FY 2017

Missouri
Local Records Preservation Grant Program

Guidebook

Project Year July 1, 2016 to June 30, 2017

Jason Kander

Secretary of State

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Contact and Resource Information

Contact information:
Local Records Program – Grant Administrator
Local Records Preservation Grant Program
600 W. Main
PO Box 1747
Jefferson City, MO 65102-1747
Phone: 573.751.9047
Email: local.records@sos.mo.gov

Resources:
Local Records Program – Grant Program
www.sos.mo.gov/archives/localrecs/grants/

Local Records Program – Retention Schedules
www.sos.mo.gov/archives/localrecs/schedules/

Guidelines for Microfilming Public Records
www.sos.mo.gov/archives/pubs/mfmg/

Preservation Concerns in Planning a Records Center
www.sos.mo.gov/archives/localrecs/conservation/concerns.asp

Local Records Vendor List
http://s1.sos.mo.gov/CMSImages/LocalRecords/Vendors_Information.pdf

Missouri Cooperative Procurement Program
https://oa.mo.gov/purchasing/cooperative-procurement-services

Phone:	573.751.4169
Fax:	573-526-9815
Mail:	PO Box 809 301 W. High St. Jefferson City, MO 65102

FY 2017 Grant Program Timeline

September-October 2015: Workshop announcement

November-December 2015: Regional grant workshops provided (Dates and Locations TBD)

November 15, 2015-January 15, 2016: Draft application review available from Local Records staff

March 1, 2016: Application deadline; postmark or delivery date

May/June 2016: Missouri Historical Records Advisory Board meets to review grant applications

3 to 6 weeks after grant review session: Secretary of State mails award letters, followed by separate mailing containing:

- **Award letters and grant agreement forms**
- **Non-Award letters to un-awarded applicants**
- **Project administration packets upon receipt of agreement forms**

July 1, 2016: FY17 Grant Period begins

January 15, 2017: Interim Report due

May 31, 2017: Final Report due

June 30, 2017: closing date for the FY17 grant cycle

- **Final Reports processed in order received**
- **Final grant payments disbursed**

FY 2018 cycle begins with grant workshops in November 2016

Grant Administration

General Information

The Grant Program's *Administrative Rules* (Title 15, Division 30, Chapter 45, Section 030 et seq) provide the operational basis for the Local Records Preservation Grant Program.

Statutory Obligations

Application for and acceptance of grant project funds administered by the Office of the Secretary of State, Local Records Preservation Program obligates the grant recipient to comply with:

- RSMo 109 (Public and Business Records)
- RSMo 610 (Open Meeting and Records)
- RSMo 34 and 50 (as applicable for purchasing procedures)
- Title VI of the Civil Rights Act, the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, and the Americans with Disabilities Act of 1990

Program Description and Guidelines

Introduction

The Missouri Local Records Grant Program, since 1991, has provided over $6,500,000 to support local public records management and preservation efforts. Grants are funded through fees collected by Missouri Recorders to be used in the preservation of local government records. In this competitive grant program, the number of grant applications submitted and the level of grant funding requested routinely exceeds the total amount available. All applicants are required to dedicate a local cash-match at a prescribed level toward project cost sharing.

Secretary of State Jason Kander awards grants in consideration of the Missouri Historical Records Advisory Board (MHRAB) application review, advice, and recommendation. Official award status occurs with Secretary Kander's notification of award and the execution of a grant agreement form. The grant program operates within the state fiscal year, July 1 through June 30. All projects must be closed no later than June 30, which requires the submission and approval of a final report by May 31.

General information about the grant program, a listing of grant workshops, an electronic version of the grant application, and a three-year listing of previously awarded grants is available at the Secretary of State website:

www.sos.mo.gov/archives/localrecs/grants/

Staff Assistance

Retain this *Guidebook and Application* for your reference and use before and after grant award. This publication will provide answers to many questions that may arise as you implement your project. A packet of additional pertinent information and materials, report forms, instructions and completed sample forms will be forwarded to the designated project contact after official notification of award.

Project applicants must consult with their regional field archivist prior to submission of the grant proposal; contact Local Records (573.751.9047 or local.records@sos.mo.gov) to find the field archivist for your region. A field archivist is assigned to each project prior to its commencement and is available throughout the project for consultation with the grantee.

Eligible Applicants and Projects

Include, but are not limited to:

- Any local government or political subdivision with taxing authority may apply for local records grant funds (county offices, municipalities, school districts, fire districts, etc.).
- Circuit and Probate Court applications developed in consultation with a Local Records Field Archivist for planning grants, microfilming of permanent records, microfilm reader/printers or reader/scanners, and/or steel shelving will be accepted. The Missouri Historical Records Advisory Board has established preservation microfilming as a priority for judicial book materials, such as indexes or record books, which have permanent retention. *NOTE: Loose-leaf records, such as case files, are not eligible for grant funding. Consult with Local Records on the possibility of a processing project.*
- Non-profit institutions may benefit from grant funds if they house public records provided the public executive agency in which the records originated is the grant applicant.
- Records that originate with an eligible applicant entity as well as any locally significant materials or other records that have been donated to and owned by an eligible public entity may qualify for project funding.

Examples of the types of records management and/or preservation projects that qualify for consideration include, but are not limited to:

- Planning activities.
- Records management.
- Preservation microfilming, for permanent records older than 5 years.
- Conservation of unique and/or historically significant original records.
- Professional consultant services.
- Essential equipment directly related to records management, storage, access, or preservation.
- Limited facility renovation for record storage. *Organizations planning to renovate/upgrade their storage space, or planning to create new storage space for permanent records, should consult "**Preservation Concerns in Planning a Records Center**" at* www.sos.mo.gov/archives/localrecs/grants.
- Production of reference tools, finding aids, etc.

Eligible Budget Categories

Include, but are not limited to:

- Personnel costs, as salary only, for existing staff working beyond their normal work hours, new hire, part-time, or temporary help. No overtime will be paid.
- Supplies, i.e. general office supplies, consumable items that are not related to construction or renovation activities.
- Travel that is appropriate and directly related to the project. (Travel to a grant workshop is not eligible.)
- Commercial vendor services, such as microfilming, conservation, etc.
- Consultant fees for planning or specified project services; grant funding capped at $5,000.
- Shelving at either the 70% or 50% level depending upon the type of shelving.
- Renovation labor, supplies, materials.
- Essential equipment such as storage cabinets, reader/printers or reader/scanners, humidifiers/dehumidifiers, etc.
- Other services, commodities, etc. that are pertinent and necessary to the project.

Ineligible Applicants and Projects

Include, but are not limited to:

- State or Federal agencies.
- Electronic preservation.
- Projects completed prior to grant award.
- Expenses incurred prior to the start date, or after ending date, of the grant period.
- Existing or permanent staff positions already funded by the agency budget.
- Equipment nonessential to the project.
- Capital improvements to buildings, such as construction of buildings or additions, due to their high cost and the relatively limited grant dollars available per grant cycle.
- Payments to lobbyists.
- Hospitality expenses.
- Prizes/awards.
- Benefit activities (socials, fundraisers, etc.)
- Educational outreach not available to the public.
- Tuition reimbursement.
- Activities having a religious purpose.
- Inventories, finding aids, or guides not available to the public.
- Purchase of manuscripts or records.

Grant Funding

Matching Funds

A local match of at least 30%, and in some cases 50%, is required. Local match may consist of cash, in-kind, or a combination of the two, and must meet or exceed the percentage required for your project.

- *Local cash match* Cash matching requires that the entity spend money. In cash matching, money changes hands and must be documented with canceled checks and/or paid receipts. Documentation of cash match must be maintained and available for audit purposes. A regular staff member working on grant-related tasks outside of his/her normal duties may count the value of that time as cash match (calculated as straight time, no overtime). Salary certification forms for regular employees working extra hours on the grant, or temporary grant employees, must be included with payment documentation whenever the entity requests reimbursement or whenever proof of cost share is required. A simple hourly rate of pay with no fringe benefits is allowed.
- *Local in-kind contributions* In-kind matching is non-monetary contributions that allow the grantee to claim the value of project-specific contributions. Examples of in-kind contributions include, but are not limited to:
  - Donations.
  - Existing agency services, supplies, and/or commodities.
  - Contributed volunteer time computed at the current Federal minimum wage or a justified higher salary for more technical or professional level work.

Local Match

Any funds designated as local match are restricted to project-related use and must be spent within the contract period of the grant and prior to submission of the Final Report due May 31, 2016. Records must be maintained that show the source and amount of all matching contributions and the time period in which the match was encumbered or expended; this level of record keeping is necessary with any local match contribution.

	Grant funds	**Match**	**Examples**
Non - Equipment Purchases	Up to 70% of total purchases	Minimum 30%	Standard steel shelving, Personnel costs, Imaging vendor costs
Equipment Purchases	50% of purchase	50% of purchase	Non-standard shelving (compact shelving), Reader/Printer/Scanners, Renovation services and supplies

Planning/consultant projects are capped at a $5,000 maximum award; all other projects are capped at $25,000.

Applications showing a higher percentage cash match are given preference.

Application Review and Award Process
Local Records staff can provide guidance in completing the application. Additionally, draft applications can be reviewed by the Grant Administrator from mid-November through mid-January with suggestions offered to guide development of the application.

The grant review process is competitive, as only a limited amount of funds are available for distribution. ***Projects that meet the criteria of the grant program, are well conceived, fully described and adequately supported, in a correctly completed application form arranged in the proper order, will receive the most favorable review.***

Applications for the FY 2017 grant program are due March 1, 2016. The Missouri Historical Records Advisory Board (MHRAB) reviews applications in late spring/early summer and makes their award recommendations to the Secretary of State. Projects may be awarded in full, partially funded, or denied funding.

Award letters and agreement forms are mailed to the awarded applicants. You must sign and return the **Grant Agreement**. You will then receive a **Notice to Proceed** letter, signifying that grant work may begin. The date of the **Notice to Proceed** will be the start date for your grant award. It signifies that the **Grant Agreement** has been signed, returned to Local Records and countersigned by the Secretary of State or designee. Grantees may not use grant funds to pay expenses incurred prior to the official start of the grant period or incurred after the conclusion of the grant period.

> *Note: Grant award decisions are final; however, denied applicants are encouraged to consult with Local Records staff to develop revised submissions for subsequent grant cycles.*

When scheduling and funding permits, the Secretary of State presents facsimile checks to awarded grantees at an Award Ceremony. Grantees have the opportunity to meet informally with the Secretary, the regional Field Archivist and/or Local Records staff. Legislators are notified of awards within their jurisdictions. The Secretary of State's Communication Director prepares a media release for each awarded agency to be forwarded to the grantee's area newspapers.

Grant Payments
Grant payments for awarded projects are made on a reimbursement basis. Grantees must submit invoices for goods or services before grant funds will be disbursed.

Only budget items that were specified in the grant application are eligible for reimbursement.

Requirements

Reimbursement

To receive reimbursement, the grantee must be registered as a vendor with the State of Missouri. In addition, all reimbursements are made through Electronic Funds Transfers (EFTs). You must fill out and submit the State of Missouri **Vendor Input/ACH-EFT Application**. This must be faxed to 573.526.9823, or mailed to: Office of Administration—Accounting, PO Box 809, Jefferson City, MO 65102. A copy of the form should also be attached to the grant application.

The first reimbursement to grantees can be made following receipt of the Notice to Proceed, with proper documentation indicating that no reimbursable expenses were incurred prior to the start of the grant period. Final reimbursement must be requested by May 31, 2017. All necessary supporting documentation is required prior to any payment.

Project Bids and Expenditures

Services, equipment and other project costs exceeding $3,000 require bids. These bids should be acquired prior to completing the application in order to determine the amount of funds needed. All bid documentation collected before and after project approval should be retained. **Documentation of bid solicitation should be submitted prior to or along with the Final Report if documentation was not included with the grant application**.

Accounting and Auditing Requirements

Financial records must be kept in accordance with agreed upon accounting practices and Grantees must comply with the audit requirements set forth in Missouri statutes for local government units. These records can be subject to inspection by Secretary of State staff during regular business hours throughout the grant period and for the time period allowed by the General Retention Schedule, GS 040 Grant Records.

If any litigation, claim, or audit is begun before the end of three (3) years, the records must be retained until such proceeding is resolved. Should any adverse finding occur, a copy of the audit, finding, and a report on final resolution must be forwarded to Local Records.

Project Progress Reports

The Local Records Grant Program requires completion of both the narrative and financial components of the Interim and/or Final Report during the project period; each of these report components provides an outline of project progress:

- Only expenditures incurred within the inclusive dates of the awarded grant cycle and in the approved budget categories can be claimed.
- The application budget summary is based on approximated figures; however, the <u>actual expenditure amounts must be used to complete the Interim and Final financial status reports.</u>

The ***Interim Report*** is due on or before **January 15.** A Final Report may be submitted in lieu of the Interim Report if the project is completed by the Interim Report date.

The ***Final Report*** and payment request is due on or before **May 31**. Early submission of the Final Report is highly encouraged to avoid significant payment delay of any remaining grant monies due the grantee.

Project Changes

The Grant Administrator MUST receive written notification and approve of any change to the project prior to implementation of the desired change. Changes to the grant submitted on a *Request to Revise Project* form include, but are not limited to:

- Any change of agency address, telephone or fax numbers, or project personnel email address as well as pertinent personnel changes such as authorized official, project contact person or other project staff carrying out specific project assignments.
- Programmatic changes such as altered inclusive dates as well as added or deleted record series from microfilming projects; modification of the awarded project's scope; added/deleted project components or activities.
- Budget revisions, which are permitted only with official approval from Local Records, provided:
  - the original total grant award amount is not exceeded.
  - all applicable match requirements are met.
  - a written request is submitted on a *Request to Revise Project* form, and includes:
    - ✓ identification of specific budget categories and/or budget line items, as well as individual item(s) at the 50% cost share level, are to be reduced/increased and by what amount.
    - ✓ the reason/need for the revision.
    - ✓ the total dollar amount of funds to be reallocated.

Project Extension
No extensions will be granted.

Withdrawal of Awarded Grant Funds
Grant recipients can voluntarily withdraw from the program at any time.

Default
Failure to conform to the *following criteria can put a grantee in default status*:

- Adherence to the project parameters as awarded or amended and agreed upon.
- Follow the programmatic, fiscal or reporting requirements of the grant program as described in this *Guidebook and Application*.
- Comply with the technical specifications in *Guidelines for Microfilming Public Records*.

Default status will result in the grantee being deemed ineligible for future Local Records grants

Imaging Projects

Introduction

Reformatting records is a long established records management practice. Traditionally, this has meant microfilming records. Microfilm is miniaturized images of paper records photographically reproduced on roll film. It is the same basic process as conventional black and white photography. Microfilm processed according to accepted standards, which produces a clear, accurate and permanent reproduction of the original document can be deemed an original record and admissible as evidence in courts and administrative agencies.

Reasons to Microfilm

- **Preservation** – The microfilm silver master stored under environmentally controlled conditions can retain uncorrupted information for an optimum life expectancy of 500 years for the protection of original document information. Digitization is not an acceptable form of preservation.
- **Improved Access** – Information can be easily stored in a single location; immediate copies are readily available with a reader/scanner or other appropriate printing or duplicating device. Duplicate film copies can be placed in several locations to improve public access and customer service.
- **File Continuity** – Information cannot be disorganized or lost.
- **Security** – Remote storage of silver masters provides protection against fire, water or other disasters and provides the ability to create replacement film.
- **Economies of Space and Money** – Microfilmed records require approximately 2% of the space occupied by paper documents.

While digitization is not an acceptable method of preservation, it is an exceptional tool for access. Given existing technologies and capabilities, it is possible both to digitize for access and microfilm for preservation.

Reasons to Digitize

- **Improved Access** – Digitization provides superior access to microfilm, when the images are properly indexed. Digital images can be easily connected to an index or database for retrieval.

Eligible Records

Not all records are eligible for grant-funded imaging. Only permanent, long-term, or historically significant records are eligible for funding. The Missouri Secretary of State's Office develops and provides record retention schedules for most local government entities. These schedules include basic information on records management, a glossary of terms, and a schedule of retention periods for the standard records of specific offices. You must review both the General Schedule and the appropriate agency retention manual(s) to identify your records eligibility for imaging. Retention manuals are available electronically at the Secretary of State's web site: www.sos.mo.gov/archives/localrec/schedules/.

Records must be over 5 years old to be eligible for an imaging grant, unless they receive special approval by the MHRAB. Exceptions are provided for extenuating circumstances, such as mold problems or arrangement of records. Be sure to explain any such circumstances in the project narrative.

Imaging projects are awarded for specified, eligible record series. ***Any changes, additions or deletions to the record series must be requested in writing and approved by the Local Records Grant Administrator prior to imaging.***

A *Request to Revise Project* form must be submitted with an updated *Records to be Imaged* form, completed in the application form for each added or changed series.

Imaging Project Requirements

Microfilm produced with grant funding must meet Local Records' technical specifications as cited in ***Guidelines for Microfilming Public Records.*** The selected vendor must comply with production and quality control standards for a microfilming project to be successfully completed. This publication is available in a searchable format at www.sos.mo.gov/archives/localrecs/grants/ or you may request a copy from the Grant Administrator.

- An imaging grant will cover production of:
    - a silver master and one diazo copy on 35mm roll film, for standard filming,

    or
    - a silver master on 35mm roll film and digital images on DVD or other media.

- Only in special instances and with acceptable justification will Local Records approve 16mm film. This approval must be solicited and received from Local Records in writing prior to submitting your grant application.
- One page per microfilm frame is the standard format. Multiple pages per image filming requires justification and advance approval from Local Records. For example, exceptions may be allowed when filming indexes in which the data runs across two pages in ledger format; aperture cards that include more than one embedded image per card.
- Open reel film is required and:
    - must be thick film (4 mil or thicker)
    - must include appropriate labeling and targets
    - reels should be at least ¾ full unless it is the last project reel, but in no case will film meet or exceed the top edge of the reel
    - reels should not contain any plugs in the spools
    - reels should be sequentially numbered
    - records should be arranged according to accepted records management practice or standard filing procedures such as, chronological order, alphabetical order, numerical order, etc.

- SilverLock, BrownTone, or similar film treatments qualify for grant funding. SilverLock or Brown Tone have been proven to convert the silver in film to silver sulfide making the images more stable. This is an optional treatment.

Aperture Card Conversion Projects

- Aperture conversion projects are awarded on a contingency basis with a unique set of post-award and pre-implementation requirements. Please contact the grant administrator for this information prior to developing your proposal.
- For aperture conversion projects, the grant will cover production of a silver master one silver duplicate on 35mm film, and digital images on DVD or other media.

Preparatory Activities

Pre-Award Activities for Imaging Projects

Determine records to be imaged

1. Check the appropriate records retention schedule to identify and separate eligible record series and/or books for imaging.
2. Check ALL records storage locations to make sure the range of years is complete for the records you wish to image.
3. Identify and organize the selected records by office of origin and record series.
4. Use the appropriate record retention manual to identify and separate record series eligible for imaging. (NOTE: You must complete this step to correctly prepare the *Records to be Imaged* form(s) in a grant application.)
5. Complete one *Records to be Imaged* form for each record series as identified in the appropriate agency retention schedule produced by Local Records. These retention schedules are available online at www.sos.mo.gov/archives/localrec/schedules/ .
6. Review the Imaging Section in this Guidebook and the microfilm guidelines for specific instructions for filming projects.

Determine the cost to process the records

7. Calculate staff time and supplies necessary to prepare records for imaging by preparing a small portion of the records and extrapolating the cost for the entire series. You should allow 25% or more of the total project time to prepare the records for imaging. This should include the time it will take to inspect for appropriate targets, text legibility, and content completeness.
8. Estimate the number of pages to be imaged. Vendors are typically willing to come on-site and help determine this number.
9. Solicit bids from vendors based on number of images estimated. Phone bids can be requested using the number obtained in the previous step.

Complete the grant application

10. Verify that all information on the *Records to be Imaged* form is complete and accurate, including series title(s), date ranges(s), retention information, etc.

Working with Vendors
Imaging cost estimates are necessary to complete the grant application. The volume of materials to be imaged must be determined and a cost basis established for imaging the one page per frame on 35mm roll film and the production of one silver master and one working copy on open reels, or one silver master on open reels and copies of digital images. A standard cost basis for imaging can be per-image cost, the cost per 1,000 images, or cost per bound volume. Be sure the estimate includes all appropriate vendor charges. It is important to have reasonable and accurate estimates to develop your project budget.

Vendors can provide an approximate cost based on the estimated number of pages and/or images. If the vendor charges for time spent evaluating the project, it is considered a pre-grant expenditure ineligible for reimbursement with grant funds.

Require the vendor to follow Local Records specifications as outlined in *Guidelines for Microfilming Public Records*. If you have not located all records within a series that you wish to image, or you have not removed extraneous materials from the records before a vendor estimates imaging cost, you may run into unanticipated financial difficulties, such as cost overages for additional materials that exceed grant award, or vendor- incurred fees that would be ineligible for grant funding.

Actual imaging charges may deviate from the vendor's estimated cost as you will insert additional target pages to your records prior to imaging. The number of these insertions cannot be determined before record preparation is completed.

Records to Be Imaged Form Instructions
Imaging project applications must include one *Records to be Imaged* form for each record series to be imaged. If awarded, this form establishes the contracted basis of your project. Any deviation from this record information as awarded will require formal amendment to the contract by the awarded agency to support grant payments for microfilming services.

Post Award Activities

1. Evaluate bids, award a vendor contract, and complete *Imaging Information Sheet*. This form must be received by Local Records before imaging may begin.
2. Prepare all records for imaging:
    a. Process the records
        i. Unfold and clean loose paper records and book pages if necessary.
        ii. Remove paper clips, staples and other extraneous material.
        iii. Maintain or establish logical order, for example, chronological or numerical.
        iv. Re-folder (if necessary), label and properly store the records.
        v. Pack loose-leaf records and small books in standard, one cubic foot boxes (15" x 12" x 10") for storage and shipping.
    b. Produce computer-generated identification and informational targets
        i. Series title targets identify each record series and will appear once at the beginning of the series.

        ii. Box/volume target: This target will appear at the beginning of each box/volume and will include the series name and the volume/box letter/number.
        iii. Explanatory targets: These explain any special condition of the records, such as PAGE 30-89 BLANK, MISSING PAGE, or other specific direction to the vendor. The grantee should insert these at the appropriate locations in the records.
    c. Produce inventory and box lists for yourself and the vendor.
    d. Packing
        i. Volumes must be arranged in the order in which they are to be filmed.
        ii. Boxes must be labeled with the range of materials enclosed and numbered in the order they are to be filmed. Label boxes on both ends.
        iii. Include inventory list to vendor and place box list in each box.
3. Field Archivist review and approval
    a. Notify Local Records when you have completed preparing and packing your records.
    b. A Field Archivist must review the records for proper preparation and approve the targets produced. If these are satisfactory, the Field Archivist will complete a *Checklist for Grant Funded Imaging Projects* for each record series and you may ship the records to the vendor. If revisions to the records preparation or the targets are required, they must be made before the records may be shipped to the vendor.
    c. Retain a copy of the *Checklist for Grant Funded Imaging Projects* and provide a copy for the vendor.
4. Filming and inspection sequence
    a. Vendor produces the first, single master reel of microfilm and submits it to Local Records approval.
    b. Upon Local Records approval of first reel, the vendor then:
        i. films remaining records,
        ii. develops and inspects the silver masters,
        iii. creates diazo copy/digital copy, and
        iv. sends silver masters to Local Records for approval upon completion of filming.
    c. Local Records inspects silver film and approves or rejects based on established guidelines. Accepted silver film will then be stored in the Missouri State Archives microfilm vault. Rejected silver film must be reshot and resubmitted until accepted.
    d. Grantee receives the approved microfilm diazo reels or digital images from the vendor.
    e. Grantee inspects their copy for appropriate targets, text legibility, and content completeness.
    f. If grantee and vendor follow-up is necessary to re-image unacceptable products, new film will have to be approved by Local Records
    g. Grantee notifies Local Records of product acceptance.
    h. Local government official authorizes original record destruction <u>only after</u> all microfilm is confirmed as complete by the local official and acceptable by Local Records.

Application Preparation Tips

Getting Oriented

READ this *Guidebook and Application* to become familiar with the program.

- Determine if your agency, institution or organization and your proposed project is eligible for this grant program.
- Understand what the responsibilities of all individuals involved in the project will be if awarded a grant.
- Know what information must be included in your application: refer to the application instructions and sample pages to complete the application form.
- Objectively evaluate your available resources. Develop a realistic estimate of the funds, staffing and time needed to undertake and complete the project within the grant cycle timeframe. In particular, if you propose to undertake an imaging project for the first time, choose a relatively small record series, or portion of a series, to improve your likelihood of success.

NOTE: The best project proposals are focused, achievable and part of a long-term records management plan.

Getting Started

The Guidebook and Application is revised for each grant cycle; you must use the correct fiscal year edition.

- Refer to specific sections as you develop your proposal.
  - The *Guidebook* is a ready reference source of information for effective administration of an awarded grant.
- Contact Local Records, or your field archivist, if you have questions.
- Allow sufficient time to develop a successful proposal.
  - Guarantee your local funding as soon as possible.
  - Prepare a draft, then edit, revise and proofread it carefully to achieve the best proposal possible.
  - Use the draft proposal review services offered from mid-November through mid-January.
- Determine realistic costs; don't underestimate the level of staffing and time commitment required. Gather bids and/or conduct trial runs of project components to get these estimates. However, costs change and projects often take longer than you anticipate. Many grantees find that the project requires more time than had been estimated.

Putting It All Together

- FOLLOW the guidelines, instructions and format. A submitted application must be complete:
  - Use the current Application form.
  - Respond to all entries within the application form.
  - Attach all applicable forms and support materials as required and appropriate to your project.
  - Arrange the pages in the correct order.
- Make your responses clear and concise; your proposal will be judged on content, not weight.
- CHECK the budget figures and computations. Ensure the numbers on the budget summary sheet correspond to the narrative budget detail totals and the submitted vendor cost estimates.
- **Have someone other than yourself review the draft** for clarity, typos, spelling errors, etc. If they do not understand the proposal, there's a good chance the official reviewers may not either.
- **Use blue ink for all signatures.**
- PROOFREAD THE FINAL DRAFT BEFORE SUBMITTING IT.
- Submit the completed original application plus one (1) photocopy. **Do not staple, permanently secure or place the original in any type of binding or folder;** secure it with a binder clip or paper clip. The duplicate copy may be clipped or stapled.
- **Applications MUST be received or postmarked by the March 1, 2016 deadline date to receive consideration.**

Instructions for the Budget, Explanation and Justification

- Provide a detailed breakdown and cost basis for each component included on the *Budget Summary* sheet.
- In some cases a brief statement is necessary to justify why a particular expenditure is appropriate: for example, the reason for selecting a traditional analog reader/printer rather than a reader/printer/scanner.
- The total cost for each budget category on this page should be equal to the costs on the *Budget Summary sheet* and on the vendor estimate(s).

Personnel –

- Show staff name, or position if new staff is to be hired, and/or existing staff who will work on the project; designate their hours as grant, local cash, and/or in-kind.
- Show estimated pay rate and work hours for each staff member, and total all personnel costs.
- If benefits are included as personnel costs, this should also be shown. Note that grant funds will not cover benefit costs, but this expenditure can be designated as local cash match for new hires, or existing staff working beyond their normal/contracted hours. Salary and benefits for existing staff working on the project during their normal work day are claimed under in-kind match.
- Volunteer hours can be calculated by using the current minimum wage rate for an in-kind contribution.

Supplies – This category is for archival/preservation supplies, standard, cubic foot shipping/storage boxes, general office supplies and consumable materials covered at the 70% match level. Office equipment and furnishings, construction or renovation supplies and materials should be placed in the *Equipment* budget category at the 50% match level.

Vendors – Cost estimate should be provided for one silver master and one diazo copy with one page per frame on 35 mm roll film, or one silver master and digital images on appropriate media. (Note: A silver duplicate is provided instead of a diazo copy for aperture conversion projects.)

- Provide an estimated cost for microfilming a designated selection of records. Indicate the per image, per 1,000-images, or per volume rate, and the total number of estimated images or volumes as the cost basis for your project.
- Copies of vendor estimates should be included as attachments to your application.
- In-kind contribution cannot be claimed for vendors. Agency personnel costs associated with this budget category should be incorporated within the *Personnel* budget line.
- ***Records must be older than 5 years for filming, unless they are included as part of a longer time frame, or extenuating circumstances (such as, a mold problem). Be sure to include this information in your project narrative.***
- ***Fees for records destruction are not eligible project costs. Destruction of original records that have been filmed should not occur without documented authorized official approval and only after film has been verified as legible and complete.***
- ***Microfilm storage costs are not eligible project costs.***

Consultant(s)

- Indicate the general services the consultant will provide in addition to fee and other related compensation costs.
- Copies of the consultant's fee estimate or cost proposal and résumé should be included as an attachment to your application.

NOTE: Awarded projects must send a copy of the service contract and a copy of any publication(s) produced by the consultant to the Grant Administrator as they are available.

Other – This category can include

- Grant or local cash match cost for such things as newspaper ads for bids.
- In-kind items, such as utilities, space, etc. provided as a local match. These will require an explanation of how such values were determined.
- The cost of appropriate, project-related equipment to be purchased solely with local funds and designated as cash match.

NOTE: It is not necessarily advantageous to increase the total project cost with additional budget items or excessive in-kind as the local cash match dollar amount will increase in proportion to the total project cost.

Shelving

Samples of Industrial Shelving Units

- **ONLY** industrial-type metal shelving costs can be included at the 70% grant funded level. These types of record center shelving units generally consist of:
  - Four round-edge angle-upright posts (13 to 18-gauge) drilled with holes at standard intervals (the lower the gauge number, the stronger/thicker the metal and the higher the weight bearing capacity); multiple units should be stabilized side to side and/or back to back.
  - Depending on the height of the unit/s, sway bracings may be necessary as an additional shelving unit component.
  - The shelves are attached with stove bolts and nuts and should be spaced on 12-inch vertical centers. The bottom shelf must be at least 3 inches off the floor.
  - If the floor is uneven, shelving units may need to be shimmed to keep the shelves level.

- Shelving of similar construction may also qualify at the 70% grant funding level. Please check with the grant administrator or the local field archivist if record center shelving will not accommodate your needs. Provide a rationale for the shelving desired.
- ***Wood or plastic shelving is not funded.***

- ***All other types of shelving such as compact or mobile shelving, open lateral files, etc. are funded at the 50% local cash match level.***
- List the per-unit cost, the number of units desired, and the total shelving cost. Any vendor shipping and/or installation charges are also included here.
- In-kind contribution cannot be claimed for shelving costs: agency personnel costs associated with this budget category are incorporated in the *Personnel* budget line if appropriate.

Equipment – All non-shelving project-appropriate equipment is funded at the 50% local cash match level.

- Microfilm reader/printers or reader/scanners, hanging-files storage, microform storage cabinets, map cabinets, file cabinets (Note: Fire-proof cabinets are not funded), as well as portable air conditioning units and humidity control items. Show the cost per-item, the desired number of items, and the total costs for each "type" of selected equipment.
- Do not provide make and model names/numbers. Indicate generic specifications or capacity of a given item. General terms for equipment items, rather than a detailed listing of specific component parts, should be entered on the *Budget Summary* sheet; for example, Reader/Printer/Scanner.
- Equipment maintenance costs are NOT eligible project costs

NOTE: Component supplies for secure-storage, basic construction, security, or fire suppression systems are included under *Equipment*.

Renovations:

- *Organizations planning to renovate/upgrade their storage space, or planning to create new storage space for permanent records, should consult the resource "Preservation Concerns in Planning a Records Center"* ***at*** www.sos.mo.gov/archives/localrecs/grants.
- Renovation supplies and materials are indicated as generic terms on the *Budget Summary* sheet (ex. Electrical fixtures and labor), but the breakdown should be more detailed in this narrative section. Show the per-item charge, number of items and total cost.
- Capital improvements, such as ground-up construction of new additions to existing buildings are NOT eligible project costs. Please call the grant administrator if your renovation components may be questionable.

Project Specific Support Materials

Additional support material should be arranged in the following order when appropriate:

Records to be Imaged Form

This form establishes the contracted basis of your microfilming project.

Reader/Printer or Scanner Form Instructions
Information on the *Reader/Printer or Scanner Request* form can assist you in selecting appropriate equipment.

Provide support documentation for reimbursement by attaching copies of brochures, vendor catalog pages, specification sheets, vendor estimates, consultant information, or other materials that will identify the supplies, services, equipment, etc. If more than one item is printed on the page please indicate the desired commodity.

Letter of Financial Commitment
The letter should be drafted, preferably on the organization's letterhead stationery, for signature by the authorizing agency and/or the organization(s) that will provide matching funds for the grant project. The percentage level(s) of matching funds to be provided should be stated rather than straight dollar amounts.

Floor Plans
Floor plans are required for shelving or renovation projects. These plans do not have to be to scale, but should show the storage area dimensions. Show the placement of shelving, equipment, furnishings and any significant architectural features.

Résumé(s)
Résumés must be provided for all staff and/or consultants who will be actively working on the project. Briefly describe each person's regular duties as well as their project responsibilities. If new or temporary staff will be hired, submit a job description and provide a brief résumé after hire.

Other
Relevant supplemental information/materials may be added to support your proposal. These may include sample forms, letters of support, photographs, and/or descriptions of items or services that are part of the project and have not been noted or illustrated elsewhere in the application.

Electronic Fund Transfer
Complete the *Electronic Fund Transfer* form to establish the bank direct deposit option, to change an existing account or create an EFT account with the State.

Use the Application Checklist at the end of the Application section to verify all application entries have been accurately completed and the application pages correctly arranged.