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

## **DOCUMENTARY HERITAGE PROGRAM**

### **Grant Application Guidelines and Resources 2013-2014**

**Application Deadline  
Postmarked by Friday, March 1, 2013**



The University of the State of New York  
The State Education Department  
New York State Archives  
[www.nysed.gov](http://www.nysed.gov) ♦ [www.archives.nysed.gov](http://www.archives.nysed.gov)

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## **DHP Grant Project Application Forms**

All 2013-2014 DHP Grant Application Forms can be found on the Documentary Heritage Program Grants page of the New York State Archives' website, [www.archives.nysed.gov](http://www.archives.nysed.gov). Use the Grant Project Application Checklist to ensure that you are submitting all the required forms and that your application is complete.

# *Section I*

## **DHP Grant Application Information**

### **Introduction**

Documentary Heritage Program grants are designed to encourage a more comprehensive and equitable documentation of New York State's history and culture. These grants support projects that identify, survey, collect, arrange & describe, and make available important records relating to groups and topics traditionally under-represented in the State's historical record.

### **Background**

The Documentary Heritage Program (DHP) is a statewide program administered by the New York State Archives, a unit of the New York State Education Department (NYSED). It was established by law ([http://www.archives.nysed.gov/a/records/mr\\_laws\\_el140.shtml](http://www.archives.nysed.gov/a/records/mr_laws_el140.shtml)) to provide financial support and archival guidance to not-for-profit organizations including archives, libraries, historical societies, museums, and other organizations that hold, collect, and make available historical records.

For further information about DHP grants, contact:

Pamela Cooley  
Documentary Heritage Program, New York State Archives  
(518) 474-6926  
[dhs@mail.nysed.gov](mailto: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**

<b>February 15, 2013</b>	Final update of the online FAQ (Frequently Asked Questions) posted to the DHP webpage (see Getting Help, page 15)
<b>March 1, 2013</b>	<b>Grant application postmarked deadline</b>
<b>July 1, 2013</b>	Grant projects may start (pending approval by NYS Office of State Comptroller)
<b>January 17, 2014</b>	Midterm report due
<b>June 30, 2014</b>	All work on grant projects must be completed
<b>July 31, 2014</b>	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.

## Changes for 2013-2014

- The Topical Priorities for Level One are: Economic Change, Military History, Population Groups, and Social Reform and Activism. Level Two priorities are all other under-documented topics in New York State history.
- Projects that qualify for Topical Priority Level One can earn between 11-15 points; Priority Level Two projects can earn between 1-10 points.
- Records processed with DHP funds must be accessible to the public. If your proposed project includes records with access restrictions, please contact the DHP office.
- The DHP does not support projects to document or to arrange & describe federal, state or local government records except for records of SUNY and CUNY institutions (see page 6).
- Records collected or described as part of a DHP Documentation project must be placed in a New York repository.
- Required Attachment for Part IVa. For Arrangement & Description projects:
  - Attach the *Collection Policy* used by the applicant organization to guide its acquisition efforts.
  - Attach a brief description of the records included in the applicant's repository and of the status of finding aids and published guides for its historical records. This description should be no more than two paragraphs long. (see page 22).
- If Key Personnel positions have not been filled at the time of application, the applicant is required to attach a job description for each position. If the application is approved, the recipient must then submit resumes of Key Personnel to the DHP office for review (see page 21).
- Documentation project Advisory Committee members must be independent of applicant organization (see page 21).
- A Glossary has been added to the Resource Section on pages 30-31. Words or phrases underlined in blue in the text are defined there.

## 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 historical service agencies, colleges and universities, professional associations, and other not-for-profit institutions or systems that provide services to historical records programs.

Organizations are eligible to apply 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.

### **Government Agencies**

Government agencies, institutions operated by state or federal government agencies, and local government archives are not eligible for DHP grants.

### **SUNY/CUNY Institutions**

An institution of SUNY or CUNY may apply for DHP grants for projects to arrange & describe external records in their possession.

An institution of SUNY may apply for DHP grants for projects to arrange & describe internal records generated by the institution before July 1, 1948, or before the subsequent date on which the institution became a component SUNY.

An institution of CUNY may apply for DHP grants for projects to arrange & describe internal records generated by the institution before July 1, 1979, or before the subsequent date on which the institution became a component of CUNY.

### **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.

### **Partnerships and Consortia**

Eligible organizations may form a partnership or consortium to apply for a grant. Those who wish to do so must contact the DHP office for guidance. Such applicants must follow the NYSED’s “Consortium Policy for State and Federal Discretionary Grant Programs” below. This policy describes the process for preparing a DHP grant application when a partnership or consortium of applicants is involved.

### **Consortium Policy for State and Federal Discretionary Grant Programs**

The partnership or consortium must meet the following requirements:

1. The partnership or consortium must designate one of the participants to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.
2. In the event a grant is awarded to a partnership/consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the partnership/consortium, since the group is not a legal entity.
3. The applicant agency/fiscal agent must meet the following requirements:
  - a. Must be an eligible grant recipient as defined by statute.
  - b. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds.

- c. Must require consortium partners to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide.
- d. Must be an active member of the partnership/consortium, except where SUNY or CUNY Research Foundations are the fiscal agent.
- e. Cannot act as a flow-through for grant funds to pass to other recipients.
- f. Is prohibited from subgranting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself.
- g. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each plan to participate.

## Grant Project Types

DHP supports two types of projects: Documentation and Arrangement & Description. Applicants who intend to request funding for a project that combines documentation with arrangement and description must contact DHP staff while planning the application.

### ***Documentation Projects***

DHP Documentation projects identify, collect and make accessible to the public existing records that shed light on the people, groups, events, or on the 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 [New York 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. Usually, projects begin with the planning phase, and divide the work over at least two years (and therefore two grant applications).

It is strongly advised that institutions interested in conducting documentation projects contact the DHP office to discuss their plans before starting their application.

#### **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](#) to provide context, guidance and oversight of the project.
- 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 [New York 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.
- Continue to work closely with your [Advisory Committee](#).
- Foster relationships between likely donors of records and an appropriate [New York repository](#) to which the valuable [historical records](#) surveyed in this phase will eventually be transferred.
- Publicize your documentation effort.

### **Phase Three: Collecting**

- Continue to work closely with your [Advisory Committee](#).
- Working with each donor and the selected [New York repository\(ies\)](#), 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(ies).
- Donate and transfer records to the selected [New York repository\(ies\)](#).
- Make electronic versions of the [MARC](#) records of the collections held by the repository(ies) accessible to the public online.
- Publicize your documentation effort.

If you find this phased work plan does not fit your proposed project or have questions about Documentation projects, please contact the DHP office.

**Note:** Identifying potential donors of records and appropriate repositories, 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 only be ready to donate their records years later.

The New York State Archives offers several publications which provide detailed guidance in carrying out a documentation project. See page 29 in the Resource section for an annotated listing of these publications.

### **Requirements**

- [Cost Sharing](#) 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, including [MARC](#) records, must conform to archival standards. Electronic versions of the [MARC](#) records must be made accessible through the collecting repository's

website, an online catalog, or the State Archives' [Historic Documents Inventory \(HDI\)](#). If you have questions about MARC, HDI, or to receive a sample MARC record, contact the DHP office.

- Documentation grant recipients should use the DHP credit line provided on page 14 in all descriptive and publicity material relating to the project.
- Records placed in a repository through a DHP project must be accessible to the public. If your proposed project includes records with potential access [restrictions](#), please contact the DHP office to discuss your project.
- The repository in which records are placed must be in [New York State](#).

## **Arrangement & Description Projects**

The goal of Arrangement & Description projects is to make important records relating to groups and topics traditionally under-represented in the State's historical record available to researchers and citizens.

Arrangement and description are the processes used to gain physical and intellectual control over materials held in historical 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

All access tools, including [MARC](#) records and [finding aids](#) created as a result of an Arrangement & Description project must conform to archival standards. The DHP office provides assistance in developing the records access components of the application, as well as sample MARC records and finding aid templates. Additional information on archival standards may be found in the NYSA publication: *Guidelines for Arrangement and Description of Archives and Manuscripts* (see page 29). [Archives software](#) should be used in Arrangement & Description projects. If an alternative is proposed, the applicant should explain how the software would be configured to meet archival standards.

Applications are also invited for what are informally called "circuit rider" projects. In "circuit rider" projects, an experienced archivist works with several community organizations or repositories to arrange and describe their high priority historical record collections. Instead of applying individually, these organizations would collaborate to submit a single "circuit rider" application to DHP. If you are considering a "circuit rider" project, contact the DHP office for further details.

## **Requirements**

- [Cost Sharing](#) 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 a [New York repository](#) or be transferred to a [New York repository](#) by the end of the project. The records should fit within the repository's Collection Policy.
- Records processed with DHP funds must be accessible to the public. If your proposed project includes records with potential access [restrictions](#), please contact the DHP office to discuss your

proposal.

- Electronic versions of the [MARC](#) records created in Arrangement & Description projects must be accessible online through the repository's website, an online catalog, or the State Archives' [Historic Documents Inventory \(HDI\)](#). [Finding aids](#) created in Arrangement & Description projects should be accessible online as well.
- Arrangement & Description projects should be publicized.
- The DHP credit line provided on page 14 should be included in all access tools and publicity material related to the project.

## Ineligible Project Types

Several types of projects are not eligible for funding through the DHP. Some of these are described below. When there are questions regarding eligibility, please contact the DHP office.

### **Non-New York State focus**

Projects involving records that do not illustrate a New York State focus are ineligible for funding. For instance, the records of an organization based in New York but whose primary focus is national or international would be determined to have a non-New York focus.

### **Government Records**

The DHP does not support projects to document or arrange & describe federal, state or local government records except for selected records of SUNY and CUNY schools as described on page 6.

### **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**

The DHP does not support projects that involve the [item-level description](#) of [historical records](#).

### **Oral history and audio/video taping**

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 (activities to conserve, restore, or repair original records) or reproduction of records for preservation purposes.

However, the New York State Library's Conservation/Preservation Program provides support for libraries and other organizations to improve the 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/](http://www.nysl.nysed.gov/libdev/cp/), or contact grants officer Barbara Lilley at (518) 486-4864.

### **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. 2008/2009 - 2012/2013) will not be submitted for review.

## **Topical Priorities**

In order to ensure 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 four specific topical areas for DHP funding. These topics are listed in Priority Level One below.

Applicants are scored in part, based on the priority level of the topic they choose and on how effectively they make the case that their project fits within their chosen topical priority. The potential for higher scores in Section 1b. of the application narrative favors projects that effectively address one of the four topics in Priority Level One. Although applications for projects that focus on topics in Priority Level Two (*any* other under-documented group or subject) are eligible for funding, they may receive fewer points for Section 1b than those in Priority Level One.

### ***Priority Level One***

#### **Economic Change**

New York's history over the past centuries has encompassed vast and sometimes turbulent changes in the economic life of the state, such as the decline of heavy industry, innovations in agricultural technology and practice, and the explosion of tourism. Economic change, whether in individual towns and cities, regions, or the state as a whole, is 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; in de-industrialization; in the production, processing, promotion, and distribution of agricultural commodities; in medical and health sciences, public health, and the provision of medical and mental health services; or on efforts at economic revitalization including the development of new industries and businesses in the State.

Projects may involve records of businesses that have been dissolved or absorbed by other businesses, as well as of businesses that are currently operating, provided these records are, or are intended to be, accessioned and made available in a publicly accessible [New York repository](#).

#### **Military History**

New York State's military forces and the state's military history have had a major impact on New York since the colonial era. Military records shed light on the lives of soldiers, the struggles of the forces, as well as war's impact on the home front, and offer researchers a unique view of our past.

Projects in this topical area should focus on issues related to the military and military service including New York's veterans and veterans' organizations; civilian participation in wartime activities; professionally supported war efforts such as war industry workers, medical volunteers, and defense contractors; military sites; peacetime military enterprise; organizations formed to support military action and soldiers; and organizations that protest the military and military actions.

Examples of records which document New York's military history include but are not limited to: existing oral history tapes; personal papers; manuscripts; diaries; scrapbooks; regimental histories; civilian defense records; and local history, business, union, and organization records..

### **Population Groups**

New York's history 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, and 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.

### **Social Reform and Activism**

Efforts to achieve or oppose social, economic, cultural, environmental, religious, and political change have been central to New York's history. Many movements begun in New York, such as those for women's equality, child labor laws, industrial safety, environmental protection, gay rights and the Occupy Wall Street movement, have spread across the nation.

Projects to document social reform and activism should focus primarily on the records of individuals, organizations, and activities while addressing issues such as civil rights and discrimination, environmental affairs, war and peace, abortion/reproductive rights, public safety, welfare reform, animal rights, or trade and globalization

### ***Priority Level Two***

#### **Other under-documented topics in New York State history**

Projects in Level Two address collections of significance to the history of New York, whether statewide, regional or local. These collections should focus on events, organizations, individuals,

or topics that are under-represented in the historical record, and not covered in Priority Level One.

## **Application Due Date**

**The complete application package must be postmarked on or before Friday, March 1, 2013.** Applications postmarked after March 1, 2013 will not be submitted for review.

## **Grant Awards Notification**

Grant award notification will be emailed to all applicants explaining the status of their application. These notifications will be issued once the scoring of all applications is completed and all necessary approvals are in place. 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 the 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 in January) and final narrative and fiscal reports (due by July 31) are required from grant recipients. Reports should be submitted in a timely fashion since they trigger award payments, and may, if not submitted, hinder the applicant's eligibility for future DHP grants.

Payments are made as follows: 50% of the full award amount is paid when the Grant Awards Notification is emailed. Up to 40% is paid in increments as the recipient expends funds and submits forms requesting additional payments. The final 10% is paid at the end of the project following receipt by DHP of satisfactory final reports.

## **Publicity/Credit Line**

In all publicly available [grant products](#) that result from your DHP-funded project, recipients must credit the Documentary Heritage Program as a source of funding.

The credit line that is required on all [grant products](#) 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.”

For help with marketing your project, contact the DHP office.

## *Section II*

# Preparing an Application

### Getting Help

Applicants are encouraged to call the DHP office at 518-474-6926 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). Questions may also be E-mailed to [dhs@mail.nysed.gov](mailto:dhs@mail.nysed.gov).

Three Grant writing Tip Sheets (#1 Developing Your Project, #2 Writing Your Application, #3 The Final Check) are available on NYSA's web site [http://www.archives.nysed.gov/a/grants/grants\\_dhp.shtml](http://www.archives.nysed.gov/a/grants/grants_dhp.shtml) to help with all stages of the grant writing process. Also on our website are DHP grant FAQs (Frequently Asked Questions) which will be updated throughout the application period until Friday, February 15, 2013 when the final version will be posted. Information about five free NYSA publications that may be useful in preparing your application can be found on page 29.

### Parts of the application

- **Application Cover Sheet** (For signature information, see below.)
- **Application Checklist** (Use to ensure that you are submitting all the required forms and that your application is complete.)
- **Payee Information Form/NYSED Substitute W-9 Form**
- **Application Narrative Form**
- **Cost Sharing Form and instructions**
- **DHP Project Budget Narrative and Worksheets, Budget Category 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
- **NYSED Proposed Budget Form FS-10** (For signature information, see below)
- **Proof of Not-for-Profit Status** (See page 5-6 for a list of eligible designations)
- **Attachments** (For a full list, see the [Application Checklist](#).)

Applicants must submit one (1) signed original and five (5) copies of the application. Signatures are required on page two of the [Application Cover Sheet](#), on the [Payee Information Form](#), and on the [NYSED Proposed Budget Form FS-10](#). **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 pages in each application are to be collated. Incomplete applications or those that are out of order or not collated will not be reviewed.

**Note:** The DHP Grant Application can be found in electronic format on the Documentary Heritage Program Grants page of the New York State Archives website, [www.archives.nysed.gov](http://www.archives.nysed.gov).

## Grant Application Instructions

It is important that your grant application information is entered into the appropriate sections of your proposal. Failure to do so may affect the scoring of the application.

### Cover Sheet

- *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 and ensure reporting is done in a timely fashion.
- *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/](http://www.latfor.state.ny.us/maps/).
- *OSC Vendor ID Number* – All applicants must enter their Vendor ID Number. – This is a 10 digit number assigned by the Office of the State Comptroller (OSC) to your agency for the purpose of doing business with the State of New York. If you do not know your agency’s number, contact OSC at [VMU@osc.state.ny.us](mailto:VMU@osc.state.ny.us) to obtain it.
- *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 topic. If your project also fits within an additional topic, 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 & Description of the Evangeline Broderick Family Papers.”)
- *Grant Project Summary* – This summary is important because it provides grant reviewers with their first impression of your project. Be sure to succinctly describe the following in your summary: (1) the project type 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 point font, 225-word limit). Do not attach additional pages.
- *Signature* – The original signature of the Chief Administrative Officer (see above) must appear on the Grant Application Cover Sheet in *blue ink*. His/her original signature must also appear on the [NYSED Proposed Budget Form FS-10](#). 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 the applicant should explain, in an attached Letter of Explanation on organization letterhead, the name and position of the authorized signatory, and why the Chief Administrative Officer is unavailable to sign.

## **Payee Information Form/NYSED Substitute W-9 Form**

General Instructions: The Payee Information Form consists of five (5) pages: the Payee Information Form and instructions and the NYSED Substitute W-9 Form and instructions. Please follow the instructions for each as outlined below.

### **Payee Information Form and Instructions**

The Payee Information Form is used to establish the identity of applicant organizations and enables them to receive funds from the NYSED. Note that organizations which do not receive funds from the Federal government can disregard the DUNS Number section of this form. An online version is available at <http://www.oms.nysed.gov/cafe/forms/PIform.pdf>

### **NYSED Substitute Form W-9 and Instructions**

Only DHP applicants who do not have a NYS Vendor Identification Number (VIN) must complete the NYSED Substitute Form W-9 according to the instructions on the form and submit it along with their DHP application.

The VIN is a 10 digit number assigned by the Office of State Comptroller (OSC) to your agency for the purpose of doing business with the State of New York. If you do not have, or do not know your agency's VIN, contact OSC at [VMU@osc.state.ny.us](mailto:VMU@osc.state.ny.us). If OSC notifies you that your agency does not yet have a VIN, then you must complete the NYSED Substitute Form W-9 and submit it along with your DHP application. If the OSC notifies you that you do have a VIN, enter it in the proper box on your Payee Information Form.

### **Application Narrative**

The application narrative provides the applicant with an opportunity to present a comprehensive description of their proposed project. The application narrative should include a description of the records involved, the nature of the project, and 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.

#### **Application Narrative Form page limits and specifications**

- Limit the Project Narrative to a maximum of seven 8.5" x 11" pages including the content of the form itself.
- Single space all text in the narrative sections. Use a 12-point Times Roman or Arial font.
- In each narrative section, include the title of each sub-section (i.e. "Ia. Records Description") and double space between sub-sections.

Grant reviewers will evaluate your application and assign points for each component. The highest score assigned will be 100. A maximum of 75 of those points will be 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 Project** (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 focus 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 date span of the records
  - the quantity of records in cubic feet (see the *Table of Cubic Equivalents* on page 32)
  - 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 in New York State the records will be made accessible, and the anticipated level of use they will receive as a result of the project

### **Arrangement & Description Project**

- Provide the following descriptive information about the records:
  - collection or series title(s), when possible
  - individuals and/or organizations who have created the records
  - date span of the records
  - quantity of records in cubic feet (see the *Table of Cubic Equivalents* on page 32)
  - physical condition of the records
  - 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
- Describe the current level of use of the records
- Indicate how the records will be made accessible

### **Arrangement & Description "Circuit Rider" projects**

- Identify the participating organizations or repositories
- Describe their collections using the bulleted list in **Arrangement & Description Project** just above
- Describe the significance of the records including their research value, their potential audience and their importance in documenting New York State history

### **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 (5) pages or less in length. If the finding aid you wish to use is longer than five (5) pages, attach a five-

page sample from the finding aid, being sure the sample includes the critical elements of a standard finding aid.

- For **Arrangement & Description “Circuit Rider”** projects (in addition to the attachments required for standard A&D project listed above): Attach *letters of commitment* from all the participants. These letters should express the participant’s intention to participate and should specify the cost sharing 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. Scoring is based on the priority level of the topical areas as follows: Priority One [11-15 points] and Priority Two [1-10 points]. If your project has a significant impact on a second topical area (for example, a project to document the women’s equality movement in a predominantly Asian-American community), you may indicate this in your Project Narrative, but the points awarded for Topical Priority will be based solely on the case you make for the one topical area you have chosen.

### **I c. Need for Project [5 points]**

Explain the importance of the project, how the records will receive broader or more intensive use as a result 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 [maximum 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 will also 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 34-36 to guide you in formatting and writing your Part II Outcomes and Evaluation narrative.

### **II a. Outcomes**

In Part II of your narrative, you should develop your own specific versions of the DHP Outcomes listed below. Write outcome statements for DHP Outcomes 1 and 2 as well as for the two specific outcomes relevant to their project type. Thus, **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 should show how each DHP Outcome will be expressed in your project and focus on what you intend to achieve that can be measured. At the end of the project these

predictions will give you and the 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 of 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.

### **Outcomes for Documentation projects**

- **DHP Outcome 3:** Records of New York's under-documented 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 [New York repository](#)(ies) and added to their collection(s).

### **Outcomes for 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 helps you to improve future projects. It also provides information to the DHP about your work, and helps us 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, 2013) 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 7-10. Your Plan of Work must:

- Include a timeline to show how the work will progress in a logical way over the course of the project.
- Describe the project activities (who, what, when, where) and how they will be accomplished.
- Describe the use of archival standards and best practices which are appropriate to your project. Note: Neither [item-level description](#), digitization or [preservation](#) are eligible project activities.

**Note:** A worksheet has been provided on page 33 for **Arrangement & Description** projects. Use this worksheet to calculate the number of FTE weeks it will take to arrange and describe (i.e. process) the records in your proposal. Include these three amounts (# of cubic feet to be processed, the processing rate, and number of FTE weeks) in your Work Plan and use the number of FTE weeks you will need to schedule your timeline and calculate your budget. Be sure to use *cubic feet* to measure the bulk of your records. See pages 32-33 for more information on processing rates.

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

#### **For all Key Personnel**

- Describe qualifications (i.e. education/training and experience) of each individual who will work directly on the project, and indicate what role each will play.
- Attach resumes for all Key Personnel (Project Director, Consulting Archivist, Archival Assistant, Project Interns, Project Specialists, etc.).
- If Key Personnel positions have not been filled at the time of application, applicants are required to attach a job description for each position. When this application is approved and prior to hiring of Key Personnel, the recipient must submit their resumes to the DHP office for review.
- Attach job descriptions, including project time commitment, for every position that will be supported in whole or in part by grant funds.
- Indicate how the individual in each position will be paid (i.e. by the applicant or with grant funds).

#### **For Documentation project Advisory Committee members**

- Advisory Committee members must be independent of applicant organization (i.e., they must not be on the applicant organization's staff or board, or be a project consultant).

**Note:** 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 Sharing. (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 personnel.
- 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.) If advisors cannot be identified in advance, indicate what groups, skills, and knowledge will be represented on the committee.

#### **IV. Organizational Capacity** [*maximum 5 points*]

Briefly, provide the following information:

- Indicate how the work of the project relates to the applicant's mission.
- Describe your organization's past experience, previous funding, and current capacity as these relate to your proposed project.
- Describe your organization's intention to maintain and continue the work of the project.
- For the historical records repository participating in your project, describe:
  - Its archival policies and procedures in place
  - Its bibliographic and environmental controls in place
  - How its holdings are made accessible

#### **Required Attachment for Part IV a.**

- Attach the *Mission Statement* of the applicant organization.
- For **Arrangement & Description** projects:
  - Attach the *Collection Policy* used by the applicant organization to guide its acquisition efforts
  - Attach a brief *description of the records* included in the applicant's repository and of *the status of [finding aids](#) and [published guides](#)* for its [historical records](#). This description should be no more than two paragraphs long.

#### **Cost Sharing**

On the [Cost Sharing Form](#), describe your organization's plan for matching DHP funds with the appropriate percentage of the Total Project Cost. **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. All [cost sharing](#) contributions must directly support project activities and outcomes. See the [Cost Sharing Form and Instructions](#) for further information.

#### **Project Budget**

The [DHP Project Budget Narrative and Worksheet](#) forms provide you with an opportunity to present a comprehensive description of your project expenditures. Be concise and straightforward, and provide only information that is applicable to your organization and your project. The [Proposed Budget Form FS-10](#) provides NYSED with a complete summary of your budget for payment purposes.

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 Project Budget.

#### **DHP Project Budget Narrative and Worksheet** [*maximum 25 points*]

Applicants should use the [Project Budget Narrative and Worksheet](#) forms to itemize and describe their funding request. There are unique forms for each of the following six budget categories:

- Salaries for Professional Staff: Code15
- Salaries for Support Staff: Code16

- Purchased Services: Code 40
- Supplies, Materials, and Equipment costing > \$5,000: Code 45
- Travel Expenses: Code 46
- Employee Benefits: Code 80

There are specific instructions for each budget category which have been written exclusively for DHP grant projects. Follow these instructions carefully. Submit forms only for the budget categories for which you are requesting funds, but do not submit any Budget Category instruction pages.

Each Budget Narrative and Worksheet form is made up of two parts: a table and a field for your narrative. In the tables, provide the information required including expenditure amounts. In the narrative fields, describe how the requested funds will be used; how they are appropriate, reasonable, and necessary to support your project activities and outcomes; and how the expenditures and activities are supplemental to and do not supplant or duplicate services and resources currently provided by the applicant.

Once you have filled out the Project Budget Narrative and Worksheet forms to your satisfaction, transfer data in each table (by copying and pasting) into the appropriate table on the NYSED Proposed Budget Form FS-10. We realize that this is a cumbersome process, but it has advantages for all involved: it enables you to compute your budget for a given code and write your narrative all in one place, it facilitates the grant review process, and it provides a complete summary of your budget for NYSED payment purposes. Check your work to be sure your calculations are correct and the amounts in the Worksheets exactly match those in the FS-10. Contact the DHP office if you have questions.

## **NYSED Proposed Budget Form FS-10**

The Proposed Budget Form FS-10 is a standard form used for all projects funded through NYSED and may include items and instructions that do not specifically pertain to DHP Grant Projects. If you follow the instructions described above, copy and paste the data from the DHP Worksheet tables directly into the corresponding tables on the FS-10, check your work to be sure the amounts in the Worksheets exactly match those in the FS-10, the FS-10 will be filled out correctly.

In addition to the category tables found on the worksheet, the Proposed Budget Form FS-10 includes a table for entering Indirect Costs (Code 90). Applicants may request coverage of their indirect cost at a rate not exceeding 2.6 % 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 Proposed Budget Form FS-10.

If the project is accepted for funding, an approved copy of the Proposed Budget Form FS-10 will be returned by NYSA Grants Finance to the Chief Administrative Officer named on the Application Cover Sheet.

NOTE: You should not use the Budget Narrative and Worksheet forms or the Proposed Budget Form FS-10 to record your cost sharing. Use these forms 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 Budget Category Instructions for each Code. When in doubt as to an 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: Friday, March 1, 2013**

### **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](mailto:dhs@mail.nysed.gov)

## **DHP Grant Application Review Process**

When evaluating applications, reviewers base their recommendations on the Application Narrative (including the Project Description, Outcomes and Evaluation, Project Implementation, and Organizational Capacity) and on the Project 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:

- fund the project fully;
- fund it partially with modifications; or
- 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 Narrative and Project Budget.

# DHP Grant Application Review Criteria

## I. Project Description *[maximum 30 points]*

- a. **Description of Records:** Provided requisite information about the records and effectively described their significance according to the Project Type of the proposal. *[10 points]*
- b. **Topical Priority:** Made a convincing case that the project fits within one (and only one) of the topical priorities. *[Priority One: 11-15 points, Priority Two: 1-10 points]*
- c. **Need for Project:** 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 accomplish project outcomes on time, and with the personnel and other resources available. *[15 points]*
- b. **Key Project Personnel:** Provided requisite information for all Key Personnel, including qualifications and the roles each would play. *[10 points]*

## IV. Organizational Capacity *[maximum 5 points]*

Clearly described how the project relates to the applicant's mission, the applicant's past experience and current and future capacity to carry out and sustain the project, and the project's repository: policies and procedures, environmental and bibliographic controls, accessibility.

## V. Project 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. *[20 points]*
- b. Clearly described how the expenditures and activities of the proposal are supplemental to and do not supplant or duplicate services currently provided. *[5 points]*

## *Section III*

# Resource Materials

### 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)

##### **Deirdre Joyce**

Regional Archivist  
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) 675-1570, ext. 204

#### **Metropolitan New York Region**

(Five Boroughs of New York City, Westchester)

##### **Jason Kucsma**

Executive Director  
Metropolitan New York Library Council  
57 East 11<sup>th</sup> Street, 4<sup>th</sup> Floor  
New York, New York 10003-4605  
(212) 228-2320, ext. 23

**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)

**Catherine Gilbert**

Executive Director  
Museumwise  
11 Ford Avenue  
Oneonta, NY 13820  
(800) 895-1648

**Western New York Region**

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

**Heidi Bamford**

Regional Archivist  
Western New York Library Resources Council  
Calspan Bldg., 2<sup>nd</sup> 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 a DHP grant application:

### 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 a Documentation project. An accessible version can be found on the New York State Archives website at [www.archives.nysed.gov/a/records/mr\\_pub79\\_accessible.html](http://www.archives.nysed.gov/a/records/mr_pub79_accessible.html).
- Although specifically focused on Latino/a history and culture, this guide can be used as a model for documenting **any population group**. Applications using the Population Groups Topical Priority should reflect the priorities and criteria outlined in this guide. *A Guide to Documenting Latino/Hispanic History & Culture in New York State*. Pub. #67 (Albany: State Education Department, 2002. 36 pages). A paper copy may be requested from the State Archives by emailing [ARCHPUBS@mail.nysed.gov](mailto:ARCHPUBS@mail.nysed.gov).
- 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). Projects should reflect the priorities and criteria outlined in the guide. A paper copy may be requested from the State Archives by emailing, [ARCHPUBS@mail.nysed.gov](mailto:ARCHPUBS@mail.nysed.gov).
- Applicants to Documentation projects relating to **mental health** are urged to read *A Strategic Plan for Documenting Mental Health in New York State*. Pub. #69 (Albany: State Education Department, 2001. 17 pages). Projects should reflect the priorities and criteria outlined in this plan. A PDF version can be found on the New York State Archives website at [www.archives.nysed.gov/a/records/mr\\_pub69.pdf](http://www.archives.nysed.gov/a/records/mr_pub69.pdf)

### 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](mailto:ARCHPUBS@mail.nysed.gov).

# DHP GRANT GUIDELINES GLOSSARY

**Advisory Committee** - The Advisory Committee provides advice and guidance for a Documentation project. It should be composed of community members who are independent of the applicant organization, and who are knowledgeable about the project audience and the history, culture, current dynamics, and/or records of the group or topic being documented. Applicants are encouraged to seek advice from their DHP Regional Archivist concerning members for their Advisory Committee.

**Archives software** - Software developed specifically for use in an archival setting such as Archivists' Toolkit and ARCHON. Software used in and/or purchased for DHP projects should be archives software.

**Cost sharing** - There are two forms of cost sharing: **matching funds** (the costs of a grant project that are borne by the applicant or by a third party) and **in-kind contributions** (the value of non-cash contributions that are provided by the applicant in support of the project without charge to the grant). All cost sharing must directly support project activities and outcomes.

**Date span** - The dates of the oldest and most recent items in a collection or series.

**External records** – Records that are created by a person, business or organization that is not a part of a SUNY/CUNY institution. Rather, they are created by an external entity but are preserved/housed by a SUNY/CUNY institution as evidence of that activity for future reference.

**Finding aid** - A single document that places archival materials in context by consolidating information about the collection, such as acquisition and processing; provenance, including administrative history or biographical note; scope of the collection, including size, subjects, media; organization and arrangement; and an inventory of the series and the folders.

**Full processing** - Full processing includes flat-filing, simple preservation measures, arrangement, foldering, boxing, and description.

**Grant products** - finding aids, MARC records, promotional literature, press releases, posters, etc. as well as web pages, blogs, etc. with information about the funded DHP project.

**Historical Documents Inventory (HDI)**, - A program that is accessible through the State Archives' online catalog, the HDI lists catalog records for archives and manuscripts collections housed locally at repositories throughout New York State (libraries, historical societies, and other organizations). Its goal is to increase use of your historical records and to provide information on them to the widest possible audience. For more information about how to submit your MARC records to HDI, contact our Archival Services unit at [DHS@mail.nysed.gov](mailto:DHS@mail.nysed.gov).

**Historical records** - Records that contain significant information that is of enduring value and are therefore worthy of long-term retention and systematic management. Historical records may include diaries, journals, ledgers, minutes, reports, photographs, maps, drawings, blueprints, agreements, memoranda, deeds, case files, and other material. They may take any of several physical forms: parchment, paper, microfilm, cassette tape, film, videotape, computer tapes, discs, and other machine readable formats.

**Indirect costs** are broadly defined as 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.

**Internal records** – Records that are created by a SUNY/CUNY institution in the course of institutional activity and preserved by a SUNY/CUNY institution as evidence of that activity for future reference.

**Item-level description** – An approach to archival description that describes individual items in a records series or collection. In a DHP Arrangement & Description project, the description of individual records in an archival collection (item-level description) is not appropriate.

**Key Personnel** - Individuals who work directly on the DHP project including staff, hired assistants, and consultants to be paid from grant funds, and staff or volunteers whose time will be contributed by the applicant as part of their cost share

**MARC** - (MACHINE-Readable Cataloging) A system by which descriptive elements within bibliographic and non-bibliographic records are uniquely labeled for computer handling.

**New York repository** - A not-for-profit facility located in New York State that is organized to collect, hold, care for, and provide access to historical records.

**Preservation** - Activities to conserve, restore, or repair records; or to microfilm, digitize, or otherwise reproduce records primarily for preservation purposes.

**Project Director** - Every DHP 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 ensure that finances are being managed capably and that reporting is done in a timely fashion. Consultants may not serve as Project Directors of grant projects.

**Provenance** - A fundamental principle of archives, referring to the individual, family, or organization that created or received the items in a collection. The principle of provenance dictates that records of different origins (provenance) be kept separate to preserve their context.

**Restrictions** - Access restrictions may be defined by a period of time or by a class of individual allowed or denied access. They may be designed to protect security (classification), personal privacy, or to preserve materials.

## 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 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)	.04

**For all other situations, use this formula:**

Length *times* Width *times* Height (in inches) *divided by* 1728 *equals* number of cubic feet

## Processing Rates

The NYSA Processing Rates table below is based on the State Archives' general guidelines and can be used to determine an appropriate processing rate. Estimates are based on cubic feet and on a full-time equivalent (FTE) week of 35 hours/week.

In your narrative, be sure to provide justification and rationale based on the records themselves (their current condition and their content), and to describe your rates in *cubic feet per FTE week*.

<b>Condition</b>	<b>Cubic feet per FTE week</b>
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

## Full Processing Worksheet

Use [Full Processing](#) worksheet below to calculate the number of FTE weeks it will take to fully process the records in your application. Include these three amounts (size of collection, processing rate, and FTE weeks) in your Work Plan. and use the number of FTE weeks you will need to process your collection to schedule your timeline and calculate your budget. Be sure to use *cubic feet* to measure the bulk of your records.

<i>Size of record collection(s) to be fully processed, in cubic feet:</i>	<i>Divided by the processing rate: # of cubic feet that can be processed in one week at full time (35 hours)</i>	<i>Equals: Number of FTE weeks required to complete the <a href="#">full processing</a> of the records</i>
<i>Example: 115 cubic feet</i>	<i>5 cubic feet per week</i>	<i>23 FTE weeks</i>

## Outcomes and Evaluation

### *Samples for Use When Formatting and Writing Part II of your Narrative*

Outcomes predict the results of your project. Evaluations measure and assess your progress in achieving those results. See Part II of the Application Narrative Instructions, Outcomes and Evaluation, pages 19-20.

### **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 an appropriate repository accession the records and make them accessible to students and teachers, environmental activists, and the public.

**Evaluation 1b:** The Environmental Action Alliance surveys 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 Central City Historical Society's Arrangement & Description project focuses on the unprocessed 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 regularly reviews the work of the archival assistant and makes corrections as necessary to ensure the final products meet archival standards. The Project Director submits drafts of the finding aids to the DHP office for review and addresses the DHP's recommendations, if any. The Consulting Archivist reviews the MARC records and makes corrections as necessary to ensure the final products meets archival standards.

## Documentation Projects

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

*Project Example:* The Environmental Action Alliance's Documentation project, significant records of three environmental organizations in the region, the EAA, the Land Trust, and Sustainable Solutions have been identified.

*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 New York repository(ies) and added to their collection(s).

*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 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 periodically review progress in developing selection criteria and identifying potential repositories, and report on the progress that 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.

**- OR -**

*Project Outcome Statement 4a:* The EAA, the Land Trust, and Sustainable Solutions donate their historical records to the Greenville Museum and Archives.

*Evaluation 4b:* The Consulting Archivist and Project Director regularly monitor the status of the relationship with the Greenville Museum and Archives and take action as necessary. At the end of the grant period, the Project Director reviews 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 Central City Historical Society's Arrangement & Description project focuses on the unprocessed 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 Central City Historical 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 Central City Historical Society raises awareness of these valuable records and of their availability to potential researchers and other likely users.

*Evaluation 5b:* The Project Director meets 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 is recorded; calls and emails about the Latino collections are logged. The Society maintains a clipping file of published materials about the project or the collections and logs known broadcasts, presentations, or other communications, especially with members of the Latino communities. The Project Director and staff 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:* Central City History Society volunteers 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 Central City 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.