de-industrialization, or on efforts at economic revitalization including the development of new industries and businesses in the State.

Projects in this topical area may involve working with records of businesses that have been dissolved or absorbed by other businesses. Also, projects may involve records of businesses that are currently operating, provided these records are, or are intended to be, accessioned and made available in a publicly accessible not-for-profit historical records repository.

The following are examples which could be included in this topical area: the decline of manufacturing in a region; the loss of family farming and growth of agribusiness; or the emergence of new industries such as tourism, the arts and culture, health care, higher education, and/or high technology.

World Trade Center disaster, September 11, 2001

The significance of the World Trade Center disaster on September 11, 2001 is incalculable. Although the media has stressed the impact of the terrorist attacks on the nature of war and on the cultural climate of this country, the disaster also has had immense and lasting effects on the social, economic, cultural, and political life of New York City and the greater New York region.

Documenting these social, economic, cultural and political impacts is the challenge that projects in this topical area should address. Specifically, projects should focus on relevant records of organizations that were affected by the attacks directly or whose records were affected; or organizations whose missions were affected during the course of the response and recovery.

Education policy

Universal K-12 education is the foundation of citizenship in a democracy and essential to the social, economic, and cultural health of our society. Although the policies that establish and govern the practice of education in our schools are determined in large part by governmental entities at the local, state, and federal levels, citizens acting through a range of non-governmental groups and associations influence education policymaking in important ways.

Projects in this topical area should focus on the development, implementation, and assessment of educational policy in New York State as it relates to K-12 public and private education.

The following kinds of organizations might be included under this topical area: PTAs, education advocacy groups, private schools, home-schooling organizations and networks, teachers' unions, or professional associations.

NOTE: Many of the state's educational organizations, including local school districts, are part of state or local government. Although not available through DHP, funding for projects related to local government records is available from the State Archives' Local Government Records Management Improvement Fund (LGRMIF) grants program. Visit the State Archives website <www.archives.nysed.gov/a/grants/grants_lgrmif.shtml> for more information.

Priority Level Two

Environmental affairs

The past half century has seen human impact on the environment emerge as one of the most critical issues of our age, and citizens, scholars, organizations and governments in New York have played enormously important roles in this history, often providing leadership for the nation and the world. But much of the documentation essential to a full and accurate telling of this remarkable history in New York is being lost.

Documenting the relationship, past and present, of humankind to the natural environment in New York State is the challenge that projects in this topical area should address. This vast topic includes the use, management, and development of natural resources; the conservation of natural resources and related environmental issues; the effect of environmental hazards on human populations and other life forms; and/or the development and implementation of public policy and planning related to the environment.

Projects may include the records of businesses, industries, non-governmental and community organizations, ethnic groups, or individuals; especially under-documented activities of individuals and organizations with very different points of view.

Projects in this topical area should reflect the priorities and criteria outlined on pages 16-18 in *A Guide to Documenting Environmental Affairs in New York State* (Pub. #73), published by the State Archives. A summary of the guide is available on the State Archives website <www.archives.nysed.gov/a/research/res_topics_env_plansum.shtml>. For a complete paper copy of the guide, email dhs@mail.nysed.gov.

Mental health

The story of mental health in New York State is a compelling and critical part of our history as New Yorkers. However, significant elements of that history are in danger of being lost. This is the issue that this topical area was designed to address. Projects in this area should focus on the records of organizations and programs that promote mental health in New York State.

Such organizations and/or programs may be involved with the following: treatment and care for recipients of mental health services (through research, intervention, and education); protection of the rights of mental health consumers (advocacy groups, government watch-dog groups); assistance in coping with the problems of daily life for both individuals with psychiatric histories and their caregivers; and training of mental health professionals.

Projects in this topical area should reflect the criteria and priorities summarized in *A Strategic Plan for Documenting Mental Health in New York State*, a publication of the State Archives. A summary of the guide is available on the State Archives website <www.archives.nysed.gov/a/research/res_topics_health_mh_plansum.shtml>. For a complete paper copy of the guide, email dhs@mail.nysed.gov.

Priority Level Three

Other under-documented topics in New York State history

Projects in Level Three address collections of significance to the history of New York, either statewide or local. These collections should directly relate to events, organizations, individuals, or topics not well documented in the historical record, and not covered in the first two priority levels.

Application Due Date

The complete application package must be postmarked on or before Tuesday, February 1, 2011. Applications postmarked after February 1st will not be submitted for review.

Grant Awards Notification

Notification letters are prepared and sent to all applicants as to the status of their application. These letters usually are sent at the end of June. If the applicant receives modified or no funding, a summary of reviewers' comments will be included with the notification letter.

Contract Award Protest Procedures

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

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

The protest letter must be filed with:

NYS Education Department
Contract Administration Unit
89 Washington Avenue, Room 505W EB
Albany, NY 12234

3. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with the Office of the State Comptroller (OSC) when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.
4. The NYSED CAU may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

Required Reports and Schedule of Payments

A mid-term progress report (usually due at the end of January) and final narrative and fiscal reports (due by July 31st) are required from grant recipients. Reports should be submitted in a timely fashion since they trigger award payments.

Payments will be made as follows: When the Final Award Notification is mailed out, 50% of the award is released. Up to 40% of the award amount is paid in increments as the recipient expends funds and submits forms for additional payments. The final 10% of the award amount is paid at the end of the project following receipt by DHP of satisfactory final reports.

Publicity/Credit Line

In all publicly available products that result from your DHP-funded project, please credit the Documentary Heritage Program as a source of funding. Such products include finding aids, MARC records, promotional literature, press releases, posters, etc. as well as web pages with information about the funded DHP project. For help with marketing your project, contact the DHP office.

The credit line that is required on all products and public documents produced by the project should read: "This project [or supply the project name] was made possible in part by a grant from the Documentary Heritage Program of the New York State Archives, a program of the State Education Department."

Section II

Preparing an Application

Applicants are encouraged to call the DHP office before preparing an application if they are applying to the DHP for the first time or have questions about eligibility or other aspects of the application (see contact information on page 4). All questions must be received no later than Friday, January 14, 2011. Generally relevant questions and their answers will be posted to the New York State Archives website <www.archives.nysed.gov/a/grants/grants_dhp_faqs.html>, which will be updated throughout the application period, with final version posted on Friday, January 21, 2011. Information about five (5) free New York State Archives publications that may be useful in preparing your application can be found on page 29.

Parts of the application

NOTE: The following DHP Grant Application cover sheet, checklist and forms can be found on the Documentary Heritage Program Grants page of the New York State Archives' website, <www.archives.nysed.gov>. Use the [Application Checklist](#) to insure that you are submitting all the required forms and that your application is complete.

- **Application Cover Sheet** (for signature information, see below)
- **Application Checklist** (use to ensure that you send all the required documents)
- **Payee Information Form**
- **Standard Data Capture Form**
- **Application Narrative Form**
- **Cost Sharing Form and instructions**
- **Budget Category & Narrative Forms and instructions**
 - Salaried for Professional Staff: Code 15
 - Salaries for Support Staff: Code 16
 - Purchased Services: Code 40
 - Supplies, Materials, and Equipment costing less than \$5,000: Code 45
 - Travel Expenses: Code 46
 - Employee Benefits: Code 80
- **Budget Summary Form FS-20** (for signature information, see below)
- **Proof of Not-for-Profit Status** (see page 5 for a list of eligible designations)
- **Attachments** (required and/or if applicable - for example: letters of support, letters of justification, resumes, job descriptions. For a full list, see the [Application Checklist](#).)

Applicants must submit one (1) signed original and seven (7) copies of the application. Signatures are required on page 2 of the [Application Cover Sheet](#), on the [Payee Information Form](#), and on the [Budget Summary Form FS-20](#). All original signatures must be written *in blue ink*. A complete list of the material which must be included in an application package can be found in the [Application Checklist](#). The checklist also describes the order in which the documents in each application are to be collated. Incomplete applications or those that are out of order or not collated will not be reviewed.

Grant Application Cover Sheet instructions

The Application Cover Sheet should be completed using the following guidelines:

- *Chief Administrative Officer* – The Chief Administrative Officer is the person who has authority to commit the organization to carrying out the project.
- *Project Director* – The Project Director will manage the project, insure reporting is done in a timely fashion, and attend a meeting at the NYS Archives in Albany in September.
- *New York State Assembly and Senate Districts* – Indicate numbers for the Assembly district and the Senate district in which your main office is located. For district maps and numbers, visit the NYS State Legislative Task Force on Demographic Research & Reapportionment website <www.latfor.state.ny.us/maps/>.
- *Federal ID Number* – All applicants must enter their Federal ID Number.
- *Charities Registration Number* – Supply your Charities Registration Number if you have one. If you are exempt from this requirement, fill out Section III of the Payee Information Form.
- *Grant Project Type* – Select *only one* Project Type. The predominant project type should be selected in projects which combine Documentation with Arrangement & Description.
- *Grant Project Topical Priority* – Check *only one* priority area. Projects should focus on one priority area. However, if your project also fits within another area, you may point that out in the Application Narrative.
- *Grant Project Title* – Your Grant Project Title should include the type of grant for which you are applying and the subject, records, and/or institution involved (i.e. “Documentation of the Latino/a Population of Franklin County,” or “Arrangement and Description of the Michael Broderick Family Papers.”)
- *Grant Project Summary* – This summary is important because it provides grant reviewers with their first impression of your institution and your grant proposal. Be sure to describe the following in this summary: (1) the project and the records involved; (2) how the work will be carried out, and (3) the outcomes of the project. Limit the summary to the space provided on the form (10 pt font, 225-word limit). Do not attach additional pages.
- *Signature* – The original signature of the Chief Administrative Officer (see *Chief Administrator* above) must appear on the Grant Application Cover Sheet in *blue* ink. His/her original signature must also appear on the Budget Summary Form FS-20. A signature provided “on behalf” of the Chief Administrative Officer is acceptable only if a specific designee has been authorized by the organization to sign in the absence of the officer. If this is the case, the designee should sign his/her own name and explain, in an attached Letter of Explanation on organization letterhead, why the Chief Administrative Officer is unavailable to sign.

For **Partnership Applicants** (if applicable)

A partnership or consortium of organizations may collaborate on a project. Applicant information for all collaborative partners must be provided. Please submit multiple copies of the Grant Application Cover Sheet to document all partner organizations.

Payee Information Form instructions

The Payee Information Form is used to establish an identifying number that enables organizations to receive funds from the State Education Department. An online version of the Payee Information Form is available at <www.oms.nysed.gov/cafe/forms/PIform.pdf>.

The Payee Information Form should be completed using the following guidelines:

- *Section II: Agency Profile: Question 2* – A sectarian organization is defined as one which is affiliated with a particular religious group. A non-sectarian organization has no religious affiliation.
- *Section II: Agency Profile: Question 3* – “Chartered or incorporated” here means created by the New York State Board of Regents.
- *Section III – Article 7-a of the Executive Law* requires that, with certain exemptions, non-profit organizations which receive funding of \$25,000 or more in total from governmental agencies must register with the Department of State as a charitable organization. If you have questions concerning Exemption Categories, contact the DHP office.
- *Section IV* – Be sure to complete this section with an original signature of the Chief Administrative Officer in *blue* ink.

Standard Data Capture Form instructions

The Standard Data Capture Form should be completed keeping in mind the definitions below. In the case of applications from SUNYs or CUNYs, applicants should complete this form in their own name and not that of “The Research Foundation”.

- *Legal Name of Institution* - as contained on a charter, license or other such document
- *Date Established* - the date or year that your institution was originally established
- *Physical Address* - the primary address where your institution is located
- *County of primary location* - the county where your primary address is located
- *School District of primary location* - the name of the school district where your primary address is located. A list of New York school district names can be found at <www.orps.state.ny.us/sdiv/schooldistcodes.htm>.

Application Narrative instructions

The application narrative provides the applicant with an opportunity to present a comprehensive description of the proposed project. We have provided an Application Narrative Form with which to compose your narrative in a maximum of seven (7) pages.

The application narrative should include a description of the records involved, of the nature of the project, and of how it will be carried out and evaluated. It is to your advantage to be concise and straightforward, and to provide only information that is relevant to your organization and to your project.

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

I. Project Description [*maximum 30 points*]

I a. Description of the Records [*10 points*]

Provide information about the records and their significance according to the Project Type of your proposal. Specific instructions for the two Project Types (Documentation and Arrangement & Description) follow.

Documentation (The amount of detail you can provide will depend on the project and whether you are applying for Phase One, the planning phase, or a subsequent phase.)

- Describe the topic of the documentation project
- Provide the following descriptive information about the records (if the application is for planning or surveying records and you don't yet have specific information about the records or the organizations or individuals that created them, indicate what you anticipate finding):
 - the individuals and/or organizations who have created the records
 - the datespan of the records
 - the quantity of records (in cubic feet; see the *Table of Cubic Equivalent*s on page 30)
 - the informational content of the records
- Describe the significance of the records including their research value, their potential audience and their importance in documenting New York State history.
- Indicate how and where the records will be made accessible and the anticipated level of use they will receive as a result of the project.

Arrangement & Description

- Provide the following descriptive information about the records:
 - the collection or series title(s), when possible
 - the individuals and/or organizations who have created the records
 - the datespan of the records
 - the quantity of records (in cubic feet; see the *Table of Cubic Equivalent*s on page 30)
 - the informational content of the records
- Describe the significance of the records including their research value, their potential audience and their importance in documenting New York State history.
- Indicate how the records will be made accessible.
- Describe the current level of use and how the records will receive broader or more intensive use as a result of the project.

Arrangement & Description “Circuit Rider” Projects

- Identify the participating organizations or repositories.
- Describe the collections using the list in *Arrangement & Description* above.
- Describe the significance of the records including their research value, their potential audience and their importance in documenting New York State history.
- Attach letters of commitment from all the participants. These letters should express the participant's intention to participate and should specify the cost share each will furnish.

Required Attachments for Part I a.

- For all **Arrangement & Description** projects: A sample finding aid, created by your repository or by your project's Archival Consultant, must be provided. You may either include the URL to a sample finding aid in your Project Description or include a paper copy of a sample finding aid in your application package. This paper copy must be five pages or less in length. If the finding aid you wish to use is longer than five pages, attach a sample of five pages from the finding aid, being sure the sample includes the critical elements of a standard finding aid.
- For **Arrangement & Description "Circuit Rider"** projects: Attach letters of commitment from all the participants. These letters should express the participant's intention to participate and should specify the cost share each will furnish.

I b. Topical Priority [15 points]

Make the case that the project for which you are applying fits within the one topical area indicated on your Application Cover Sheet. Applications are scored based on the priority level of the topical area as follows: Priority One [11 to 15 points], Priority Two [6 to 10 points], and Priority Three [1 to 5 points]. See pages 9-12 for further information. If your project has a significant impact in another topical area (for example, a project to document mental health organizations in a predominantly Latino community), you may indicate this in your description, but the point awarded for priority will be based only on your main topical priority.

I c. Need for Project [5 points]

Explain the importance of the project, why you are applying at this time, why outside funds are needed, why the project cannot be carried out with funding already available, and what will happen if the funds are not provided.

II. Outcomes and Evaluation *[Each of the four Outcome Statements/Evaluations can achieve a maximum of 3.75 points for a maximum total of 15 points]*

This part of the application was created to capture qualitative information about the DHP Grants Program and as a way to measure the benefits of DHP funded projects. This process, which requires each applicant to respond to the same set of outcomes, results in consistency of qualitative data with which DHP staff can evaluate the program and improve its effectiveness. This process also will help applicants to better conceive of, implement and evaluate their projects so that the outcomes will meet archival standards and be of benefit to historical records repositories, their communities and their users.

Here you should describe how your project will lead to each of the intended and predictable outcomes, and how you will monitor and measure your progress in achieving each of those outcomes. Some of your predicted outcomes (specifically 4 and 6) may not be achieved during the grant period. In these cases, your narrative should describe the methods you will use to evaluate your success in achieving these outcomes over the long term.

See pages 32-34 to guide you in formatting and writing your Part II Outcomes and Evaluation narrative.

II a. Outcomes

The outcomes described here were devised by NYSA as a way of evaluating the effectiveness of the Documentary Heritage Program. In Part II of your narrative, you should develop your own specific versions of these DHP Outcomes, being sure to address the concepts set forth below.

All applicants must write outcome statements for DHP Outcomes 1 and 2 below as well as for the two specific outcomes relevant to their project type. **Documentation** projects must address DHP Outcomes 1, 2, 3 and 4. **Arrangement & Description** projects must address DHP Outcomes 1, 2, 5 and 6.

Your outcome statements should serve as predictions of how your project will look at its completion. They show how each DHP Outcome will be expressed in your project and should focus on what you intend to achieve that can be evaluated. At the end of the project these predictions will give you, and DHP, a systematic method of evaluating the extent to which your project has achieved its intended results.

Outcomes for all projects

DHP Outcome 1: People who are involved in or learn about the project gain increased awareness of the value of historical records and the importance of organizations that preserve and make them accessible.

Such people may include staff and volunteers working on the project; the leadership, board, patrons, and funders of the sponsoring organization; community organizations and individuals interested in the subject matter of the records; teachers and students; civic and political leaders; media representatives; and individuals worldwide who visit the organization's website or learn about its records online. You do not need to address your project to all these groups. Select those, or others not mentioned here, that are appropriate and important to your project.

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

Documentation projects

DHP Outcome 3: Records of New York's underdocumented population groups and topics not currently in historical records repositories are identified and surveyed.

DHP Outcome 4: The historically valuable records identified and surveyed during the project are donated to an appropriate historical records repository and added to its collection.

Arrangement & Description projects

DHP Outcome 5: Access tools created as a result of this project are accessible online and locally, and potential users are aware of their availability.

DHP Outcome 6: The access tools and the records they describe are used by researchers.

II b. Evaluation

Project evaluation lets you know whether you have achieved the outcomes you predicted and it provides information to help you improve future projects. It also provides information to the DHP about your work, and helps us to guide future grantees and improve the effectiveness of the program. Be sure that the evaluation activities mentioned in this part are accounted for in your Plan of Work (Part III a).

III. Project Implementation *[maximum 25 points]*

III a. Plan of Work *[15 points]*

The plan of work is the heart of your project narrative. It should describe the work that will be undertaken to complete the project on time (by June 30, 2011) with the personnel, facility, and other resources available; and should include the key elements for your Project Type referred to in the descriptions on pages 6-8. Be sure to:

- Describe the project activities (who, what, when, where) and how they will be accomplished. For **Arrangement & Description** projects, include the rate of processing in hours per cubic foot (see page 31 for more information).
- Include a timeline to show how the work will progress in a logical way over the course of the project.
- Describe the use of archival, standards and best practices which are appropriate to your project.
- Describe the archival policies, bibliographic and environmental controls, and accessibility of the holdings, for the project's historical records repository.
- Briefly discuss the results of any previous funding that directly relates to this specific project.

III b. Key Project Personnel *[10 Points]*

For all key project personnel:

- Describe qualifications with regard to education/training and experience for each.
- Describe project time commitment for each.
- Indicate what role each will play
- Indicate how each will be paid - whether by the applicant organization or with DHP grant funds.
- Attach resumes and applicable job descriptions.

For **Documentation** project Advisory Committee members:

- Attach a list of individuals who have agreed to serve on your Advisory Committee. The list should include member's name, affiliation, and a brief description.
- Resumes are not required for Advisory Committee members.
- If the particular advisors cannot be identified in advance, indicate what groups or skills will be represented on the committee.

Definitions:

- *Key Personnel* – Key personnel are individuals who work *directly* on the project. They can include staff, hired assistants and consultants to be paid from grant funds, and staff or volunteers whose time will be contributed by the applicant organization.
- *Project Director* – Every project must have a Project Director. Project Directors are expected to closely monitor and supervise all work carried out by consultants, contract workers and

project staff; and to insure that finances are being managed capably and that reporting is done in a timely fashion.

- *Advisory Committee (Documentation projects)* – An advisory committee is made up of individuals who come from the community or topic being documented, and should be convened to provide advice and guidance to the project. Applicants are encouraged to seek advice from their DHP Regional Archivist concerning members for their advisory committee.

Note:

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

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

Required Attachments for Part III b.

- Attach resumes, a maximum of three (3) pages in length each, for all key project personnel. Key project personnel could include: Project Director, Consulting Archivist, Archival Assistant, Project Interns, Project Specialists, etc.
- Attach job descriptions for every position that will be supported in whole or in part by grant funds.
- If you are proposing to use DHP funds to pay existing staff to work on grant project-related activities during their normal work hours, attach a letter to your application which justifies the need for such action, and explains how the replacement will take over the staff person's responsibilities and how they will be paid using non-grant funds.
- For **Documentation** projects: Attach a list of individuals who have agreed to serve on your Advisory Committee. The list should include member's name, affiliation, and a brief description; and be no more than one page in length. Resumes are not required for Advisory Committee members.

IV. Organizational Capacity [maximum 5 points]

An organization's capacity is its ability to sustain its efforts over time. This part provides you the opportunity to describe this capacity in terms of your proposed project.

IV a. Organizational Capacity

Briefly, provide the following information about the applicant organization:

- Indicate how the work of the project relates to your organization's mission.
- Demonstrate your organization's past experience and its current capacity as it relates to carrying out your proposed project.
- Describe your organization's intention to maintain and continue the work of the project.

Required Attachments for Part IV a.

- Attach the mission statement of the applicant organization.

Cost Sharing instructions

On the Cost Sharing Form, describe your organization's proposal for matching DHP funds with the appropriate percentage of the Total Project Cost. All cost share contributions must directly support project activities and outcomes. **Documentation** projects require cost sharing of at least 20% of the Total Project Cost. **Arrangement & Description** projects require cost sharing of at least 50% of the Total Project Cost. See the Cost Sharing Form and Instructions for further information.

Application Budget instructions

The budget forms provide the applicant with an opportunity to present a comprehensive description of project expenditures. Be concise and straightforward, and provide only information that is applicable to your organization and your project.

Grant reviewers will evaluate your application and assign points for each component. The highest score assigned will be 100, with a maximum of 25 points allocated to the budget.

Budget Category & Narratives and Budget Summary FS-20 [*maximum 25 points*]

Applicants should use the Budget Category & Narrative Forms to itemize their funding requests. There are unique forms for each of the six following categories: Salaries for Professional Staff: Code 15; Salaries for Support Staff: Code 16; Purchased Services: Code 40; Supplies, Materials, and Equipment costing less than \$5,000: Code 45; Travel Expenses: Code 46; and Employee Benefits: Code 80. On each form there are fields for itemized expenditures and a narrative.

In the narrative field of each applicable Budget Category & Narrative form, the applicant should briefly describe how the requested funds will be used and how they are appropriate, reasonable, and necessary to support the project activities and outcomes. In addition, the budget narratives should briefly describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided by the applicant. Applicants should only submit forms for the budget categories for which they are requesting funding.

The totals from each of the applicable Budget Category & Narrative forms should then be transferred to the appropriate field on page 2 the Budget Summary Form FS-20.

Also on page 2 of the Budget Summary Form FS-20 are fields to compute and enter *Indirect Costs* (Code 90). "Indirect cost" is broadly defined as central administrative costs and certain other organization-wide costs that are incurred in connection with a project, but that cannot be readily identified with the project. Applicants may request coverage of their indirect cost at a rate not exceeding 2.5 % of the total grant amount requested (excluding any grant funds requested for equipment).

An original signature of the Chief Administrative Officer *in blue ink* must appear on the Budget Summary Form FS-20.

If the project is accepted for funding, an approved copy of the Budget Summary Form FS-20 will be returned by NYSA Grants Finance to the contact person.

The above forms are the applicant's opportunity to provide a description of the proposed project expenditures. Reviewers will evaluate these forms and score points for each component. The highest score to be allocated to the budget is 20 points. Specific instructions for filling out each form are attached to the form.

Do not use the unique Budget Category & Narrative forms or the Budget Summary Form FS-20 to report your Cost Share (i.e. match). Use them only for the funds you are requesting from the DHP. Use the Cost Sharing Form to record your cost sharing information.

Ineligible Expenditures

Ineligible expenditures are listed in the instructions of the Budget Category and Narrative forms to which they pertain. When in doubt as to expenditure's eligibility, contact the DHP office.

Submit your application by mail to:

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

Postmark deadline: Tuesday, February 1, 2011

For further information, please contact:

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

DHP Grant Application Review Process

In evaluating applications, reviewers base their recommendations on the grant narrative (including the Project Description, Outcomes and Evaluation, Project Implementation, and Organizational Capacity) and on the budget.

The highest score an application can receive is 100 points. A grant must score a minimum of 60 points to be considered for funding. After the reviewers have scored and ranked each application, they will meet as a group to review their rankings and, using their initial rankings as a guide, come to a consensus on a final score. Reviewers will then make a decision on each project proposal to:

- 1) fund the project fully;
- 2) fund it partially with modifications; or
- 3) not fund it at all.

Awards will be made in the order of score ranking until the available funds are depleted. NYSED anticipates that higher-scoring applications will be more likely to be fully-funded (less any unallowable costs), while lower-scoring applications will be more likely to receive partial funding. In the event of a tie score, the least costly proposal is funded over the more costly one.

DHP Grant Application Review Criteria

Reviewers will use the Criteria form on page 26 to evaluate the information in the application's narrative and in its budget.

DHP Grant Application Review Criteria

I. Project Description *[maximum 30 points]*

- a. **Records Description:** Provided requisite information about the records and effectively described their significance according to the Project Type of the proposal. *[10 points]*
- b. **Topical Priorities:** Made a convincing case that the project fit within one (and only one) of the topical priorities. *[Priority One: 11-15 points, Priority Two: 6-10 points, Priority Three: 1-5 points]*
- c. **Project Need:** Persuasively explained the need for the project and why funding from DHP at this time is essential to its accomplishment *[5 points]*

II. Outcomes and Evaluations *[maximum 15 points]*

Project Outcome Statements and Evaluations: Clearly articulated all four outcomes required for their Project Type and satisfactorily discussed the methods that would be used to evaluate each of their predicted outcomes.
Each of the four Outcome Statements and their corresponding Evaluations can achieve a maximum score of 3.75 points.

III. Project Implementation *[maximum 25 points]*

- a. **Plan of Work:** Clearly described the work that would be undertaken to complete the project on time, and with the personnel and other resources available. *[15 points]*
- b. **Project Personnel:** Provided requisite information for all key project personnel, including qualifications and the roles each would play. *[10 points]*

IV. Organizational Capacity *[maximum 5 points]*

Clearly described the organization's past experience and current capacity to carry out and sustain the project and how the work of the project relates to the organization's mission.

V. Budget *[maximum 25 points]*

- a. Clearly described how the proposed expenditures would be used to support project activities and outcomes, and convincingly demonstrated that the expenditures are appropriate, reasonable and necessary. *[15 points]*
- b. Clearly described how the expenditures and activities of the proposal are supplemental to and do not supplant or duplicate services currently provided. *[10 points]*

Section III
Resource Documents

Directory of Regional Archivists/Service Providers

Capital District Region

(Counties of Albany, Fulton, Hamilton, Montgomery, Rensselaer, Saratoga, Schenectady, Schoharie, Warren, Washington)

Susan D'Entremont
Regional Archivist
Capital District Library Council
28 Essex Street
Albany, NY 12206-2027
518-438-2500

Central New York Region

(Herkimer, Madison, Oneida, Onondaga)

Penelope Klein
Executive Director
Central New York Library Resources Council
6493 Ridings Rd.
Syracuse, New York 13206
(315) 446-5446

Hudson Valley Region

(Columbia, Dutchess, Greene, Orange, Putnam, Rockland, Sullivan, Ulster)

Kerry Durkin Sclafani
Coordinating Regional Archivist
Greater Hudson Heritage Network
2199 Saw Mill River Road
Elmsford, NY 10523
914-592-6726

Long Island Region

(Nassau, Suffolk)

Virginia Antonucci-Gibbons
Regional Archivist
Long Island Library Resources Council
627 North Sunrise Service Road
Bellport, NY 11713
(631) 675-1568

Metropolitan New York Region

(Five Boroughs of New York City, Westchester)

Dottie Hiebing
Executive Director
New York METRO Reference & Research
Library Agency, Inc.
57 East 11th Street, 4th Floor
New York, New York 10003-4605
(212)-228-2320

Northern New York Region

(Clinton, Essex, Franklin, Jefferson, Lewis, Oswego, St. Lawrence)

John Hammond

Executive Director
Northern New York Library Network
6721 US Highway 11
Potsdam, NY 13676
(315) 265-1119

Rochester Region

(Livingston, Monroe, Ontario, Wayne, Wyoming)

Preston Pierce

Regional Archivist
Rochester Regional Library Council
390 Packetts Landing
P.O. Box 66160
Fairport, New York 14450
(716) 223-7570

South Central New York Region

(Allegany, Broome, Cayuga, Chemung, Chenango, Cortland, Delaware, Otsego, Schuyler, Seneca, Steuben, Tioga, Tompkins, Yates)

Stephanie Lehner

Regional Archivist
Upstate History Alliance
11 Ford Avenue
Oneonta, NY 13820
(800) 895-1648
info@upstatehistory.org

Western New York Region

(Cattaraugus, Chautauqua, Erie, Genesee, Niagara, Orleans)

Heidi Bamford

Regional Archivist
Western New York Library Resources Council
Calspan Bldg., 2nd Floor
4455 Genesee St., POB 400
Buffalo, New York 14225-0400
(716) 633-0705, ext. 114

New York State Archives Publications

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

Documentation Projects

- *Documentation Basics: A Guide to Planning and Managing Documentation Projects, Pub #79* (Albany: State Education Department, 2003. 81 pages) This publication offers detailed guidance in carrying out Documentation projects. An accessible version can be found on the New York State Archives website at www.archives.nysed.gov/a/records/mr_pub79_accessible.html
- Applicants to Documentation projects relating to **environmental affairs** are urged to read *A Guide to Documenting Environmental Affairs in New York State, pub. #73* (Albany: State Education Department, 2001. 41 pages). Your project should reflect the priorities and criteria outlined in the guide. A paper copy of this publication may be requested from the State Archives by emailing ARCHPUBS@mail.nysed.gov.
- Applicants to Documentation projects relating to **Latino/a history and culture** are urged to read *A Guide to Documenting Latino/Hispanic History & Culture in New York State. Pub. #67* (Albany: State Education Department, 2002. 36 pages). Your project should reflect the priorities and criteria outlined in the guide. A paper copy of this publication may be requested from the State Archives by emailing ARCHPUBS@mail.nysed.gov.
- Applicants to Documentation projects relating the **mental health** topical priority are urged to read *A Strategic Plan for Documenting Mental Health in New York State. Pub. #69* (Albany: State Education Department, 2001. 17 pages). Your project should reflect the priorities and criteria outlined in this plan. A PDF version can be found on the New York State Archives website at <http://iarchives.nysed.gov/Publications/pubOrderServlet?category=ServicesHistRecs>.

Arrangement & Description Projects

- *Guidelines for Arrangement and Description of Archives and Manuscripts. Pub. #SP02* (Albany: State Education Department, 1995. 35 pages), by Kathleen D. Roe. These guidelines describe standard arrangement and description practices, including the MARC/AMC descriptive format. A paper copy of this publication may be requested from the State Archives by emailing ARCHPUBS@mail.nysed.gov.

Table of Cubic Foot Equivalents

For use in estimating the volume of records

File Folder Drawer	Cubic Feet
Letter	1.5
Letter Transfile	2.0
Legal	2.0
Legal Transfile	2.5
Ledger	3.0
Jumbo	4.0
Card File Drawers	Cubic Feet
3" x 5" x 26" long	0.2
3" x 5" x 14" long	0.1
3.5" x 7.5" x 26" long	0.4
3.5" x 7.5" x 14" long	0.2
4" x 6" x 26" long	0.5
4" x 6" x 14" long	0.2
5" x 8" x 26" long	0.6
5" x 8" x 14" long	0.3
6" x 9" x 26" long	0.8
6" x 9" x 14" long	0.4
8" x 8" x 26" long	1.0
8" x 8" x 14" long	0.5
Map or Plan Drawers	Cubic Feet
2" x 26" x 38" Flat	1.1
2" x 38" x 50" Flat	2.2
4" x 26" x 38" Flat	2.3
4" x 38" x 50" Flat	4.4
Map or Plan Tubes	Cubic Feet
2" x 2" x 38" Roll	0.1
2" x 2" x 50" Roll	0.1
4" x 4" x 38" Roll	0.3
4" x 4" x 50" Roll	0.5
Shelf Units	Cubic Feet
Letter, 36" long	2.4
Legal, 36" long	3.0
Boxes	Cubic Feet
10" x 12" x 15" (standard)	1.0
3.5" x 8" x 14" (tab)	0.2
3.5" x 8" x 24" (check)	0.4
6" x 6" x 36" (map)	0.7
6" x 6" x 48" (map)	1.0
4" x 4" x 48" (map)	0.4

For all other situations, use this formula:

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

Processing Rates

Below is a table based on the State Archives' general guidelines that can be used to determine an appropriate processing rate. Full processing includes flat-filing, simple preservation measures, arrangement, foldering, and boxing, and description.

In your narrative, be sure to provide justification and rationale based on the records themselves (their current arrangement and their content).

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

Outcomes and Evaluation

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

Outcomes should be predictions of the results of your project. Evaluations should be the activities you undertake to measure and assess your progress in achieving those results. See Part II of the Application Narrative Instructions, Outcomes and Evaluation, pages 19-21.

All Projects

DHP Outcome 1: People who are involved in or learn about the project gain increased awareness of the value of historical records and the importance of organizations that preserve and make them accessible.

Project Example: The Environmental Action Alliance's (EAA) Documentation project focuses on the records of three environmental organizations in the region, the EAA, the Land Trust, and Sustainable Solutions.

Project Outcome Statement 1a: Each organization's leadership team, its board of directors, and its members learn more about its organization and come to appreciate that its records contribute to the history of the environmental movement in the region and the state. They also understand why it is important that the History Society accession the records and make them accessible to students and teachers, environmental activists, and the public.

Evaluation 1b: The Environmental Action Alliance will survey the three organizations' leadership teams and members at the end of the project to assess what they have learned about the organizations and the value and potential uses of their records.

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

Project Example: The History Society's Arrangement & Description project focuses on the records of two Latino organizations.

Project Outcome Statement 2a: With DHP's Finding Aid Template as a reference and with the Consulting Archivist as a mentor, the archival assistant produces finding aids for the records of the Latino Cultural Center and the Hispanic Alliance that meet archival standards. Once the finding aids are finished, and again with the Consulting Archivist as a mentor, the archival assistant creates MARC records for each finding aid.

Evaluation 2b: The Consulting Archivist will regularly review the work of the archival assistant and make corrections as necessary to ensure the final products meet archival standards. The Project Director will submit drafts of the finding aids to the DHP office for review and address the DHP's recommendations, if any. The Consulting Archivist will review the MARC records and make corrections as necessary to ensure the final products meets archival standards.

Documentation Projects

DHP Outcome 3: Records of New York's underdocumented population groups and topics not currently in historical records repositories are identified and surveyed.

Project Example: Phase Two of the Environmental Action Alliance's Documentation project focuses on the records of three environmental organizations in the region, the EAA, the Land Trust, and Sustainable Solutions.

Project Outcome Statement 3a: The historically valuable records of the EAA, the Land Trust, and Sustainable Solutions are identified and surveyed.

Evaluation 3b: The Consulting Archivist will meet monthly with the Project Director to monitor progress of identifying and surveying the records, and adjust the target outcomes as needed. At the end of the grant period, the Project Director will assess the overall progress that was made, determine why outcome targets were missed or exceeded, and report on lessons learned.

DHP Outcome 4: The historically valuable records identified and surveyed during the project are donated to an appropriate historical records repository and added to its collection.

Project Example: Phase One or Phase Two of the Environmental Action Alliance's Documentation project focuses on the records of three environmental organizations in the region.

Project Outcome Statement 4a: Selection criteria for a repository in which to house the records of the three target organizations are developed, and an agreement with an appropriate repository to collect records that are covered by its acquisition policy is reached.

Evaluation 4b: The Consulting Archivist and Project Director will periodically review progress in developing selection criteria and identifying potential repositories, and will report the progress has been made by January in the DHP application for the next phase of the project. At the end of the grant period, the Project Director will review the project and assess the progress made, the reasons for outcomes that were missed or exceeded, and lessons learned.

Project Example: Phase Three of the Environmental Action Alliance's Documentation project focuses on the records of three environmental organizations in the region.

Project Outcome Statement 4a: The EAA, the Land Trust, and Sustainable Solutions donate their historical records to the History Society.

Evaluation 4b: The Consulting Archivist and Project Director will regularly monitor the status of the relationship with the History Society and take action as necessary. At the end of the grant period, the Project Director will review the project and assess the progress made, the reasons for outcomes that were missed or exceeded, and the lessons learned.

Arrangement and Description Projects

Project Example: The Local History Society's Arrangement & Description project focuses on the records of two Latino organizations.

DHP Outcome 5: Access tools created as a result of this project are accessible online and locally, and potential users are aware of their availability.

Project Outcome Statement 5a: The completed Latino Cultural Center and Hispanic Alliance finding aids are available in print at the Local History Society, and the MARC records are submitted to the State Archives for inclusion in the HDI. Publicity through the press, electronic media, and Latino community networks, and a public reception at the Local History Society raises awareness of these valuable records and of their availability to potential researchers and other likely users.

Evaluation 5b: The Project Director will meet regularly with the Consulting Archivist and the staff responsible for the public relations, publications, events, and the website to monitor progress and set goals. Attendance at the reception will be recorded; calls and emails about the Latino collections will be logged. The Society will maintain a clipping file of published materials about the project or the collections and will log known broadcasts, presentations, or other communications, especially with members of the Latino communities. The Project Director and staff will periodically assess which communication methods work best for the target audiences and will use this information to develop an ongoing communications program beyond the end of the project.

DHP Outcome 6: The access tools and the records they describe are used by researchers.

Project Outcome Statement 6a: Use of the Latino organizations' records, begins soon after the finding aids are completed and announced. Use of the records increases during the year following the completion of the project to an average of 10 patrons per month.

Evaluation 6b: Local History Society volunteers will log all in-house uses of the finding aids and records. They will also regularly survey users about the value of the records and their satisfaction with their experience using them at the Local History Society. An online survey accessible through the Society's website will include questions about the online use of, and satisfaction with, the access tools and the records they describe.



DOCUMENTARY HERITAGE PROGRAM ♦ 9C71 Cultural Education Center ♦ Albany, NY 12230 ♦ 518-474-6926

DOCUMENTARY HERITAGE PROGRAM

Grant Application Forms 2011-2012

Application Deadline
Postmarked by Tuesday, February 1, 2011



The University of the State of New York
The State Education Department
New York State Archives
www.nysed.gov ♦ www.archives.nysed.gov

2011–2012 DHP Grant Project Application Cover Sheet		Log # (for office use)	Rev'd. (for office use)
Institution Name:			
Chief Administrative Officer (name):		Job Title:	
Institution address:		Telephone:	
City: Zip Code:		Email:	
Project Director (name):		Job Title:	
Project Director's work address: <input type="checkbox"/> Address is same as above.		Telephone:	
City: Zip Code:		Email:	
County of primary location:		Institution's URL:	
NYS Assembly District #:		NYS Senate District #:	
Federal ID #:		Charities Registration #:	
Grant Amount Requested: \$		<input type="checkbox"/> Exempt from this requirement (if checked, complete Payee Information Form, Sect. III, see p. 19-20)	
Grant Project Type (<i>Check the predominant project type</i>)		<input type="checkbox"/> Documentation <input type="checkbox"/> Arrangement & Description	

Grant Project Topical Priority (*For Documentation and Arrangement & Description projects only; select one priority*):

Priority One	<input type="checkbox"/> Population groups in the 20 th & 21 st centuries	<input type="checkbox"/> World Trade Center disaster
	<input type="checkbox"/> Economic change in the 20 th & 21 st centuries	<input type="checkbox"/> Education policy
Priority Two	<input type="checkbox"/> Environmental affairs	<input type="checkbox"/> Mental Health
Priority Three	<input type="checkbox"/> Collections of significance to the history of New York that are not well documented in the historical record, and not covered in the first two priority levels	

Grant Project Title:

Grant Project Summary (*Briefly describe your project in the box below – 10 pt font, 225-word limit*):

--

2011–2012 DHP Grant Project Application Cover Sheet, page 2

Institution Name:
Project Title:

Certification

I hereby certify that I am the applicant’s chief administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable State laws and regulations, application guidelines and instructions, and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the New York State Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that this certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Chief Administrative Officer’s/ Authorized Designee’s Signature (<i>original signature in blue ink</i>):	
Name (<i>please print or type</i>):	Date:

Instructions for completing this form are on page 16 of the Grant Guidelines booklet.

**Submit an original and seven (7) copies of the completed application,
and required attachments to:**

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

**The complete application package must be postmarked on or before
Tuesday, February 1, 2011.**

Institution Name:	Log # (for office use)
Project Title:	

2011-2012 DHP Grant Project Application Checklist

Listed below, in the order that they should appear, are the required documents for an application package. Print out this checklist and use it to ensure that your application package is complete and in compliance with application guidelines. Required documents for all projects are shaded grey. Applications will be considered incomplete if these documents are not included. Incomplete application packages will not be reviewed. Application package must be postmarked on or before Tuesday, **February 1, 2011.**

Application Package Documents	✓ Applicant	✓ For office use
<i>Application Cover Sheet</i> - with original CAO signature in <i>blue</i> ink		
<i>Application Checklist</i>		
<i>Payee Information Form</i> - with original CAO signature in <i>blue</i> ink		
<i>Standard Data Capture Form</i>		
<i>Application Narrative Form</i> - maximum of 7 pages in length		
Required Attachments for all projects		
<i>Resumes</i> for key project personnel - maximum of 3 pages per resume (see page.22 of the Grant Guidelines booklet)		
<i>Job descriptions</i> for all positions that will be supported in whole or in part by grant funds (page 21 of the Guidelines)		
If applicable: <i>Letter of justification</i> stating how staff members will be replaced in their former assignments using non-grant funds (page 22 of the Guidelines).		
Applicant organization's <i>Mission Statement</i> (pages 22 of the Guidelines)		
For instances in which the Chief Administrative Officer is unavailable to sign the application: <i>Letter of Explanation</i> (page 16 of the Guidelines)		
Required Project Specific Attachments		
For Documentation projects: <i>Advisory Committee List</i> (page 21 of the Guidelines)		
For Arrangement & Description projects: <i>Sample Finding Aid</i> – maximum of 5 pages (page 19 of the Guidelines)		
For Arrangement & Description Circuit Rider projects: <i>Letters of Commitment</i> from all participants (page 19 of the Guidelines)		
<i>Cost Sharing Form</i>		
<i>Budget Category & Narrative Forms</i> - only those which are filled in		
<i>Budget Summary Form FS-20</i> - with original CAO signature in <i>blue</i> ink		
<i>Proof of not-for-profit status</i>		
DHP Application Check: (<i>for office use</i>)	<input type="checkbox"/> New	<input type="checkbox"/> ACIS
<input type="checkbox"/> DOC <input type="checkbox"/> A & D	Date :	<input type="checkbox"/> Application check completed



EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

PAYEE INFORMATION

In order to receive funds from the NYS Education Department, **ALL SECTIONS** of this form will need to be completed and returned with **original signature in blue ink** to the Education Department program office as part of your grant application. It is available online at: <http://www.oms.nysed.gov/cafe/forms/PIform.pdf>

Section I: Institution Identifying Information

Legal Name of Agency

Contact Person/Telephone Number

Please print or type

Business name, (if different from above)

Payment/Fiscal Agent (if different from above)

Address (number, street, and apt. or suite no.) to which checks will be mailed

City, State, and ZIP code (+ 4 digits) or Foreign City, Country & Postal Code

Federal Employer Identification Number (FEIN) of this agency is: ___ - ___ - _____

* Provide FEIN of recipient agency regardless of payment/fiscal agent

Municipality Code (if agency is a local government):

Section II: Agency Profile

- This agency is a (check one) Non-Profit Organization For Profit Organization
- This agency is a (check one) Sectarian Organization Non-sectarian Organization
- Is this agency chartered or incorporated by the New York State Board of Regents? (Check one) Yes No
- Is any member of the Board of Directors an employee of the NYS Education Department?
 Yes, please name _____ No

Section III: Charity Registration Number Status (NON-PROFIT ORGANIZATIONS ONLY)

Answer **ONE** of the four questions listed below.

- The charity registration number (**NOT** a tax exempt or Federal ID number) of this organization is: _____.
- This organization has applied for a charity registration number from the Department of State but has not as yet been notified of the authorized number granted.

3. This organization is exempt from the requirement of registering with the Department of State as a charitable organization because it receives less than \$25,000 in total from governmental agencies.
4. This organization is exempt from the requirement of registering with the Department of State as a charitable organization pursuant to the Department of State Exemption Category indicated below (Please read attached Bulletin No. G-79 and the Summary of Exemption Categories and check **ONE** Exemption Category listed below, if applicable).
- Exemption Category 1 Exemption Category 2 Exemption Category 3 Exemption Category 4
 Exemption Category 5 Exemption Category 6 Exemption Category 7 Exemption Category 8

Section IV: Certification

I hereby certify that the information herewith provided is to the best of my knowledge both accurate and true.

 Chief Administrative Agency Official/Authorized Designee (**Please Print**)

 Signature in blue ink - Chief Administrative Agency Official/Authorized Designee

 Date

SED USE ONLY: Deputy Area/Program Office

Institution ID:

8	0	0	0	0	0
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I have reviewed the payee information contained herein and hereby approve this agency for payment.

 Deputy Area (**Please Print**)

 Program Office (**Please Print**)

 Program Manager (**Please Print**)

Original Signature - Program Manager (in *blue* ink)

 Date

SED USE ONLY: Grants Finance

SED Agency Number/BEDS Code (if applicable):

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Institution Type:

--	--	--	--

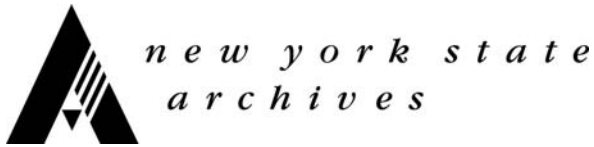
Institution Subtype:

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Interest Eligible: **yes** **no**

Reviewer: _____

Date: _____



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

Standard Data Capture Form

Please provide the following basic information so that your institution can be officially registered with the New York State Education Department.

Legal Name of Institution (as contained on a charter, license or other such document):

Date Established (the date or year that your institution was originally established):

Physical Address (the primary address where your institution is located):

Street:

City:

State: New York

Zip code:

Mailing Address (check here if this address is the same as your physical address above)

Street:

City:

State: New York

Zip code:

County of primary location (county where primary address is located):

Name of School District of primary location (school district where primary address is located):

Phone: () -

Web URL:

Email address:

Name and Title of Chief Administrative Officer (CAO):

CAO's Phone: () - **CAO's Fax:** () -

CAO's Email address:

Parent Organization (if applicable):

2011-2012 DHP Grant Project Application Narrative Form

Institution Name:	
Project Title:	
Project Type:	Topical Priority:

Page Limits and Standards:

Using the standards and form below, limit the Project Narrative to a maximum of seven (7) pages.

- Print this form and your narratives on 8.5” x 11” paper.
- Single space all text in the narrative sections. Use a 12-point Times Roman or Arial font.
- In narrative sections, double space between each heading and include the title of each heading (i.e. “Ia. Records Description”).

On the form below, address each of the issues referred to in the instructions on pages 17-22 of the Grant Guidelines. Keep in mind that these issues directly correspond to the criteria used by reviewers when ranking your application.

I. Project Description <i>[maximum 30 points]</i>
<p>a. Records Description: Provide information about the records and describe their significance according to the Project Type of your proposal. <i>[10 points]</i></p> <p>b. Topical Priorities: Make the case that your project fits within one (and only one) of the priority topics. <i>[15 points]</i></p> <p>c. Project Need: Explain the need for the project and why funding from DHP at this time is essential to its accomplishment <i>[5 points]</i></p>

Narrative:

II. Outcomes and Evaluation <i>[maximum 15 points]</i>
<p>a. Project Outcome Statements: Clearly and concisely articulate all four outcome statements required for your Project Type (Documentation - Outcomes 1, 2, 3, 4; Arrangement & Description - Outcomes 1, 2, 5, 6; see pages 56-58 for examples).</p> <p>b. Evaluation: Discuss methods you will use to evaluate all four predicted outcomes.</p>

Narrative:

III. Project Implementation *[maximum 25 point]*

- a. **Plan of Work:** Describe the work that will be undertaken to accomplish project outcomes on time (by June 30, 2011) and with the personnel and other resources available. *[15 points]*
- b. **Project Personnel:** Provide requisite information for all key project personnel. *(10 points)*

Narrative:

IV. Organizational Capacity *[maximum 5 points]*

- a. **Organizational Capacity:** Briefly describe past experience and current capacity to carry out and sustain the project, and how the work of the project relates to your mission.

Narrative:

2011-2012 DHP Grant Project Cost Sharing Form

Institution Name:	
Project Title:	

Cost Sharing Form

Table:

Category	Cost Sharing Contribution
Salaries for Professional Staff	
Salaries for Support Staff	
Purchased Services	
Supplies & Materials	
Equipment	
Travel Expenses	
Employee Benefits	
Indirect Costs	
Total Cost Sharing Contribution - total items above and enter in correct Project Type field below:	
Total Cost Sharing Contribution: Documentation Projects (must be 20% of Total Project Cost, see below)	
Total Cost Sharing Contribution: Arrangement & Description or Archival Needs Assessment Projects (must be 50% of Total Project Cost, see below)	
Total Project Cost = Grand Total from <u>Budget Summary Form FS-20</u> + Total Cost Sharing Contribution, above (calculate and enter here)	\$

Narrative:

2011-2012 DHP Grant Project Cost Sharing Form

Cost Sharing Form Instructions

All cost share contributions **must directly support** project activities and outcomes. Failure to meet the following conditions will result in rejection of the application. Cost sharing requirements are as follows:

- **Documentation:** The applicant's cost share requirement is **20%** of the Total Project Cost
- **Arrangement & Description:** The applicant's cost share requirement is **50%** of the Total Project Cost
 - *20% example:* If you know that your project will cost a total of \$10,000, then you are required to provide \$2,000 or 20% of the total project cost, requesting of the DHP the remaining 80% or \$8,000.
 - *50% example:* If you know that your project will have a total cost of \$10,000, then you are required to provide \$5,000 contributed match toward the project and request of the DHP the remaining 50% or \$5,000.

Cost sharing can be demonstrated in two ways, through "matching" and through "in-kind." In both cases, cost sharing contributions may be claimed only if they directly support project activities and outcomes.

Matching: The costs of a grant project are borne by the applicant or by a third party. (Please note: costs used to match one grant cannot be used to match another).

- *Matching example:* You decide to hire an archival consultant for 10 days of work. You pay the consultant partly from your funds and partly from the requested DHP funds. The amount you pay the consultant from your own funds is your matching contribution to the project.

In-kind contributions: The value of non-cash contributions are provided by the applicant in support of the project without charge to the grant). In-kind contributions must be in the form of goods and services which directly support project activities and outcomes. Both paid staff time and time contributed to the project by volunteers are eligible as in-kind contributions.

- *In-kind contribution example:* You decide to have one of your paid staff persons, working 20 hours a week for your organization, spend five of those hours each week on the project without charge to the grant. The cost of the five hours each week is your in-kind contribution to the project.
- *In-kind contribution example:* You allocate the time of two of your regular volunteers to work on the grant funded project. The hours they spend on the project may be claimed as an in-kind contribution. You need to establish a monetary value for their time, (usually \$10-\$15 per hour), and claim this on the Cost Sharing Form under salaries.

Table:

Indicate expenditures in all appropriate categories demonstrating your institution's cost share (match or in-kind contribution). Enter your institution's total cost share in appropriate Project Type field.

Narrative:

Provide an explanation for each category, including how each contribution directly supports the project's activities and outcomes. Include names, titles, items, etc. Also explain how the cost share was calculated.

Note: You must maintain supporting documentation of your compliance. The documentation is subject to review upon audit and/or a program monitoring review. It is not to be submitted with your application.

2011–2012 DHP Grant Project Budget Category & Narrative Form - Code 15

Institution Name:	
Project Title:	

Salaries for Professional Staff: Code 15

Table:

Specific Position Titles	Hours Worked	Rate of Pay	Expenditure (Salaries)
Total Expenditure (transfer sum to FS-20, <u>Budget Summary Form</u>)			

Narrative:

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 15

Salaries for Professional Staff: Code 15

Instructions

Table

Provide the position title, number of hours, hourly rate of pay, and total project salary for each *professional* staff person you propose to pay with grant funds. Use only whole dollar amounts.

Narrative

Explain how these positions will directly support project activities and outcomes. Clearly explain and justify the individual(s) role in and time spent on the project.

Eligible Expenditures (Code 15)

Grant funds may be used to hire new professional staff to carry out project-related activities.

Grant funds may also be used to pay an existing staff person to carry out project-related activities if the hours spent on this work are above and beyond his/her normal work hours.

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

If you choose this option, you must attach a letter to your application which justifies the need for such action, and explains how the substitute

will take over the staff person's responsibilities and how they will be paid using non-grant funds.

For any position that will be supported in whole or in part by grant funds, applicants must attach a job description.

A chart for use in estimating processing rates for **Arrangement & Description** projects can be found on page 31 of the Grant Guidelines.

Ineligible Expenditures (Code 15)

Consultants should not be included on this form. Use Code 40 Form instead.

DHP funds cannot be used to replace funds you are already paying to an existing staff person.

DHP does not fund routine business activities of the organization.

No one may be paid to write grant applications with grant funds.

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 16

Institution Name:	
Project Title:	

Salaries for Support Staff: Code 16

Table:

Specific Position Titles	Hours Worked	Rate of Pay	Expenditure (Salaries)
Total Expenditure (transfer sum to FS-20, <u>Budget Summary Form.</u>)			\$

Narrative:

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 16
Salaries for Support Staff: Code 16

Instructions

Table

Provide the position title, number of hours, hourly rate of pay, and total project salary for each *support* staff person you propose to pay with grant funds. Use only whole dollar amounts.

Narrative

Explain how these positions will directly support project activities and outcomes. Clearly explain and justify the individual(s) role in and time spent on the project.

Eligible Expenditures (Code 16)

Grant funds may be used to hire new support staff to carry out project-related activities.

Grant funds may also be used to pay an existing staff person to carry out project-related activities if the hours spent on this work are above and beyond his/her normal work hours.

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

If you choose this option, you must attach a letter to your application which justifies the need for such action, and explains how the substitute will take over the staff person's responsibilities and how they will be paid using non-grant funds.

For any position that will be supported in whole or in part by grant funds, applicants must attach a job description.

A chart for use in estimating processing rates for **Arrangement & Description** projects can be found on page 31 of the Grant Guidelines.

Ineligible Expenditures (Code 15)

Per diem or contract workers should not be included on this form. Use Code 40 Form instead.

DHP funds cannot be used to replace funds you are already paying to an existing staff person.

DHP does not fund routine business activities of the organization.

No one may be paid to write grant applications with grant funds.

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 40

Institution Name:	
Project Title:	

Purchased Services: Code 40

Table:

Description of Item	Provider of Services	Calculation of Cost	Expenditure (Purchased Svcs.)
Total Expenditure (transfer to FS-20, <u>Budget Summary Form</u>)		\$	

Narrative:

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 40

Purchased Services: Code 40

Instructions

Funding for both consultant services, contracted services, per diem services, and for publications directly related to the project, should be requested under Purchased Services (Code 40).

Fees for an individual, usually an archival specialist who works fewer than 20 days and receives a lump sum payment (no benefits paid) are recorded under Purchased Services (Code 40) and referred to as "Consultant Services." Consultants may be hired to train staff, conduct studies, prepare reports and recommendations, establish inventory procedures, and other similar services of an advisory nature.

If the consultant has been identified by the application deadline, his/her resume must be included in the application package. If the consultant is not identified and the application is successful, DHP must review the resume of the consultant before she/he is hired.

Pay for temporary workers (per diem workers) who are hired for a period of weeks or months (usually working more than 20 days) and who do not receive benefits should also be recorded under Purchased Services (Code 40) and referred to as "Contracted Services." These persons may be hired to conduct such work as surveying, arrangement and description, or similar activities.

Funding for the publication of manuals, teaching guides, finding aids, or other project-related documents, should be requested under Purchased Services (Code 40).

Table

Identify the type of service and provide the total expenditure for each. For consultants and contracted services, indicate the number of days or hours a consultant or contract worker will work, multiplied by a daily or hourly fee. Use only whole dollar amounts.

Narrative

Describe how the purchased services support project activities and outcomes. In the case of consultants and/or contract workers: list each name and provide information on their qualifications. Also, clearly explain and justify the consultant's and/or contract worker's role in and time spent on the project. A chart for use in estimating processing rates for **Arrangement & Description** projects can be found on page 31 of the Grant Guidelines.

Ineligible Expenditures

DHP does not fund routine business activities of the organization.

No one may be paid to write a grant application with grant funds.

Consultants may not serve as directors of grant projects. Project Directors are expected to monitor closely and supervise all work carried out by consultants, contract workers and project staff.

DHP does not fund expenses associated with conferences and other events not directly related to the project.

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 45

Institution Name:	
Project Title:	

Supplies, Materials, and Equipment costing less than \$5,000: Code 45

Table:

Description of Item	Quantity	Unit Cost	Expenditure
Total Expenditure (transfer sum to FS-20, <u>Budget Summary Form</u>)			\$

Narrative:

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 45

Supplies, Materials, and Equipment costing less than \$5,000: Code 45

Instructions

Table

Briefly describe each requested item and specify quantity, unit cost, and total expenditure. Use only whole dollar amounts.

Narrative

Describe how each of the supplies, materials, and equipment costing less than \$5,000 itemized on this form will directly support project activities and outcomes.

Eligible Expenditures

Supplies such as office supplies, acid-buffered folders, archival storage containers, sleeves and enclosures, and shelving

Equipment items with a unit cost of less than \$5,000

All computer software, regardless of the unit price

Ineligible Expenditures

Purchase of office furniture or photocopiers

Purchase of motor vehicles

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 46

Institution Name:	
Project Title:	

Travel Expenses: Code 46

Table:

Position of Traveler	Purpose	Calculation of Cost	Expenditure (Travel)
Total Expenditure (transfer sum to FS-20, <u>Budget Summary Form</u>)			\$

Narrative:

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 46

Travel Expenses: Code 46

Instructions

Table

Identify the position of the person traveling, purpose of travel, itemized travel expenses, and total expenditure. Use only whole dollar amounts.

Narrative

Explain how the proposed travel directly relates to project activities and outcomes as outlined in the application.

Eligible Expenditures

Although most applicants request funds for the Project Director's to travel to Albany for the DHP grant recipients' meeting in the fall, applicants may opt to absorb this cost as part of their contributed match.

Travel to State Archives' workshops and to other educational opportunities directly related to the project, such as computer training or conferences

Airfare, if it can be clearly demonstrated that it is the most cost-efficient method of travel available

Staff, traveling in excess of their regular commute for project-related activities, may receive a mileage reimbursement at the current federal per-mile-rate.

Ineligible Expenditures

Expenses associated with conferences and other events such as computer training that do not directly relate to the project.

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 80

Institution Name:	
Project Title:	

Employee Benefits: Code 80

Table:

Benefit	Proposed Expenditure
Social Security, Retirement (NYS Teachers, NYS Employees, Other), Health Insurance, Worker's Compensation, Unemployment Insurance, Other	
Total Expenditure (transfer sum to FS-20, <u>Budget Summary Form</u>)	\$

Narrative:

2011-2012 DHP Grant Project Budget Category & Narrative Form - Code 80

Employee Benefits: Code 80

Instructions

Applicants may request fringe benefits for professional staff and support staff identified in Code 15 and Code 16 forms.

Table

Institutions may choose to calculate the proposed Employee Benefits by using their own Fringe Benefits (FB) rate or by itemizing the specific benefits. The FB Rate for project personnel must be the same as those used for other institutional personnel. Use only whole dollar amounts.

Narrative

Justify the need for using grant funds to pay staff benefits.

Fringe benefits normally should not exceed 35% of the cost of salaries requested. Applicants must provide convincing justification for requests in excess of this limit.

Ineligible Expenditures

Fringe benefits may not be paid to consultants or contract workers.

PROPOSED BUDGET SUMMARY FS-20

CATEGORIES	CODE	PROJECT COSTS
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost (IC)* (Amount from "IC" below)	90	
BOCES Services	49	
Minor Remodeling	30	
Equipment	20	
Grand Total (total DHP grant funds requested)		

A. Modified Direct Cost Base
(Add Codes 15, 16, 40, 45, 46 and 80)

\$\$

B. Approved Restricted IC Rate

2.5 %

*IC (A) x (B) = Indirect Cost
(Enter this total in Code 90 above)

\$\$

CHIEF ADMINISTRATOR'S CERTIFICATION

I hereby certify that the requested budget amounts are necessary for the implementation of this project and that this agency is in compliance with applicable Federal and State laws and regulations.

Date Original Signature (blue ink)

Name, Title of Chief Administrative Officer

FOR DHP USE ONLY

Agency Code

--	--	--	--	--	--	--	--	--	--	--	--

Project #

0	3	7	5	1	2				
---	---	---	---	---	---	--	--	--	--

Contract #

x	x	x	x	x	x	x
---	---	---	---	---	---	---

Agency Name: _____

FOR DEPARTMENT USE ONLY

Approved
Funding Dates: _____
From To

Program Approval: _____

Date: _____

<u>Fiscal Year</u>	<u>First Payment</u>	<u>Line #</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Voucher # First Payment

NOTES