

2023-2024 Conservation/Preservation Discretionary Guidelines

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Grant Announcement

Legislative Authority	Education Law §273.6(c) in 1984, expanded in 1986 and revised in part O, Chapter 57 of the Laws of 2005.	
Purpose/Goal	To encourage the proper care and accessibility of research materials in the State, to promote the use and development of guidelines and standards for conservation/preservation work, and to support the growth of local and cooperative preservation programs. To provide modest financial support for projects that contribute to the preservation of significant research materials in libraries, archives, historical societies, and other agencies within the State of New York, whether by improving collection storage environments, reformatting or treating collections or other preservation activities described in these guidelines.	
Eligible Applicants	Agencies and libraries chartered by the Regents, not-for-profit libraries, archives, historical societies, and similar agencies within the State, and from consortia or cooperating groups of such agencies. See page 1, Eligibility, for more details.	
Funding	Source: New York State Aid to Libraries Estimated Funds Available: \$500,000 Estimated Size of Awards: Minimum grant award is \$2,500; maximum grant award is \$40,000 <u>Awards will be made subject to appropriation and availability of funds.</u>	Match Requirement: No financial match is required. See page 22 for Institutional Contribution of staff time requirements.
Important Dates for Awarding Grants	Applications must be received through our online grant application system by: January 6th, 2023	Online Grant Application Portal Project Period: July 1, 2023– June 30, 2024
Additional Information	Conservation Preservation Program webpage	
SED Contact for Q & A	Questions will be accepted at the email address until November 30th, 2022. Applicants are instructed to check the Q&A page at CP Grant FAQ's frequently during the application period. Answers will be posted by December 2nd, 2022	E-mail: preservation@nysed.gov
New Prequalification Requirement	The State of New York has implemented a new statewide prequalification process (described on the Grants Reform website) designed to facilitate prompt contracting for not-for-profit vendors. All not-for-profit vendors are required to pre-qualify prior to the due date of grant application. This includes all currently funded not-for-profit institutions that have already received an award and are in the middle of the program cycle. See Appendix A.	
Notice of Interest	Prospective applicants are strongly encouraged to provide NYSED with a notice of interest in applying for this grant opportunity to ensure a timely and thorough review and rating process. A non-profit applicant's Notice of Intent (NOI) will also help to facilitate timely review of their prequalification materials. Such notice should be submitted by November 30th, 2022 and be sent to preservation@nysed.gov . The notice should include the legal name of the applicant and the name of the grant (2023/2024 Conservation/Preservation Discretionary Grant Program). Please also include your organization's NYS Vendor ID.	
M/WBE Requirement	All applicants applying for grants in excess of \$25,000 are required to comply with NYSED's Minority and Women-Owned Business Enterprises (M/WBE) policy. See Appendix B.	

GENERAL GUIDELINES

THE DISCRETIONARY GRANT PROGRAM

The New York State Discretionary Grant Program for the Conservation and Preservation of Library Research Materials was authorized under Education Law, Section 273.6(c) in 1984, expanded in 1986 and revised in Part O, Chapter 57, of the Laws of 2005. Its purpose is to encourage the proper care and accessibility of research materials in the State, to promote the use and development of guidelines and standards for conservation/preservation work, and to support the growth of local and cooperative preservation programs.

The Discretionary Grant Program provides modest financial support for projects that contribute to the preservation of significant research materials in libraries, archives, historical societies and other agencies within the State of New York, whether by improving collection storage environments, reformatting or treating collections or other preservation activities described in these guidelines.

ELIGIBILITY

The Commissioner's Regulations state:

"Agencies and libraries [eligible for funding include those] chartered by the Regents or, in institutions chartered by the Regents . . . and other agencies collecting, organizing, maintaining and making available to the people of the State, library research materials . . ." 8NYCRR Section 90.16(a)(2).

The Conservation/Preservation Discretionary Grant Program will therefore accept applications from not-for-profit libraries, archives, historical societies, and similar agencies within the State, and from consortia or cooperating groups of such agencies.

Eligible agencies include those that have been:

- a) chartered by the Board of Regents of the State of New York; OR
- b) accepted by the Board of Regents for filing under the not-for-profit sections (section 216) of the Education Law; OR
- c) registered with the office of Charities of the New York State Department of State; OR
- d) granted not-for-profit status under section 501(c)(3) of the United States Internal Revenue code.

Applications from agencies not clearly eligible by one of these criteria will be examined by the Conservation/Preservation Program staff and, if necessary, the State Education Department Office of Counsel, to determine eligibility. Particular attention will be paid to the agency's organization, legal establishment, governance, sources of support, and services.

Agencies **not** eligible to receive discretionary grant funds are:

- 1) The eleven designated comprehensive research libraries (Columbia University Libraries, Cornell University Libraries, New York State Library, New York University Libraries, University of Rochester Libraries, Syracuse University Libraries, the Research Libraries of the New York Public Library, and the libraries of the State University of New York centers at Albany, Binghamton, Buffalo and Stony Brook).

- 2) Institutions wholly or in part under the control or direction of any religious denomination, in which any denominational tenet or doctrine is taught, are constitutionally ineligible to receive State financial assistance. To be considered under this program applicant institutions having any religious affiliation must demonstrate that they are not ineligible on these grounds by:
 - a. certifying that they are part of an institution previously approved, in accordance with Education Law, Section 6401, to receive Aid to Independent Colleges and Universities ("Bundy Aid"). If they are part of an institution which has been found *ineligible* for Bundy Aid or which has not applied, this should be noted in the application; OR
 - b. seeking a determination by the Commissioner of Education on constitutional eligibility. Such an application may be initiated by writing to Counsel and Deputy Commissioner for Legal Affairs, State Education Department, Albany, New York 12234. Because the necessary review process may in some cases require a substantial period of time, it is urged that applicant institutions initiate the process at the earliest possible time.
- 3) Federal libraries and collections which are part of Federal agencies located within the State.
- 4) New York State agencies and collections which are part of State agencies, including New York State Historic Sites. However, State University of New York (SUNY) colleges *are* eligible to receive discretionary grant funds.

Institutions may submit only one application per grant cycle. Emphasis in the program is given to stimulating preservation activity throughout the State by granting modest financial assistance to as many projects as possible.

COOPERATIVE ACTIVITIES

Cooperative conservation/preservation projects are encouraged. Two or more eligible agencies may apply for a grant involving related collections, shared resources or facilities by designating one member of the group to submit the application. Each participating agency must individually satisfy all eligibility requirements.

Participants can form a partnership or consortium to apply for the grant. In order to do so, 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. In such cases, an active member of the partnership/consortium must act on behalf of the SUNY or CUNY college or university.
- e. Cannot act as a flow-through for grant funds to pass to other recipients. NYSED may establish a minimum level of direct service to be provided by the fiscal agent.
- f. Is PROHIBITED from sub granting 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.

Each participating agency must also agree to perform the services outlined for its institution in the application and indicate their agreement by submitting a signed copy of the **Cooperative Applications Agreement** (see online application page 23).

AMOUNT OF AWARDS & DURATION OF PROJECTS

Grant awards in 2023/2024 will normally be limited to a minimum of \$2,500 and a maximum of \$40,000. Proposals may be funded at the full amount of the request or at a partial amount, depending on the recommendations of the reviewers and the availability of funds. Funds will be awarded in the 2023/2024 grant cycle for projects beginning **July 1, 2023**. Applicants are expected to contribute significant internal resources to the project (although dollar-for-dollar matching funds are not required), and proposals may be strengthened by evidence of support from other sources beyond that requested from the State. For all types of projects, the minimum is 20 staff/volunteer hours. Funds must be used for project activities carried out before **June 30, 2023**.

NOTIFICATION OF AWARDS

No information regarding the status of an application will be released until all applications have been reviewed. *Do not telephone the State Library's Division of Library Development to request information on the status of your application.* All applicants will be notified of final decisions by email.

CONTRACT TERMS AND CONDITIONS

Grant awards above \$15,000 will require that the awardee enter into a grant contract, pursuant to the Master Contract for Grants. The grant contract will be signed by the awardee and NYSED Counsel. All provisions of these guidelines are subordinate to the terms and conditions of the grant contract. The contents of these guidelines, any subsequent correspondence related to final contract negotiations, and such other stipulations as agreed upon may be made a part of the final contract developed by NYSED.

BUDGET AMENDMENTS

Changes in the budget are allowable so long as the changes are compatible with the overall preservation activities described in the Plan of Work.

Changes in any single budget category of more than 10% *must* be submitted on the FS-10A and approved in advance by the Conservation/Preservation program office.

Once the program office approves the FS-10A, it will be forwarded to Grants Finance for final approval.

Any changes in number or kind of personnel or type of equipment must be approved in advance even if the dollar amount remains constant. However, changes in amounts to be paid for already approved personnel and equipment require budget amendments only if they are more than 10%.

Budget amendment requests are completed through the online grant portal.

GRANT PAYMENT SCHEDULE

Grant funds are paid in two installments: 90% (FS-10) and 10% (FS-10-F) according to Education Law Section 273(6)(c).

Release of 90% of the total award is authorized at the beginning of the project period with the approval of the FS-10 and, if applicable, the grant contract. Approval of final reports will result in release of remaining funds, up to the amount actually expended of the remaining 10% of the award. Final reports on project accomplishments and expenditures are due by **July 17th, 2024**. The final financial report must provide a complete accounting of all discretionary grant funds spent during the project period.

ELIGIBLE MATERIALS

The Discretionary Grant Program supports the preservation of library research materials with significant research value. As defined in the Commissioner's Regulations, library research materials mean informational materials in print, non-print, manuscript or any other format or medium. Eligible materials may therefore include books, journals, newspapers, documents, photographic prints and negatives, sound recordings, maps, architectural drawings, and other materials whose primary value is informational. While some historic materials may have considerable value as cultural artifacts in addition to their informational value, all materials to be preserved with discretionary grant funds must have significant informational value as well. Collections of three-dimensional artifacts and works of art on paper are not generally considered to be eligible materials.

Research value is defined as long-term historic significance, as opposed to, or in addition to, short-term topical interest. Age, aesthetic interest or the degree of deterioration will not, in themselves, argue effectively for preservation if research value cannot also be established.

The preservation of newspapers is supported by the Discretionary Grant Program. Bibliographic inventory activities are not eligible for discretionary grant awards.

Newspaper preservation projects will be considered for funding provided the research value of the titles to be preserved can be established, and provided the title was not microfilmed as part of the [New York State Newspaper Project \(NYSNP\)](#)

Newspaper preservation projects receiving discretionary grant awards normally will be limited to reformatting titles onto 35mm roll microfilm in accordance with published standards (see Microform Guidelines). Preservation of newspapers in their original format will be allowable *only* when their artifactual value can be clearly established, and compelling arguments can be presented to justify such an approach. Artifactual preservation of newspapers is usually appropriate only for very early newspapers with specific historic significance.

All master negatives of newspaper titles produced with discretionary grant funds must be deposited at the New York State Library. The State Library will provide environmentally controlled storage for master negatives. Discretionary grant funds may be used to provide a duplicate negative (printing master) and a positive user copy for the institution.

The State Library will provide cataloging for microfilm produced by non-NYSNP projects that is consistent with standards set by the [United States Newspaper Project \(USNP\)](#)

OWNERSHIP & ACCESS

Materials to be preserved with discretionary grant funds must be a part of the applicant's collections, and must be available for reference, on-site examination and/or loan. Some materials, owing to their physical condition, nature, or value, should not be loaned or used without supervision. It is not the purpose of this program to dictate the access or service policies of an institution. However, applicants must provide assurance that materials

to be preserved with grant funds will be made appropriately available to all the people of the State.

In addition to providing physical access, applicants must be prepared to provide bibliographic access in the form of bibliographies, catalog entries, guides, finding aids, or other records suitable to the materials to be preserved. Such information should be made available as widely as possible to other appropriate libraries or historical document repositories, as well as to the applicant's own users. In most cases, this can be accomplished most effectively through the use of regional databases, shared cataloging networks (RLIN, OCLC, etc.), or other on-line or published bibliographic resources.

Materials to be preserved with discretionary grant funds must be legally owned by the applicant institution or, in the case of deposit materials, held with a clear, legal understanding between the owner and the institution to ensure that they will remain permanently accessible.

ELIGIBLE & INELIGIBLE EXPENDITURES

Expenditures may include personnel costs, service and consultant contracts, supplies and equipment for project activities, or other activities. All expenditures of discretionary grant funds, whether for personnel, contracted services, supplies, equipment, or others, must be for preservation activities described under **FUNDABLE ACTIVITIES**, below.

Funds will *not* be awarded for activities or expenditures judged to be the ordinary responsibility of the institution. These activities include (among others):

- general operating expenses, indirect costs or overhead charges;
- the acquisition of library research materials in any format, either to add to the collection or to replace deteriorated materials by purchase of reprints or microforms;
- capital expenditures for building construction or modification;
- providing standard library shelving, including compact shelving;
- physical processing;
- basic disaster planning;
- microform readers;
- computer equipment;
- basic security measures such as burglar alarms, locks, fire extinguishers, etc.
- salaries and/or benefits for existing personnel.

A maximum of 10% of the project award may be used for the bibliographic control, arrangement, organization and/or description of materials which are to receive preservation treatment or reformatting.

Discretionary grant funds cannot be regarded as a source of continuing or repeated support for projects planned to run more than one year or to become permanent organizational activities. Grants may be used to help initiate such programs, but applicants should provide satisfactory evidence that continuing activities will become self-sustaining or will receive support from other sources in the future. In no case should grant funds be used to replace institutional funds for ongoing conservation/ preservation work, but rather as a stimulus for increasing the total financial commitment to preserving the collections.

NOTE: Under no circumstances may workshops, publications or other preservation education materials, microforms, photographs, or other products or activities produced with funds provided by the Discretionary Grant Program be used to generate income for the sponsoring agency. Charges for such activities or products must be calculated on a strict cost recovery basis. Cost recovery may include actual funds expended by the sponsoring agency, consultant, or other approved vendor *other than grant funds or funds described in the application and in the project budget as institutional contributions.* Publications produced with discretionary grant funds may not be copyrighted by the agency or institution producing them.

Credit: All publications that result from a grant award should give credit to the New York State Education Department, New York State Library, Division of Library Development, and New York State Program for the Conservation and Preservation of Library Research Materials.

FUNDABLE ACTIVITIES

The Conservation/Preservation Program recognizes a number of complementary activities which should be included in a comprehensive program. These activities are reviewed briefly below. Projects may include one or more of these activities in appropriate combination, within the context of the institution's overall preservation program.

I. Planning & Screening Materials

- a. *General preservation surveys and condition surveys will no longer be funded directly through this grant program. The Office of Cultural Education has contracted with the Conservation Center for Art and Historic Artifacts (CCAHA) through the Documentary Heritage and Preservation Services for New York (DHPSNY) to provide general preservation surveys, condition surveys, and preservation workshops. To find out more about how to apply for a survey, visit the [Conservation/Preservation Program web page](#).*

Discretionary grant funds may be used for planning activities such as an environmental survey. It is strongly recommended that the institution's professional staff be integrally involved in the survey activities. Grant funds may be used to cover part or all of the cost of a qualified preservation HVAC (heating, ventilation, and air conditioning) consultant, associated travel, and preparation of a written report. Applicants may also include in proposals for surveys requests for equipment to monitor environmental conditions and for basic preservation supplies for simple rehousing activities undertaken in conjunction with survey activities.

II. Environmental Control & Storage

a) **Environmental control.** Discretionary grant funds may be used to correct serious environmental problems which directly affect the condition of eligible materials. Fundable activities include installing or upgrading mechanical systems to provide proper control of temperature, humidity, light levels, and air quality in collection storage areas. Environmental control systems must be based, insofar as possible, on recommended standards for storage of the materials involved, and must make a significant contribution toward achieving suitable storage environments in order to be funded.

Projects involving the installation or improvement of HVAC systems in existing buildings are generally eligible for discretionary grant funding. However, activities associated with the installation of HVAC systems in new construction are not funded under the Discretionary Grant Program.

b) **Storage.** Providing standard library shelving, including compact shelving, for book and archival records collections is considered an institutional responsibility and cannot be funded by the Discretionary Grant Program. However, special shelving or storage furnishings for special format materials, or for materials that will receive conservation treatment as part of a funded project and subsequently require special storage, may be funded.

III. Reformatting -- Microforms

The Discretionary Grant Program must assure that long-term preservation goals will be adequately served by the projects it funds. Since microforms that are not produced according to recognized standards cannot be considered adequate preservation of the research materials they reformat, separate **MICROFORM GUIDELINES** have been prepared for use by applicants whose projects consist in whole or in part of reformatting materials in microform. All applicants for microform projects must, therefore, submit signed copies of a **Microform Guidelines Agreement** with each copy of the completed application. This agreement indicates the applicant's commitment to adhere to recommended standards for any microform work undertaken with grant funds.

The **MICROFORM GUIDELINES** begin on page 28. The **Microform Guidelines Agreement** is part of the online application.

Discretionary grant funds may be used to support the following types of microform projects:

a) **Microfilm.** Discretionary grant funds may be used for microfilming eligible materials. Roll microfilm (35mm) is the preferred microformat for the long-term preservation of most research materials. Microfilming may be funded in addition to conservation treatment for materials with significant artifactual value.

b) **Microfiche.** Discretionary grant funds may be used to support appropriate microfiche reformatting projects. The reasons for preferring microfiche to roll microfilm must, however, be clearly justified in the proposal.

NOTE: Proposals for color microfilm and microfiche will be accepted. Ilford Ilfochrome color microfilm and microfiche products are the only types of color microfilm acceptable.

c) **Inspection of Grant funded Microfilm.** Applicants may request funding to hire a third-party vendor to perform inspection of microfilm funded by this program.

IV. **Reformatting -- Non-Microforms**

a. Photographic records.

Projects to preserve and make available photographic prints and negatives are eligible for discretionary grant funds. However, it should not be assumed that *all* photographic records in a collection necessarily merit preservation. Applicants must provide evidence that the institution has undertaken or will undertake careful appraisal of the materials to determine which items or series have permanent research value and deserve preservation. Age, aesthetic interest, or the degree of deterioration will not, in themselves, argue effectively for preservation if research value cannot also be established.

Fundable activities include copying nitrate, glass plate, or other negatives onto safety film; or copying selected original images, whether in microform or individually.

It is the applicant's responsibility to ensure that personnel hired or contracted to reformat photographs will perform the work according to applicable ANSI standards, and to provide evidence of this in their application. Resumes of any personnel hired or contracted must be included in the application.

NOTE: Most color photographic processes are not sufficiently stable to ensure long-term preservation of research materials. Projects to reformat color photographic negatives, prints, or slides are therefore not usually fundable through the Discretionary Grant Program.

b. Sound Recordings.

While reel-to-reel tapes are still a fundable preservation format, the media has become increasingly difficult to purchase. **The Conservation/Preservation Program will fund the conversion of audio recordings to digital format. Only audio reformatting projects are fundable as digital conversion projects.**

Proposals to perform conversion to digital formats must follow the best practices that have been agreed on by many audio and preservation professionals. Projects proposed for funding must follow the "[Grammy Foundation Basic Methodology for Preservation, Conversion and Archiving Recorded Media](http://www2.grammy.com/PDFs/GRAMMY_Foundation/Found_2011_Methodology.pdf)" (http://www2.grammy.com/PDFs/GRAMMY_Foundation/Found_2011_Methodology.pdf). Applicants may also create use copies on either cassette tape or CD ROM. Applicants should state that they will continue to store the originals and describe the environment in which they will be stored.

To ensure the long-term viability of the digital files, a copy of all digital files reformatted through this program must be deposited with the New York State Education Department. Please see the Attachment for the "[Deposit Agreement and Procedures](#)". Applicants should also make arrangements on their own for long term storage and maintenance of the files to ensure redundancy and usability over time.

Eligible expenditures under this program will be:

- The creation of the reformatted recordings

- Basic metadata (preservation metadata as defined by [PREMIS](http://www.loc.gov/standards/premis/) (www.loc.gov/standards/premis/) for the digital files. Applicants should say how they will use the PREMIS schema.

Expenditures that are not eligible for funding under this program include:

- Reformatting equipment
- Playback equipment
- Metadata software
- Storage and transmission hardware (e.g. hard drives for mass storage of audio files)
- Appropriate descriptive metadata that conforms to an existing and appropriate metadata standard such as Dublin Core or PBCore. Applicants should describe their metadata approach and the extent to which they will use a particular metadata standard.

c. Preservation photocopying.

Copying materials onto acid-free paper using electrostatic or other copying methods usually is not adequate to ensure the long-term preservation of library materials. It may, however, be used in conjunction with other preservation options to further reduce the use of originals by providing user service hard copies for unique, rare, or appropriate out-of-print materials. Paper used in preservation photocopying must meet ANSI Standard for Permanent Paper Z39.48, 1992.

Discretionary grant funds will be provided for preservation photocopying only when a clear need to supplement more permanent methods can be demonstrated, and/or when reasonable assurances can be obtained indicating that copying methods and equipment to be used are adequate to produce durable copies.

d. Motion picture film and video tape.

Black-and-white motion picture film can be best preserved by storage in appropriate environmental conditions and/or by copying deteriorating film onto stable film base with adequate processing. Such projects may be funded through the Discretionary Grant Program if the research value of the film can be adequately justified. However, transfer of motion picture film to video tape is *not* a suitable method of preservation due to the inherent instability of video tape. Projects to convert motion picture film to video tape or to make tape copies of original video tapes are *not fundable* through the Discretionary Grant Program.

NOTE: Color motion picture film processes currently in use are not sufficiently stable to ensure the long-term preservation of motion picture images. Until standards and processes have been developed that can reasonably assure the long-term preservation of color motion picture film, projects to copy such film onto color film are not fundable through this program. The best means of preservation currently available for these materials is carefully controlled storage. Generally, such storage can be provided most economically at a commercial storage facility.

e. Digitization.

Scanning and digitizing technology is a very promising method for reformatting and storage of various types of library research materials. However, the technology is relatively new and its commercial applications are changing rapidly. As a result no production standards have yet emerged that can reasonably guarantee the suitability of laser disks--optical, video or audio--for long-term storage of information. Until such standards are developed and adopted by a recognized body, the Discretionary Grant Program will not fund the reformatting of informational materials by digitization.

V. Physical Treatment

a) **Collections maintenance.** Basic housekeeping is the applicant's responsibility. Discretionary grant funds may be used for special projects to clean collections or otherwise limit ongoing damage to a discrete collection of eligible materials.

b) **Preparation of materials for storage.** Basic physical processing of materials being added to collections is

part of the ongoing responsibilities of the applicant. Discretionary grant funds may be used for binding, matting, boxing, or other protective enclosures. Storage materials made from paper should adhere to ANSI Standard Z39.48 - 1992. Paper materials to be used for the storage of photographic images should also pass the Photographic Activity Test (PAT). ANSI IT.9-16.

c) **Rebinding, minor repair and mending.** Discretionary grant funds may be used to support the repair or rebinding of discrete collections of eligible materials, or to upgrade existing in-house repair processes affecting eligible materials. It is the applicant's responsibility to ensure that personnel hired or contracted to carry out rebinding, minor repairs and mending are qualified to perform the work in accordance with standards and/or procedures prevailing in well-established, professional preservation programs, and to provide appropriate evidence of these qualifications in their application.

d) **Major conservation treatment.** Discretionary grant funds may be used to support major conservation treatments of eligible research materials with significant artifactual value. Such treatments must be performed by a qualified conservator or conservation treatment facility. It is the applicant's responsibility to ensure that personnel hired or contracted to carry out conservation treatments are qualified to perform the work in accordance with standards and/or procedures prevailing in well-established, professional preservation programs. The resume of any personnel hired or contracted must be included in the application. In addition, a proposed treatment plan must be submitted with the application. Major conservation treatments must be justified based on the artifactual value of the materials, the inappropriateness of other preservation options, or other compelling arguments. Aesthetic concerns alone are not usually sufficient to justify artifactual preservation of library research materials.

VI. Bibliographic Activities

Applications must present evidence that adequate bibliographic control will be provided for all materials to be preserved with discretionary grant funds. Grant funds may be used to carry out certain aspects of bibliographic control although not more than **10%** of the project award may be used for these purposes.

The bibliographic activities necessary to ensure access to materials may represent a significant undertaking for some projects and will usually require considerably more funding than that covered by a discretionary grant. In these cases the institution will be expected to cover the additional costs as part of its contribution to the project.

Fundable bibliographic activities include:

- a) preparation of bibliographies, catalog entries, finding aids, or other records suitable to the materials to be preserved;
- b) creating or modifying bibliographic records to reflect preservation decisions, including reporting microform masters to the library and archival community;
- c) cataloging and record-keeping activities which are part of a project to treat or reformat eligible materials;
- d) converting to machine-readable form and/or contributing records to a shared bibliographic database.

Expenditures for arrangement, organization and/or description of materials are eligible *only* when such arrangement or description is an essential prerequisite for, or a necessary follow-up to the preservation work itself.

VII. Other Fundable Activities

- a) **Disaster recovery.** Discretionary grant funds may be used for salvaging eligible materials that have been damaged as a result of disasters. However, activities to reduce the potential for fire, water or other predictable accidental damage to materials, and to establish disaster plans and a kit of emergency supplies, are part of the ongoing responsibilities of the institution, and are not fundable. Grant funds may be provided for the purchase of emergency supplies to support regional, cooperative disaster plans.

- b) **Quality Control, Testing and Research.** Discretionary grant funds may be used for exemplary proposals to conduct research that would add new knowledge about media or materials, the development of improved conservation treatment techniques, or the investigations of techniques to improve collections environments. Proposals should document in the project description the plan of dissemination and/or the wide-spread applicability of the research results. Applicants should document a successful history of research activity or provide other indication of the likely success of the proposed research project. The cost of consultants, equipment, supplies, and other materials may be supported by the Discretionary Grant Program. Support of salary and benefits for permanent staff participating in the research should be included in the institutional contribution only.
- c) **Staff training and preservation education programs.** Discretionary grant funds will no longer be used to fund workshops or be used to provide specialized training for staff responsible for the care of eligible research materials. Workshops, consultancies, and other assistance will be available to New York State cultural organizations through DHPSNY, a statewide contract with the Conservation Center for Art and Historic Artifacts. Information on these services is available at [Conservation/ Preservation Program](#) web page.

APPLICATION PROCEDURES

Completed 2023/2024 discretionary grant applications *must be received through our online grant application system by 5:00 P.M. on Friday January 6, 2023.* There will be no extensions of this deadline. Complete applications, including cover sheet, project description, cooperative and/or microform guidelines agreements (if applicable), budget, and institutional authorization must be submitted to provide for timely staff and panel review. M/WBE documentation should be uploaded into the online system. FS-10s and the Payee Form must be printed up and mailed to Holly Peacock, New York State Library, Division of Library Development, 10B41 CEC, Albany, NY 12230 and **all copies must contain original signatures preferably in blue ink. In addition, a copy of the signed FS-10 and Payee forms should be uploaded into the online system. Only FS-10s and the Payee Form should be mailed. The rest of the application must be submitted through our online grant application system.**

The **APPLICATION INSTRUCTIONS** section of the guidelines (beginning on page 16) contains detailed information on how to prepare the application.

The large volume of applications does not allow the staff to do extensive follow-up on incomplete applications, missing or confusing data, etc.--*projects will be evaluated based on the application as submitted.* Applicants should examine thoroughly every page of the completed application before submission. Missing or supplemental materials received after the published deadline will not be forwarded to reviewers.

APPLICATION EVALUATION PROCESS

Staff of the Conservation/Preservation Program Office will examine each application for eligibility and overall completeness. Outside specialists read each application, rate it against the criteria established by law and the regulations and provide comments. Reviewers are instructed to evaluate each application based on information provided in the application and to give a numerical score for each of the evaluation criteria discussed below. The scores of the three reviewers will be averaged to obtain the final average score.

Proposals are then ranked based on the score. Each higher-ranked proposal, together with reviewers' evaluations and comments, is analyzed by staff to verify consistency with the program's criteria and priorities. Final decisions are made by the Conservation/Preservation Program staff with the approval of the Director of Library Development and the Assistant Commissioner for Libraries. A minimum score of 60 is necessary in order for a grant to be awarded. In the case of applications with the same score and where there is not enough money to fund all of the projects, the institution with the highest score for the work plan section of the application will be awarded a grant. All applicants are notified of final decisions by email. A blank copy of the Rating Sheet(s) used by reviewers is on pp. 26-27.

EVALUATION CRITERIA

Factors considered in evaluating and ranking applications are established by law and regulations and fall into the five major categories listed below. While each is of complementary importance in the evaluation process, particular attention is given to the research value of materials and the soundness of the plan of work when ranking proposals. In other words, **projects must present a well-conceived and appropriate plan for preserving materials with significant research value in order to be funded.**

Projects that do not involve the direct preservation of research materials—environmental surveys, educational programs, research, regional facilities or activities, etc.--are also eligible, as described above, under **FUNDABLE ACTIVITIES**

The six major evaluation criteria are:

- 1) institutional commitment to conservation/preservation work; (15 pts.)
- 2) accessibility of collections to the public; (6 pts.)
- 3) research value of material to be preserved; (18 pts.)
- 4) soundness of the plan of work; (27 pts.)
- 5) budget (20 pts.)

Total possible points: 86

Reviewers will look to see if the costs are reasonable, if you have budgeted for all activities necessary to accomplish the project, and if all entries on the budget forms are justified in the project description.

ELECTRONIC PROCESSING OF PAYMENTS

In accordance with a directive dated January 22, 2010 by the Director of State Operations - Office of Taxpayer Accountability, all State agency contracts, grants, and purchase orders executed after February 28, 2010 shall contain a provision requiring that contractors and grantees accept electronic payments.

ENTITIES' RESPONSIBILITY

Projects must operate under the jurisdiction of the local board of education or other appropriate governing body and are subject to at least the same degree of accountability as all other expenditures of the local agency. The local board of education or other appropriate governing body is responsible for the proper disbursement of, and accounting for, project funds. Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations, and inventory control must be followed. Supporting or source documents are required for all grant related transactions entered into the local agency's recordkeeping system. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time & effort records, delivery receipts, vendor invoices, travel documentation and payment documents, including check stubs.

For additional information about grants, please refer to the [Fiscal Guidelines for Federal and State Aided Grants](http://www.oms.nysed.gov/cafeguidance/guidelines.html). (<http://www.oms.nysed.gov/cafeguidance/guidelines.html>)

MONITORING OF GRANTS BY PROGRAM OFFICE

The State Education Department is responsible for monitoring the activities of the award recipients to ensure that the funds are used for authorized purposes in compliance with the appropriate program laws, regulations

and grant agreements. Monitoring can include document reviews, telephone calls, observations (as appropriate), and/or meetings. Award recipients are required to provide State Education Department staff and State auditors with access to records and financial statements as necessary to perform their monitoring responsibilities.

- 1) All final reports must include a detailed budget (separate from FS-10-Fs) and a narrative stating what activities took place when and the final outcomes. If the goals of the project were not met, an explanation must be given.
- 2) All consultants' reports must be included in the final report.
- 3) If the project was for treatment, before and after photos and conservators' final reports must be included in the final report. If too numerous to include, the documents must be available upon request.
- 4) If the project was for workshops, attendees' evaluation forms or a summary of evaluation responses must be included in the final report.
- 5) The Program Officer will make site visits, if deemed necessary; e.g., visit all institutions that are receiving an award for the first time and make periodic visits to institutions that have received grants for two or more years.
- 6) As part of the final report, all institutions must sign and upload a project completion form signed by the institution's director stating they have completed the project.

Payee Information Form/NYSED Substitute W-9 – The Payee Information Form is a packet containing the Payee Information Form itself and an accompanying NYSED Substitute W-9. The NYSED Substitute W-9 may or may not be needed from your agency. Please follow the specifics instructions provided with the form. The Payee Information Form is used to establish the identity of the applicant organization and enables it to receive federal (and/or State) funds through the NYSED. An on-line version of the packet is available at [Payee Information Form](http://www.oms.nysed.gov/cafe/forms/PIform.pdf) (<http://www.oms.nysed.gov/cafe/forms/PIform.pdf>)

Accessibility of Web-Based Information and Applications

Any documents, web-based information and applications development, or programming delivered pursuant to the contract or procurement, will comply with New York State Education Department IT Policy NYSED-WEBACC-001, Web Accessibility Policy as such policy may be amended, modified or superseded, which requires that state agency web-based information, including documents, and applications are accessible to persons with disabilities. Documents, web-based information and applications must conform to NYSED-WEBACC-001 as determined by quality assurance testing. Such quality assurance testing will be conducted by NYSED employee or contractor and the results of such testing must be satisfactory to NYSED before web-based information and applications will be considered a qualified deliverable under the contract or procurement.

RECORDS RETENTION

The following documents and supporting documentation must be retained for at least six years after the last payment was made unless otherwise required by specific program requirements: The original RFP application and other supporting documents that comprise the application package such as a Memorandum of Understanding or letters of support from participating collaborators/partners, budget category forms, budget summary forms, correspondence regarding the negotiation of budget expenditures, budget amendments, methodology for awards, progress reports, annual reports, and final expenditure forms/reports. Additionally, audit or litigation will “freeze the clock” for records retention purposes until the issue is resolved. All records and documentation must be available for inspection by State Education Department officials or its representatives. The Master Contract for Grants section IV.E “Records and Audits” presents additional information about records retention requirements.

Debriefing Procedures

All unsuccessful applicants may request a debriefing within fifteen (15) calendar days of receiving notice from NYSED. Bidders may request a debriefing letter on the selection process regarding this RFP by submitting a written request to preservation@nysed.gov

Within ten (10) business days, program staff will issue a written debriefing letter to the bidder including the proposal's strengths and weaknesses, as well as recommendations for improvement.

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 the receipt of the debriefing letter. The protest letter must be filed via: preservation@nysed.gov.
- 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 ten (10) business days of the receipt of the protest.
- 4) The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

NYSED'S RESERVATION OF RIGHTS

NYSED reserves the right to: (1) reject any or all proposals received in response to the RFP; (2) withdraw the RFP at any time, at the agency's sole discretion; (3) make an award under the RFP in whole or in part; (4) disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP; (5) seek clarifications of proposals; (6) use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP; (7) prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available; (8) prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments; (9) change any of the scheduled dates; (10) waive any requirements that are not material; (11) negotiate with the successful bidder within the scope of the RFP in the best interests of the state; (12) conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder; (13) utilize any and all ideas submitted in the proposals received; (14) unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening; (15) require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offeror's proposal and/or to determine an offeror's compliance with the requirements of the solicitation; (16) request best and final offers.

WORKERS' COMPENSATION COVERAGE AND DEBARMENT

New York State Workers' Compensation Law (WCL) has specific coverage requirements for businesses contracting with New York State and additional requirements which provide for the debarment of vendors that violate certain sections of WCL. The WCL requires, and has required since introduction of the law in 1922, the heads of all municipal and State entities to ensure that businesses have appropriate workers' compensation and disability benefits insurance coverage *prior* to issuing any permits or licenses, or *prior* to entering into contracts.

Workers' compensation requirements are covered by WCL Section 57, while disability benefits are covered by WCL Section 220(8). The Workers' Compensation Benefits clause in the Master Contract for Grants section IV.L states that in accordance with Section 142 of the State Finance Law, a contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL.

Under provisions of the 2007 Workers' Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers' Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.

Proof of Coverage Requirements

The Workers' Compensation Board has developed several forms to assist State contracting entities in ensuring that businesses have the appropriate workers' compensation and disability insurance coverage as required by Sections 57 and 220(8) of the WCL.

Please note – an ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.

1) Proof of Workers' Compensation Coverage

To comply with coverage provisions of the WCL, the Workers' Compensation Board requires that a business seeking to enter into a State contract submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain **one** of the following forms from the contractor and submit to OSC to prove the contractor has appropriate workers' compensation insurance coverage:

- **Form C-105.2** – Certificate of Workers' Compensation Insurance issued by private insurance carriers, or
- **Form U-26.3** issued by the State Insurance Fund; or
- **Form SI-12** – Certificate of Workers' Compensation Self-Insurance; or **Form GSI-105.2** Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- **CE-200**– Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

2) Proof of Disability Benefits Coverage

To comply with coverage provisions of the WCL regarding disability benefits, the Workers' Compensation Board requires that a business seeking to enter into a State contract must submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain **one** of the following forms from the contractor and submit to OSC to prove the contractor has appropriate disability benefits insurance coverage:

- **Form DB-120.1** - Certificate of Disability Benefits Insurance; or
- **Form DB-155**- Certificate of Disability Benefits Self-Insurance; or
- **CE-200**– Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage.

For additional information regarding workers' compensation and disability benefits requirements, please refer to the [New York State Workers' Compensation Board website](#). Alternatively, questions relating to either workers' compensation or disability benefits coverage should be directed to the NYS Workers' Compensation Board, Bureau of Compliance at (518) 486-6307.

APPLICATION INSTRUCTIONS

These instructions contain detailed explanations of information that must be provided in the Discretionary Grant Program application. They should be used in conjunction with the guidelines to ensure that all required information is provided.

Read the guidelines and all the following instructions *before* attempting to complete the application. Applicants just initiating their conservation/preservation programs should begin preparation of their application by studying the entries in the bibliography that relate to their project. Familiarity with these materials represents the *minimum* information needed to ensure a well-planned project. Sources of additional information are included in the bibliography.

All applications must be complete when received and must include **cover sheet, project description, budget, institutional authorization**, and, when appropriate, **M/WBE forms, cooperative and microform agreements**. All sections *must* be completed. Failure to provide complete information may result in an ineligible application. All FS-10s must be complete and include original signatures preferably in blue ink.

COVER SHEET

The cover sheet requests basic information about the institution and the project and documents the eligibility of the institution to receive discretionary grant funds.

Complete all sections. Pay particular attention to "Institutional Eligibility." It is the institution's responsibility to establish adequately its eligibility to receive discretionary grant funds.

PROJECT DESCRIPTION

The project description is a narrative composed of six sections in which you will provide a detailed description of the institution or agency; the institution's commitment to conservation/preservation; the accessibility of its collections; the research value of the materials to be preserved; the plan of work; and the institutional contribution to the project.

The information provided in the project description will be used by the reviewers to evaluate your proposal. Your narrative should therefore be clear, concise and to the point. Make sure that you address *all* the points in the project description outline.

For example, the first page of your narrative will look something like this:

DESCRIPTION OF INSTITUTION OR AGENCY

A. Size of the institution's operation.

The library's operating budget in the past fiscal year was \$250,000. There are 7.5 FTE positions, consisting of 3.0 professionals and 4.5 non-professionals. In addition, the library has six regular volunteers who work a total of 23 hours per week . . .

B. The agency's total collections of library research materials.

The library holds approximately 30,000 titles including monographs, trade catalogs, serials, microforms, and archival documents . . .

I. DESCRIPTION OF INSTITUTION OR AGENCY

A. Size of the institution's operation.

Include information on the institution's annual budget for staff, materials, operations, etc., and the total number of staff in full time equivalents (FTE). Indicate the number of FTE professional and non-professional staff

and the number of volunteers who regularly serve in the institution.

It is not necessary for an agency that is one part of a larger institution--the library or archives of a college, for example--to provide full information on the entire institution. Reviewers will be most interested in information on the part of the agency in which the project will be carried out. Include additional information on the parent institution only if you think it will provide a more complete background for the project.

B. The agency's total collection of library research materials.

Include information on:

(1) the size of the collection and types of materials held;

Number of titles (monographs, serials, microforms, etc.), bound volumes, unbound materials, maps, photographs, sound recordings, linear feet of manuscripts, etc. Give as complete a quantitative description of the collection as possible, paying attention to the collection that contains the materials to be preserved (these materials will be described in more detail under IV.A).

(2) collecting policy and sources of materials acquired;

Describe collecting policies of the institution or agency applying for grant funds. Pay particular attention to policies affecting the materials to be preserved. Indicate the method by which materials are usually acquired, whether by purchase or donation.

(3) number of items acquired and expenditure for acquisitions last year;

Indicate the quantity of materials added to the collections in the most recent year for which figures are available, and the amount of institutional funds expended for acquisitions.

(4) other relevant background information on the nature and use of the collection.

Include any other information on the collection that may be relevant to the proposed project, such as particular subject/collection strengths, specific research that has used materials in the collection, etc.

NOTE: Section I. of the Project Description provides background information for reviewers on the size, scope, and nature of the applicant institution or agency. While your application is not evaluated on this information, reviewers need to have this background in order to adequately judge the remainder of the Project Description. You should therefore provide a complete and clear description.

II. INSTITUTIONAL COMMITMENT (15 points)

A. Institutional conservation/preservation activities.

Describe current as well as long-range plans for conservation/preservation activities, operations, and priorities. If a general preservation survey has been conducted to determine collection care needs and priorities, the survey and its conclusions should be described. You may also include a copy of the survey in an appendix if you think this appropriate. Indicate the amount of institutional funding used to support conservation/preservation activities in the past year, and the institutional funding that will be available during the period for which discretionary grant funds are being sought. Also identify other sources of funding for conservation/preservation activities, including grants from other government or private agencies.

B. Environmental conditions in which preserved materials will be stored.

Indicate the extent to which temperature, humidity, light levels, and air quality are monitored and controlled in the areas where materials preserved with grant funds will be housed. While it is understood that not every institution can provide optimum environmental conditions for their collections, it is expected that the degree of control possible should guide the institution in its plans for preserving collections.

For example, when grant funds are expended to preserve materials in their original format, reviewers will look for evidence that the preserved materials will be housed under suitable environmental conditions after treatment. Otherwise the most exacting conservation treatment may be quickly negated. If adequate controls for rare, artifactual materials cannot be provided locally, off-site storage should be considered.

See *Microform Guidelines* for storage standards for master microform negatives.

If improving environmental conditions for storage is the focus of the grant application, technical specifications for the proposed equipment *must* be included. These must include specific information on the levels of temperature, humidity and air quality control possible with the equipment. In addition, a description of how conditions will be monitored must be included.

C. Preparations for disasters.

A comprehensive, written plan covering disaster preparedness, response, and salvage of all library, archival, or record resources is recommended. A typical plan would include a summary of emergency procedures; lists of persons to be called in case of disaster, including local, regional and national consultants, as appropriate; supplies and services available; and other information specific to the institution.

When a written plan has not been produced, the applicant should indicate how emergencies affecting library materials will be dealt with, noting particularly what regional resources are available and what arrangements have been made to take advantage of them.

D. Security arrangements for protecting the collections.

Describe measures taken to avoid theft, loss, mutilation, or inappropriate use of materials.

E. Participation in cooperative, regional or statewide conservation/preservation activities.

Cooperative activities may include sharing conservation/preservation staff or facilities with other institutions; contributing microform records to NUC, OCLC or RLIN, or other shared bibliographic databases; using the services of regional conservation centers; participating in cooperative microfilming projects, regional or statewide disaster assistance networks, or other regional, state or national preservation activities or organizations. In this section reviewers are interested in cooperative regional or statewide conservation/preservation activities *only*.

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC (6 points)

A. Access policies and practices of the institution.

Indicate the level of service provided (e.g., hours open, number of patrons, number of items loaned or used on-site, participation in cooperative access programs such as interlibrary loan and regional databases) and any restrictions placed on use of materials.

B. Cataloging or other form of bibliographic control.

Discuss the overall availability of materials by documenting the kind of cataloging or other form of bibliographic control used to enable potential users to locate materials. The extent to which the institution makes use of regional databases, OCLC, RLIN, or other on-line bibliographic networks should be described.

In the case of **published materials** (books, serials, etc.) held by any type of institution, standard library cataloging is the expected norm for bibliographic access. Whenever master microforms of published materials are produced, reports must be submitted to the **NATIONAL UNION CATALOG/Books** (NUC Books), at the Library of Congress for distribution to the rest of the library community in order to prevent unnecessary duplicate filming.

Wherever possible, applicants should also enter, or arrange for the entry of, machine-readable records for materials into on-line bibliographic databases.

For materials microfilmed with discretionary grant funds, entry into an on-line database can be arranged by depositing the master negative with the New York State Library. The Library will provide proper storage for the film and will provide the necessary machine-readable cataloging and enter it into OCLC. The cost of the additional copy may be included in the total funds requested. Arrangements for this should be made in advance by contacting the Conservation/Preservation Program, Division of Library Development, New York State Library, 10B41 Cultural Education Center, Albany, New York 12230, (telephone 518-474-7890).

In the case of **unpublished materials** held by any type of institution, arrangement and description should be in accord with accepted archival practice. Whenever unpublished materials are preserved with grant funds reports should be submitted to the **NATIONAL UNION CATALOG OF MANUSCRIPT COLLECTIONS** at the Library of Congress.

Indicate whether collections of unpublished materials have been surveyed by the **New York State Historical Documents Inventory** (HDI). If so, information about any materials reformatted as part of a discretionary grant project should be reported to the HDI. (For more information about HDI contact State Archives & Records Administration; 518-474-4372.)

C. Ownership of materials.

Indicate whether or not the materials preserved during the project are owned by the institution. If the materials are on deposit, you must provide some evidence of deposit, indicating a clear and continuing legal relationship with the owner of the materials that will assure they will remain permanently accessible. A copy of the relevant agreement should be included in an appendix to the project description.

IV. RESEARCH VALUE OF MATERIALS (18 points)

A. Description of materials to be preserved with grant funds.

Indicate the subject area or content, format (book, manuscript, photograph, map, etc.), quantity, condition, and specific preservation problems. Indicate in what way the materials form a coherent body of research materials, and how they relate to the institution's overall collecting policy. Insofar as possible, describe the type of research for which the materials are likely to be used.

B. Significance of the materials for research.

"Significance" can be determined by assessing the materials' relevance to a particular collection, by the current interests of scholars and researchers, or by anticipated value to future researchers. "Research value" is usually understood to mean that the materials have long-term historic significance as opposed to, or in addition to, short-term topical interest.

Reviewers understand that significance and research value are often difficult to assess. Nevertheless, they will expect to find convincing arguments that materials to be preserved with grant funds are important for legitimate research.

NOTE: Monetary value is not equivalent to research value. Appraisals of the potential monetary value of materials by dealers in rare books, manuscripts, etc., are therefore not usually relevant to your application. Supporting information by scholars and researchers, on the other hand, may be helpful

in clarifying the value of materials for research. Such information can be included in an appendix to the project description.

Indicate how the materials to be preserved fit in the institution's overall collecting policy. Describe the kinds of information and/or research needs the material meets, whether they are of local, regional, national or international significance, the level of demand for the material, and whether it is valuable primarily for the information it provides, or as a physical artifact.

Compare the material to be preserved with similar collections elsewhere and describe the research that will benefit from the project, or the kinds of users who need access to the material. If planning to microfilm a collection, monographic or serial titles must be searched in RLIN and OCLC to avoid duplication.

Describe the project in terms of the long-range plans and priorities of the institution. Explain why priority was given to these rather than to other items in the collection that also need preservation.

V. PLAN OF WORK (27 points)

A. The timetable for the project.

The timetable should be as specific as possible, indicating the projected beginning date for the project; hiring dates and duration of work for personnel to be hired with discretionary grant funds; schedules for existing staff who will contribute some portion of their time to the project; consulting schedules, including due dates of reports; projected beginning and ending dates for all contractual services; and schedules for all other significant activities proposed for the project. Reviewers will look for evidence of the institution's capacity to manage and complete the project in the established timetable.

B. Conservation/preservation activities to be carried out during the project.

Provide a detailed description of *all* the activities that make up the project.

Applications should demonstrate a degree of familiarity with current theory and practice in the field to assure reviewers that the project will be carried out in accordance with currently recognized technical standards and/or procedures used in well-established preservation programs.

The application must describe the project in sufficient detail to enable reviewers to assess the technical soundness of the proposed techniques, the appropriateness of materials and methods to be employed, and the suitability of the plan of work for the preservation of the specific library materials to be preserved.

Vendors' treatment proposals and cost estimates *must* be included. The treatment proposal should describe the work to be performed, the materials and techniques to be used, the estimated number of hours required to complete the work, the cost per hour, or some equivalent breakdown of the cost estimate.

NOTE: While conservation treatment costs are often high due to the labor intensive, highly skilled and technical work required, they can vary considerably from vendor to vendor. Since reviewers will evaluate the soundness of your proposed budget it will be beneficial to do some comparative shopping. This does not mean that the low bid must be automatically accepted, or that a high bid is necessarily the best one. Whatever the price there can be no compromise on technical standards or quality of the work performed.

Vendors should be selected with great care--check their references, particularly those who have used the vendor for projects similar to yours.

C. Personnel and vendors involved in the project.

Indicate the name, position, and qualifications of the person who will have responsibility for the day-to-day operation of the project. (This person's name should be entered on the Cover Sheet as the "Project Manager.")

The project manager should normally be a member of the institution's permanent staff who is closely involved with the project--*not* an administrative, finance, or development office official unfamiliar with the details of the project.

Include a list of all other personnel to be hired for the project and those on the institution's staff who will perform project activities. Describe the specific project responsibilities of all personnel. Job descriptions and resumes must be included for positions to be paid for with grant funds.

List the name of any consultants to be used in the project. Explain what role the consultants will have in the project and which project activities they will perform. Consultant resumes and work plans for the project must be included.

List the names and addresses of all vendors to be used in the project and the specific services they will provide. Include vendors' written estimates for the services they will provide. The estimates must be obtained and be included in the application. At least two estimates must be obtained. This does not mean the low bid must automatically be accepted. Justification must be given for the vendor chosen.

Qualifications of key project personnel must be provided to assure reviewers that the project will conform to current conservation/preservation standards. Key personnel include existing staff, new staff, consultants, and in the case of conservation treatment projects, conservators or conservation technicians in any way connected with the project.

VI. INSTITUTIONAL CONTRIBUTION TO THE PROJECT (Included in Project Budget)

A. Contributions of staff time by existing institutional staff.

Indicate the amount of time existing staff will contribute *directly* to the project. Also include any time volunteered by outside professionals or other non-institutional staff. For all projects staff/volunteer hours the minimum contribution is 20 staff/volunteer hours. **Reviewers will also expect to find evidence of appropriate staff to provide ongoing care for collections once the project is completed.** Such care includes maintenance, appropriate updating of catalogs or bibliographies, and reference service or other user support appropriate to the materials and the overall purposes of the institution.

B. Financial contribution toward the overall costs of the project.

Indicate the amount of financial support the institution will contribute *directly* toward the project, including funds to be used for materials, equipment, new storage or shelving space, environmental controls, bibliographic activities, staff time etc. Additional sources of funds used to support the project--grants from other agencies, special gifts or endowments, etc.--should be discussed here. These costs will be documented in the project budget, as discussed below.

PROJECT BUDGET (20 POINTS)

The project budget must contain detailed cost figures that describe the **total project costs, the institutional contribution to the project, and the amount of the grant request.** The proposed budget should be considered a financial plan for the project that can be followed throughout the project with a minimum of change. It is *not* a rough estimate of project needs to be fleshed out at a later time.

Reviewers will rate the soundness of your budget in much the same way they rate the soundness of your plan of work. They will look to see if the costs are reasonable, if you have budgeted for all activities necessary to accomplish the project, and if your institutional contribution to the overall project costs is appropriate.

The project budget, included in the online application, consists of five sections: **Salaries; Employee Benefits; Contracted Services; Supplies, Materials and Equipment;** and **Travel**. Complete the input boxes in each section. *Enter whole dollar amounts only.*

Project Total

The **Project Total** is the entire cost of *all* project services--it is equal to the sum of the Institutional Contribution and the Amount Requested.

Institutional Contribution

The **Institutional Contribution** is the portion of project total to be provided by the applicant institution or agency. Entries in this box should document the actual monetary contributions discussed in Section VI of the Project Description, discussed above. Applicants should *not* enter an assumed or equivalent value for volunteered personal services described in Section VI but may indicate the monetary value of staff time contributed directly to the project.

Amount Requested

The **Amount Requested** is the portion of project total being requested from the Discretionary Grant Program.

You will fill out **Expenses Submitted** at the *end* of the project for the final report. **Amount Approved** is for use by the Conservation/Preservation Program office staff.

All entries on the budget forms must be fully justified in the application. Entries in the budget not explained in the Project Description will not be considered for funding.

I. Salaries

List all persons to be employed by the project and their titles. After each entry indicate the full-time annual salary rate (even if the position is not full time) and FTE rate.

"FTE" (full time equivalent) is the numerical representation of full or part time activities. A person working full time is represented by an FTE of 1.0; a person working half-time is 0.5 FTE, and so on. A representative entry would be:

J. J. Doe; Conservation Tech.
(\$16,500 x 0.5 FTE)

This entry indicates that J. J. Doe, a Conservation Technician, will work half-time on the project at an annual salary rate of \$16,500. The system will calculate and display the Salary x FTE, in this case \$8,250. If the institution is contributing the entire amount of the project total, \$8,250 should be entered in Institutional Contribution). If the technician is to be hired for the project, and the entire amount of the salary is being requested from the Discretionary Grant Program, enter \$0 in Institutional Contribution, and \$8,250 in Amount Requested

Fill in the appropriate amounts in each input box. Totals will automatically calculate.

II. Employee Benefits

List all persons to be employed by the project and their benefits percentage. The system will automatically multiply the benefits percentage times the corresponding SalaryxFTE and display in the Benefits Amount box. Fill in the appropriate amount of benefits for Institutional Contribution and Amount Requested.

III. Purchased Services

List all services to be purchased for the project, including their service type, as described below, vendor/consultant name and description of services to be performed. Upload cost estimates, bids, or other supporting data in the online application.

Consultant Services include professional and technical advice that will be provided by individuals or groups of individuals. Consultants are normally retained for a short period to provide advice about specific aspects of the project. Consultants are normally expected to provide a report of their activities, usually at a time agreed upon before the consultancy begins. Provide the number of days the consultant is being hired for and their daily rate.

Contracted Services include professional or technical activities that will be performed by commercial vendors or qualified individuals. Contractual services are normally used for project activities that cannot be carried out by the institution or for those activities that can be more economically performed by firms or individuals specializing in a particular service.

Fill in the appropriate amounts for Institutional Contribution and Amount Requested. Project Totals will automatically calculate.

IV. Supplies, Materials and Equipment

List all supplies/materials and equipment to be purchased for use during the project including quantity, description, unit price, vendor purchasing from and type (supplies & materials or equipment). Only equipment \$5,000 and higher should be categorized as equipment. Equipment under \$5000 should be categorized as supplies & materials. Do not include supplies to be purchased by your vendor--the vendor's cost estimate will include the cost of materials as well as labor. Fill in the appropriate amounts for Institutional Contribution and Amount Requested. Totals will automatically calculate.

V. Travel

List all project related travel expenses including a description, purpose and calculation of cost. Fill in the appropriate amounts for Institutional Contribution and Amount Requested. Totals will automatically calculate.

INSTITUTIONAL AUTHORIZATION

The signatures required in the Institutional Authorization section of the online application indicate that information contained in the application and the budget is correct, that the project will be carried out as described, and that all materials being preserved through the Discretionary Grant Program are, or will be, available for reference, on-site examination, and/or loan.

In the indicated place, provide the typed name of the appropriate officials, their **original signatures**, and the date of their signatures. **These forms must be included as an attachment to the online application.**

COOPERATIVE APPLICATION AGREEMENT

The **Cooperative Application Agreement** is required only for cooperative projects. Each participating institution in a cooperative application must submit the agreement. It can be found in the drop-down menu in the online application. Fill in all blanks on the form. In the indicated place, provide the typed name of the agency director, his/her **original signature**, and the date of his/her signature. These forms must be included as an attachment to the online application.

MICROFORM GUIDELINES AGREEMENT

The **Microform Guidelines Agreement** is required only for reformatting—microform projects. Fill in all blanks on the form. In the indicated place, provide the typed name of the agency director and vendor agent, their **original signatures**, and the date of their signatures. These forms must be included as an attachment to the online application.

**2023-2024
CONSERVATION/PRESERVATION
DISCRETIONARY GRANT APPLICATION
CHECKLIST**

BE SURE YOUR APPLICATION IS COMPLETE

Original signatures are required on all copies of the FS-10. Each application must contain:

- ___ completed Cover Sheet
- ___ completed Project Description
- ___ signed Cooperative Application Agreement (if applicable)
- ___ signed Microform Guidelines Agreement (if applicable)
- ___ completed Project Budget
- ___ Institutional Authorization
- ___ FS-10 Form
- ___ [Payee Information Form](#)
- ___ M/WBE documentation (Applications in excess of \$25,000)

M/WBE Documents Package (original signatures required)			
<input type="checkbox"/> Full Participation <input type="checkbox"/> Request Partial Waiver <input type="checkbox"/> Request Total Waiver			
	Forms Required		
Type of Form	Full Participation	Request Partial Waiver	Request Total Waiver
Calculation of M/WBE Goal Amount	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE Cover Letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 100 Utilization Plan	<input type="checkbox"/>	<input type="checkbox"/>	N/A
M/WBE 102 Notice of Intent to Participate	<input type="checkbox"/>	<input type="checkbox"/>	N/A
EEO 100 Staffing Plan and Instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 105 Contractor’s Good Faith Efforts	N/A	<input type="checkbox"/>	<input type="checkbox"/>
Evidence of Good Faith Efforts (please refer to the M/WBE 105 form to distinguish what constitutes “evidence of good faith efforts”)	N/A	<input type="checkbox"/>	<input type="checkbox"/>
M/WBE 101 Request for Waiver Form and Instructions	N/A	<input type="checkbox"/>	<input type="checkbox"/>

Send your completed FS-10s (3 copies) and Payee Form to:

HOLLY PEACOCK
CONSERVATION/PRESERVATION PROGRAM
DIVISION OF LIBRARY DEVELOPMENT
NEW YORK STATE LIBRARY
10B41 CULTURAL EDUCATION CENTER
222 MADISON AVENUE
ALBANY, NY 12230

DO NOT MAIL IN YOUR APPLICATION! All applications must be submitted through the [Online Grant Application Portal](#). Only FS-10s and Payee Form are to be mailed in.

DO NOT telephone the Division of Library Development to request information on the status of your application. All applicants will be notified of final decisions. All notifications will be by email.

DISCRETIONARY GRANT PROGRAM

Evaluate the proposal based on the information provided in the application, and rate each factor listed below on a scale of “0” to “3,” with three being the best possible score.

INSTITUTIONAL COMMITMENT TO CONSERVATION/PRESERVATION WORK

- adequacy of institutional conservation/preservation activities _____
- evidence that preserved materials will be adequately stored _____
- preparations for dealing with disasters _____
- adequacy of security arrangements _____
- participation and/or contribution to cooperative, regional or statewide conservation/preservation activities _____

Commitment subtotal (max 15)

ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

- availability of materials to potential users _____
- extent and adequacy of bibliographic controls _____

Accessibility subtotal (max 6)

RESEARCH VALUE OF MATERIALS TO BE PRESERVED

- appropriateness of materials for preservation with discretionary grant funds _____
- significance for research _____

Sum _____

Multiply by weighting factor: X3

Research Value subtotal (max 18)

PLAN OF WORK

- adequacy of timetable _____
- soundness of proposed activities, methods, and techniques _____
- qualifications of personnel and/or vendors _____

Sum _____

Multiply by weighting factor: X3

Plan of Work subtotal (max 27)

BUDGET

- consistency of budgeted activities with project description _____
- overall cost effectiveness of project _____
- consistency of budgeted activities with eligible expenditures _____

Sum _____

Multiply by weighting factor: X2.23

Budget subtotal (max 20)

TOTAL SCORE (max 86 pts.)

REVIEWER’S COMMENTS:

Include comments you think will be helpful to successful applicants in managing their projects, or to unsuccessful applicants seeking advice on improving proposals. Applicants are especially interested in comments that will explain low ratings in particular parts of the project description and which will explain your reservation about funding the proposal, or any part of it.

Reviewer’s Name

Date

Reviewer’s Signature

MICROFORM GUIDELINES

INTRODUCTION

The Discretionary Grant Microform Guidelines review the basic standards required of all preservation microform projects funded by the Discretionary Grant Program. These standards are based on the American National Standards Institute (ANSI) standards assembled in *Preservation Standards Set* published by the Association for Information & Image Management (AIIM), 1100 Wayne Avenue, Silver Spring, MD 20910; (301) 587-8202.

It is not necessary that you purchase this publication--it is quite expensive and technical. Should you need to consult the *Preservation Standards Set*, a copy is held at the State Library and is available through interlibrary loan. The information in the two publications listed below will usually be more accessible and more helpful for librarians and archivists planning preservation microfilming projects.

These guidelines are intended to acquaint the applicant with the required standards for microform projects, and to help applicants ensure that these standards are met by vendors or in-house operators. They do not in themselves comprise standards and do not include specific procedures. **If the standards discussed below have been updated since the publication of these guidelines, the most recent revision applies.**

The applicant should provide a copy of these guidelines to prospective vendors prior to their submission of formal bids or job contracts.

Applicants are not expected to be fully conversant with all technical standards. Familiarity with the basic principles of preservation microfilming is, however, expected, and some acquaintance with standards is strongly encouraged. ANSI/AIIM MS23-1998, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents" will provide an overview of preservation microform procedures. Two additional sources that may help with planning microform programs or projects are:

Preservation Microfilming: A Guide for Librarians and Archivists. Fox, Lisa ed., 2nd ed. Chicago: ALA, 1995 (for ordering information see **BIBLIOGRAPHY**).

Research Libraries Group Preservation Microfilm Handbook. Elkington, Nancy, ed., Research Libraries Group, Mountain View, 1992.

USE OF STANDARDS

The Discretionary Grant Program requires assurance that appropriate standards will be followed in all projects it funds. Microform projects that do not conform to recognized technical standards do not accomplish the long-term preservation of the materials they reformat. All applicants for microform projects must therefore submit a signed **Microform Guidelines Agreement** with each copy of their application. This agreement indicates a commitment by the applicant and their vendor to adhere to appropriate standards for microform work performed with grant funds.

It is the applicant's responsibility to ensure that in-house operators or outside vendors perform all microform work according to specified technical standards. When using outside vendors, this can often be accomplished most readily through a formal contract. For guidance in selecting an outside filming agent and drawing up an appropriate contract, refer to the above sources. They both include a sample contract.

Whether or not a formal contract is used, filming vendors must agree to adhere to specified technical standards and indicate such agreement by signing the **Microform Guidelines Agreement**. Failure to complete projects according to the standards referenced in these guidelines may jeopardize the vendor's eligibility to serve as a vendor in future microform projects funded by the Discretionary Grant Program.

Applications for reformatting materials in microform are *not* fundable unless the Microform Guidelines Agreement is signed by the applicant and the vendor and submitted with the application.

FUNDABLE CATEGORIES OF MICROFORM

Three categories of microforms may be funded through the Discretionary Grant Program: first generation preservation master negatives; second generation duplicate negatives (printing masters), and user service copies.

1. Master Negatives

All microform projects funded by the Discretionary Grant Program must produce a first generation, silver halide master negative. Master negatives must be produced in strict accordance with **ANSI/AIIM MS23-1991**, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents."

Other standards applicable to production of master negatives include:

ISO 18917:1999, "American National Standard for Photography (Chemicals) -Residual Thiosulfate and Other Chemicals in Films Plates, and Papers--Determination and Measurements;"

ANSI IT9.1-1996, "Imaging Media (Film) - Silver Gelatin Type - Specifications for Stability."

2. Duplicate Negatives

The master negative, properly processed and stored, provides for the preservation of the reformatted information. It should therefore be used only to produce copies on a limited basis. To further limit use of the master negative a duplicate negative (often referred to as the printing master) is made. This copy is then used to produce all user service copies. The same standards apply to the production of second-generation duplicate negatives as to the production of master negatives.

3. User Service Copies

At least one positive or negative service copy of the microform must be made on silver halide, diazo, or vesicular film to serve as a user service copy. While neither diazo nor vesicular film is suitable for production of master negatives, both are slightly cheaper than silver halide film, and may be appropriate for heavily used service copies.

NOTE: Diazo and vesicular film *must* be stored separately from silver halide film since the chemicals used in processing the film can contribute to the breakdown of silver halide images.

The applicable standards for diazo and vesicular film are:

ANSI IT9.5-1996, "Imaging Media (Film) - Ammonia Processed Diazo films--Specifications for Stability;" and

ANSI IT9.12-1995, "American National Standard for Photography (Film) - Processed Vesicular Film--Specifications for Stability."

ACCEPTABLE FORMATS

Roll microfilm and microfiche are acceptable formats for preservation microforms.

1. Roll Microfilm

Microfilm should be 35mm. Sixteen-millimeter film is most commonly used for preservation microfilming of public records or the production of jacketed microfiche negatives. The reasons for preferring 16mm film should be clearly justified in the plan of work.

Applicable standards for 35mm film used for preservation microfilming include:

ANSI PH1.51-1983, "American National Standard for Photography (Film) - Micrographic Sheet and Roll Film Dimensions."

ANSI IT9.1-1996, "Imaging Media (Film) - Silver Gelatin Type - Specifications for Stability."

2. **Microfiche**

Microfiche is an appropriate format for preservation microform when it is suitable to the type or arrangement of the materials to be preserved. Three methods of production within the 105mm by 148mm dimensions are acceptable:

- step-and-repeat filming to produce fourteen columns by seven row grid arrangement, (produces ninety-eight single frames or forty-nine double frames at reduction ratios of from 24:1 to 28:1).
- arrangement in three rows of trimmed, spliced-in 35mm microfilm, which produces a variable number of frames and is useful for reproducing oversized objects, such as engineering drawings, maps, and large group photographs;
- five-channel microfiche jackets with 16mm microfilm strips to create microfiche negatives.

If microfiche is created by splicing or jacketing, a duplicate negative should be created on archival quality, silver halide film stock and stored under archival conditions. The applicable standards for microfiche include:

ANSI/AIIM MS5-1992, "American National Standard for Micrographics - Microfiche."

ANSI Z39.32-1996, "American National Standard for Information on Microfiche Headings."

PRODUCTION STANDARDS

All microform projects funded by the Discretionary Grant Program must be produced in strict accordance with **ANSI/AIIM MS23-1991**, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents," and related standards.

Particular attention must be paid to development, resolution, and density.

1. **Development**

Silver halide microfilm must be developed only with an organic developing agent that is compounded to produce an essentially black image, fixed in a thiosulfate bath, and washed with water to remove residual hypo (sodium thiosulfate). Under no circumstances should any use be made of developers that are intended to produce stained or colored images or of so-called hypo eliminators.

The thiosulfate ion residue on the microfilm should be less than .7 grams per square centimeter in a clear area, as determined by the methylene blue test method.

The applicable standard for testing is **ANSI/ASC PH4.8-1985**, "American National Standard for Photography (Chemicals) - Residual Thiosulfate and Other Chemicals in Films, Plates, and Papers -Determination and Measurement."

2. Resolution

The Quality Index Method is the accepted method of determining resolution. It is described in **ANSI/AIIM MS23-1998**, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents," section 4.3.

3. Density

Depending on the type of original document and on the reduction, recommended densities vary. Section 4.1.4 of **ANSI/AIIM MS23-1998**, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents" provides information on the range of densities acceptable for particular types of materials.

INSPECTION

Each roll of preservation master negative shall be inspected frame by frame for visible defects and missing pages as described in **ANSI/AIIM MS23-1998**, Section 6.3, "Description of Defects." Funding may be requested to hire a third-party vendor to perform inspection.

PACKAGING

The applicable standard for reels, acid-free envelopes, paper bands, sealing tapes, and boxes is **ANSI IT9.2-1998**, "Imaging Media Photographic Processed Films, Plates, and Papers - Filing Enclosures Storage Containers." In addition, master negatives should be placed in sealed, nonferrous (or properly coated ferrous) metal cans for long-term storage.

STORAGE

All master negatives *must* be stored in environmentally controlled areas that approach as closely as possible conditions described in **ANSI IT9.11-1993**, "American National Standard for Photography (Film)--Storage of Processed Safety Film." Master negatives print masters and service copies cannot be stored in the same facility.

Stored negatives must be periodically inspected for mold, fungus, excessive brittleness, film curl, discoloration, scratches, dirt, chemical stains, the presence of redox blemishes, etc. Required inspection procedures are described in **ANSI/AIIM MS45-1990**, "Recommended Practice for Inspection of Stored Silver Gelatin Microfilms for Evidence of Deterioration."

SOURCES OF ADVICE AND ASSISTANCE

These listings contain sources for initial contact from which additional referrals may be obtained. This listing was developed to assist New Yorkers and, therefore, contains references to organizations either in or easily accessible to New York. Private companies and individuals in private practice are not included, but referrals may be obtained from sources in this listing.

I. TRAINING

The following organizations have sponsored preservation workshops and seminars. Many training opportunities in library and archives preservation are listed in many regional newsletters.

CONSERVATION SERVICE CENTERS AND PROGRAMS:

Conservation Center for Art and Historic Artifacts 264 South 23rd Street Philadelphia, PA 19103 (215) 545-0613 www.ccaha.org	Northeast Document Conservation Center 100 Brickstone Square Andover, MA 01810-1494 (978) 470-1010 www.nedcc.org
NY State Conservation/Preservation Program Division of Library Development 10B41 Cultural Education Center Albany, NY 12230 (518) 474-7196 www.nysl.nysed.gov/libdev/cp	

Regional and national library and archival organizations offer workshops and sessions on preservation and related topics at their meetings and conferences:

REGIONAL LIBRARY AND ARCHIVAL ORGANIZATIONS

Archivists Roundtable of Metropolitan New York Nicholas Martin, President Curator for Arts & Humanities NYU Special Collections www.nycarchivists.org email: president@nycarchivists.org	Greater Hudson Heritage Network 2199 Saw Mill River Road Elmsford, NY 10523 (914) 592-6726 www.greaterhudson.org email: director@greaterhudson.org
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<p>Mid-Atlantic Regional Archives Conference (MARAC) Dickinson College P.O. Box 1773 Carlisle, PA 17013 (717) 713-9973 www.marac.info email: adminisistrator@marac.info</p>	<p>New York Archives Conference (NYAC) John Diefenderfer (Co-Chair) Archivist, Archival Advisory Services New York State Archives Cultural Education Center, Albany NY 12230 (518)474-6926 https://www.nyarchivists.org/nyac/ email: john.diefederfer@nysed.gov</p>
<p>New York Library Association (NYLA) 6021 State Farm Road Guilderland, NY 122084 (518) 432-6952 https://www.nyla.org email: info@nyla.org</p>	

NATIONAL LIBRARY AND ARCHIVAL ORGANIZATIONS

<p>American Alliance for Museums (AAM) 2451 Crystal Dr Suite 1005 Arlington, VA 22202 (202) 289-1818 www.aam-us.org email: servicecentral@aam-us.org</p>	<p>American Association for State and Local History (AASLH) 1717 Church Street Nashville, TN 37203-2991 (615) 320-3203 www.aaslh.org email: info@aaslh.org</p>
<p>American Institute for Conservation 727 15th St NW Suite 500 Washington, DC 20005 (202) 452-9545 (202) 452-9328 (fax) www.conservation-us.org email: info@culturalheritage.org</p>	<p>American Library Association (ALA) 50 East Huron Street Chicago, IL 60611 (800) 545-2433 www.ala.org email: ala@ala.org</p>
<p>National Association of Government Archives & Records Administrators (NAGARA) 444 N. Capitol St NW Suite 237 Washington, DC 20001 (202) 508-3800 www.nagara.org email: info@nagara.org</p>	<p>Society of American Archivists (SAA) 17 North State Street, Suite 1425 Chicago, IL 60602-3315 (312) 606-0722 (312) 606-0728 (fax) www.archivists.org</p>

II. SURVEYS - GENERAL PRESERVATION

Formal training programs for conservators and preservation administrators may be a source for survey.

<p>Buffalo State College-Art Conservation Department 230 Rockwell Hall 1300 Elmwood Avenue Buffalo, NY 14222-1095 (716) 878-5025 (716) 878-5039 (fax) http://artconservation.buffalostate.edu/ email: artcon@buffalostate.edu</p>	<p>Conservation Program Institute of Fine Arts New York University The Stephen Chan House 14 East 78th Street New York, NY 10021 (212) 992-5848 (212) 992-5851 (fax) https://ifa.nyu.edu/conservation/index.htm-mail: conservation.program@nyu.edu</p>
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Other sources of survey consultants may be found by contacting the two historical service agencies (p. 32) and the regional resources listed above, as well as these organizations:

<p>Conservation Center for Art and Historic Artifacts 264 South 23rd Street Philadelphia, PA 19103 (215) 545-0613 (215) 735-9313 (fax) email: ccaha@ccaha.org www.ccaha.org</p>	<p>Northeast Document Conservation Center 100 Brickstone Square Andover, MA 01810-1428 (978) 470-1010 (978) 475-6021 (fax) email: info@nedcc.org www.nedcc.org</p>
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III. FUNDING

A number of national, state and local agencies and foundations provide funds for preservation activities. The agency should be contacted directly for information on funding guidelines, priorities and filing deadlines.

<p>Institute of Museum and Library Services 1800 M Street NW, 9th Floor Washington, DC 20036-5802 (202) 653-4700 (Discretionary): (202) 653-4601 (fax) (State Programs): (202) 653-4602 (fax) e-mail: imlsinfo@imls.gov www.imls.gov</p>	<p>The Samuel H. Kress Foundation 174 East 80th Street New York, NY 10075 (212) 861-4993 (212) 628-3146 (fax) e-mail: info@kressfoundation.org www.kressfoundation.org</p>
<p>National Historical Publications & Records Commission National Archives and Records Administration (NARA) 700 Pennsylvania Avenue NW, Room 114 Washington, DC 20408-0001 (202) 357-5010 (866) 272-6277 (202) 357-5914 (fax) e-mail: nhprc@nara.gov www.archives.gov/nhprc/</p>	

IV. TECHNICAL ADVICE AND INFORMATION

<p>Conservation Center for Art and Historic Artifacts 264 South 23rd Street Philadelphia, PA 19103 (215) 545-0613 (215) 735-9313 (fax) www.ccaha.org</p>	<p>Image Permanence Institute Rochester Institute of Technology 70 Lomb Memorial Drive Rochester, NY 14623-5604 (585) 475-5199 email: ipivwww@rit.edu www.imagepermanenceinstitute.org</p>
<p>International Museum of Photography at George Eastman House Conservation Laboratory 900 East Avenue Rochester, NY 14607 (585) 271-3361 https://www.eastman.org/</p>	<p>New York State Archives Cultural Education Center Albany, NY 12230 (518) 474-6926 email: archinfo@nysed.gov www.archives.nysed.gov</p>
<p>New York State Conservation/Preservation Program Division of Library Development 10B41 Cultural Education Center Albany, NY 12230 (518) 474-7196 www.nysl.nysed.gov/libdev/cp</p>	<p>New York State Office of Parks, Recreation & Historic Preservation Collections Care Center, Bureau of Historic Sites Division for Historic Preservation Peebles Island, PO Box 189 Waterford, NY 12188-0189 (518) 237-8643 https://parks.ny.gov/shpo/</p>
<p>Northeast Document Conservation Center 100 Brickstone Square Andover, MA 01810-1428 (978) 470-1010 www.nedcc.org</p>	<p>Backstage Library Works 9 South Commerce Way Bethlehem, PA 18017-8700 1-800-288-1265 www.bslw.com email: info@bslw.com</p>

For non-library collections assessment surveys, consultant references and conservation supplies:

<p>Greater Hudson Heritage Network 2199 Saw Mill River Road Elmsford, NY 10523 (914) 592-6726 www.greaterhudson.org</p>
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Preservation Program officers at the following comprehensive research libraries may also be contacted for advice

<p>Binghamton University Heather Parks, Head of Preservation Binghamton University Libraries Vestal Parkway East PO Box 6012 Binghamton, NY 13902-6012 (607) 777-6207 email: hparks@binghamton.edu</p>	<p>Columbia University Emily Holmes, Director for Preservation 101C Butler Library 535 West 114th Street New York, NY 10027 (212) 854-1336 email: eh2124@columbia.edu</p>
<p>Cornell University Tre Berney Director of Digitization & Conservation Services Cornell University Library B15 Olin Library Ithaca, NY 14853 (607) 255-5291 email: dhb229@cornell.edu</p>	<p>The New York Public Library Rebecca Fifield, Senior Manager Collection Management 476 Fifth Ave, Room 58 New York, NY 10018 (917)-229-9646 email: rebeccafifield@nypl.com</p>
<p>SUNY Albany Karen Kiorpes, Preservation Librarian University Libraries- SL 310 1400 Washington Avenue Albany, NY 12222 (518) 437- 3923 email: kkiorpes@albany.edu</p>	<p>New York University Lauren McCann, Conservation Librarian, B Goldsmith Preservation and Conservation Department Elmer Holmes Bobst Library 70 Washington Square South New York, NY 10012 (212) 998-2562 email: lm303@nyu.edu</p>
<p>Stony Brook University F. Jason Torre, Preservation Librarian Preservation Department Melville Library, Room W-2550 Stony Brook, NY 11794-3300 (631) 632-7109 email: fjasontorre@stonybrook.edu</p>	<p>University at Buffalo Ronald Gaczewski, Preservation Officer Manager, Preservation & Collections Processing 136 Lockwood Library Building Buffalo, NY 14260 (716) 645-8594 email: rvg@buffalo.edu</p>
<p>University of Rochester Miranda Mims, Dir. Rare Books, Special Collections & Preservation Rush Rhees Library Rochester, NY 14627-0055 (585) 276-7495 email: mmims@library.rochester.edu</p>	<p>Syracuse University Marianne S. Hanley Preservation Librarian Syracuse University Library Syracuse, NY 13244 (315) 443-4560 email: mhanley@syr.edu</p>

BIBLIOGRAPHY

This bibliography is not comprehensive. Instead, it is a selection of current, available materials that will be useful for introducing general preservation topics to people responsible for library and archival collections.

General Preservation Manuals and Technical Leaflets

American Association for State and Local History. AASLH publishes a Technical Leaflet Series, a Technical Report series, and a NICLOG Technical Leaflet Series and other publications that cover preservation topics such as environmental controls, care, handling and storage and general topics such as collections management, exhibitions and interpretation. Publications such as NIC #105, *Basic Preservation of Local Government Records*; NIC #111, *Environmental Controls*; NIC #110, *Micrographics*; TR #3, *How to Control Environmental Conditions in Historical Agencies and Museums*; and TR #9, *Using, Managing and Preserving the Records of Your Historical Organization* are some of the useful publications available from this organization. **To order contact:** AASLH, 2021 21st Ave S., Suite 320, Nashville, TN 37212, 615-320-3203 or go to <https://aaslh.org/resources/publications/>

Association of Research Libraries. Office of Management Studies. Systems and Procedures Exchange Center. Washington, DC. Titles include: *Preservation Guidelines in ARL Libraries*. SPEC Kit # 137. 1987; *Preservation Planning Program. Assisted Self-Study Manual and Resource Notebook*. 1987. **To order contact:** Association of Research Libraries, 1527 New Hampshire Avenue, N.W., Washington, DC, 20036. (202) 232-8656

Boomgaarden, Wesley. "Preservation Planning for the Small Special Library." *Special Libraries* (Summer 1985): 204-11.

Canadian Conservation Institute, Technical Bulletins.

Titles include: TB1, *Relative Humidity; Its Importance, Measurement & Control in Museums*; TB3, *Recommended Environmental Monitors for Museums, Archives and Art Galleries* and others. **To order contact:** CCI, 1030 Innes Road, Ottawa, Ontario, K1A 0C8 CANADA, (613) 998-3721 (FAX # is the same). Ask for a list of publications.

Canadian Conservation Institute, CCI Notes.

Titles include: N11/1, *Protective Enclosures for Books and Paper Artifacts*; N14/1, *Planning for Disaster Management: Introduction*, among others. [Available online](https://www.canada.ca/en/conservation-institute/services/conservation-preservation-publications/canadian-conservation-institute-notes.html) (<https://www.canada.ca/en/conservation-institute/services/conservation-preservation-publications/canadian-conservation-institute-notes.html>)

Fox, Lisa. *A Core Collection in Preservation*. ALCTS, ALA. Chicago 1993. 2nd ed.

Morrow, Carolyn Clark. *The Preservation Challenge: A Guide to Conserving Library Materials*. White Plains, N.Y.: Knowledge Industry Publications, 1983. Available on special order from most bookstores and from conservation materials suppliers.

National Association of Government Archives and Records Administrators. *NAGARA GRASP: Guide and Resources for Archival Strategic Preservation Planning*. Funded by the National Historical Publications and Records Commission. Consists of: 1) an interactive computer preservation self-study program, 2) a printed manual with work outlines of preservation projects and 3) a resource compendium -- a compilation of articles and other readings. Anticipated publication Winter 1990.

Paris, Jan. *Choosing and Working with a Conservator*. Atlanta: SOLINET Preservation Program, Southeastern Library, Network, Inc., 1990. [Available online](https://www.nedcc.org/free-resources/preservation-leaflets/7.-conservation-procedures/7.7-choosing-and-working-with-a-conservator) (<https://www.nedcc.org/free-resources/preservation-leaflets/7.-conservation-procedures/7.7-choosing-and-working-with-a-conservator>)

Ritzenthaler, Mary Lynn. *Preserving Archives and Manuscripts*. SAA Basic Manual Series. Chicago: Society of American Archivists, 2nd Edition 2010. **To order contact:** SAA, 600 S. Federal Suite 504,

Chicago, IL, 60605, (312) 922-0140. Ask for a list of publications.

Southeastern Library Network, Inc. Preservation Program Information Leaflets.

Titles include: *Environmental Specifications for the Storage of Library and Archival Materials, April 1985; Invasion of the Giant Spore*, November 1987. [Available online](https://www.lyrasis.org/services/Pages/Publications-and-Resources.aspx) (<https://www.lyrasis.org/services/Pages/Publications-and-Resources.aspx>)

Archival Management

Archives Assessment and Planning Workbook. Edited by Paul H. McCarthy. Chicago: Society of American Archivists, 1989. **To order contact:** SAA, 600 S. Federal, Suite 504, Chicago, IL, 60605, (312) 922-0140.

New York State Archives and Records Administration (SARA) *Fundamentals of Managing Local Government Archival Records*, Albany: New York Education Department, 1995. [Available online](http://www.archives.nysed.gov/common/archives/files/mr_pub40.pdf) (http://www.archives.nysed.gov/common/archives/files/mr_pub40.pdf)

New York State Archives and Records Administration (SARA). Information Leaflet on records management and archival administration topics. This leaflet, although primarily directed toward local government collections, is useful to many with archival collections. Technical Leaflet #36 *Intrinsic Value of Local Government Archival Records* deals specifically with preservation topics. **Available free of charge from:** SARA, Local Government Records Bureau, Cultural Education Center, Albany, NY 12230, (518) 474-6926. [Available online](http://www.archives.nysed.gov/common/archives/files/mr_pub36.pdf) (http://www.archives.nysed.gov/common/archives/files/mr_pub36.pdf)

Disaster Preparedness Planning

Johanna Wellheiser and Jude Scott. *An Ounce of Prevention: Integrated Disaster Planning for Archives, Libraries, and Record Centres*, 2d ed. Lanham, Maryland and London; The Scarecrow Press and Canadian Archives Foundation, 2002.

Contingency Planning. Toronto Area Archivist Group, 1985. **To order contact:** Toronto Area Archivists Group Education Foundation, P.O. Box 97, Station F, Toronto, Ontario CANADA M42L4. Limited supply available.

Hendriks, Klaus B. and Brian Lesser. "Disaster Preparedness and Recovery: Photographic Materials." *American Archivist*, Vol. 46, No. 1, Winter 1983. *American Archivist* is a publication of the Society of American Archivists, [Available online](https://americanarchivist.org/toc/aarc/46/1) (<https://americanarchivist.org/toc/aarc/46/1>)

Waters, Peter. *Procedures for Salvage of Water-Damaged Library Materials*, 2nd edition. Washington, D.C.: Library of Congress, 1979. A copy is included in the New York State Disaster Preparedness Planning Resource Packet available from the New York State Library's Division of Library Development office (518) 474-7890.

Environmental Controls

Lull, William P. and M. A. Garrison. "Planning and Design of Museum Storage Environments." *Registrar* 5, no. 2 (Spring 1988): 4-14.

Paine, Shelley Reisman. *Basic Principles for Controlling Environmental Conditions in Historical Agencies And Museums*. Technical Report 3. Nashville: American Association of State and Local History, 1985. **To order contact:** AASLH, 172 Second Ave, Suite 202, Nashville, TN 37201, (615) 255-2971.

Stolow, Nathan. *Procedures and Conservation Standards for Museum Collections in Transit and on Exhibition*. Paris, UNESCO, 1981. **Available from:** The International Council on Archives, 60 rue des Francs-Bourgeois, 75003, Paris, France.

Thomson, Garry. *The Museum Environment*, 2nd edition. London: Butterworths, 1986.
Available on special order from most bookstores and conservation materials suppliers.

Reformatting/Microforms

International Micrographics Source Book. Larchmont, NY: Microfilm Publishing Inc., 1989. This is a reference book of micrographic services and equipment. .

Microforms in Libraries: A Manual for Evaluation and Management. Chicago: American Library Association, 1985.

Preservation Microfilming: A Guide for Librarians and Archivist's 2nd ed. Edited by Lisa Fox. Chicago: American Library Association, 1995

Research Libraries Group. *RLG Microfilming Handbook: Mountain View, 1992*. Research Libraries Group, Inc.

Reformatting/Non-Microforms

Association of Recorded Sound Collections. *Audio Preservation: A Planning Study*. Silver Springs: Association of Recorded Sound Collections, 1988. This publication was produced as a result of an NEH funded project. Contains a bibliography and glossary of terms.

Canadian Conservation Institute. *Care of Black and White Photographic Glass Plate Negatives*. Ottawa: Canadian Conservation Institute, 1986. CCI Notes # 16/2. [Available online](https://www.canada.ca/en/conservation-institute/services/conservation-preservation-publications/canadian-conservation-institute-notes/care-black-white-photographic-negatives-glass-plate.html) (https://www.canada.ca/en/conservation-institute/services/conservation-preservation-publications/canadian-conservation-institute-notes/care-black-white-photographic-negatives-glass-plate.html)

Canadian Conservation Institute. *Care of Encased Photographic Images*. Ottawa: Canadian Conservation Institute, 1986. CCI Notes # 16/1. [Available online](https://www.canada.ca/en/conservation-institute/services/conservation-preservation-publications/canadian-conservation-institute-notes/care-encased-photographic-images.html) (https://www.canada.ca/en/conservation-institute/services/conservation-preservation-publications/canadian-conservation-institute-notes/care-encased-photographic-images.html)

Eastman Kodak Company. *The Book of Film Care*. Rochester, NY: Eastman Kodak Company, 1983. Publication no. H-23.

Eastman Kodak Company. *Copying and Duplicating in Black and White and Color*. Rochester, NY: Eastman Kodak Company, 1984. Publication no. M-1

Eastman Kodak Company. *Conservation of Photographs*. Rochester, NY: Eastman Kodak Company, Publication No F-40.

Hendriks, Klaus B. *The Preservation and Restoration of Photographic Materials in Archives and Libraries: A RAMP Study with guidelines*. Paris: UNESCO, 1984. **Available from:** the International Council on Archives, 60 rue de Francs-Bourgeois, 75003, Paris, France.

Reilly, James M. *Care and Identification of 19th-Century Photographic Prints*. Rochester, NY: Eastman Kodak Co., 1986. Kodak Publication #G-2S. **Available from:** Image Permanence

Institute, Rochester Institute of Technology, RIT City Center, 50 West Main St., Rochester, NY 14614, (716) 475-5199.

Library Binding

Merrill-Oldham, Jan and Paul Parisi. *Guide to the ANSI/NISO/LBI Library Binding Standard* Chicago: American Library Association. 2000 This is a guide to the Library Binding Institute Standard. **To order**

Contact: ALA, 50 E. Huron St., Chicago, IL 60611, 1-(800) 545-2433 Or [order online](https://www.alastore.ala.org/content/guide-ansinisolbi-library-binding-standard)
(<https://www.alastore.ala.org/content/guide-ansinisolbi-library-binding-standard>)

Walker, Gay. "Library Binding as a Conservation Measure." *Collection Management*, Vol. 4 (1/2), The Haworth Press, Inc., Spring/Summer 1982. Also reprinted in *The New Library Scene* (April 1984), vol 3, no. 2.

Reilly, James M. *Storage Guide for Color Photographic Materials*. Caring for color slides, prints, negatives, and movie films. **To order contact:** The New York State Program for the Conservation & Preservation of Library Research Materials, Room 10B41, Cultural Education Center, Albany, NY 12230; Phone (518) 474-7890; FAX (518) 486-5254.

Deposit Agreement and Procedures (2023/2024)**Storage Environment:**

The New York State Education Department (NYSED) will provide long term storage of digital audio files created through grants funded by the New York State Program for the Conservation and Preservation of Library Research Materials. The creation of these files will follow the guidelines set out in the “Grammy Foundation ® Basic Methodology for Preservation, Conservation and Archiving Recorded Media”.

Files will be sent to NYSED on a removable hard drive. Files will be transferred to an appropriate server environment, reviewed, inventoried and compared to the metadata that is transferred. Once the files have been verified, they will be transferred to off-line storage on tape for long term storage. NYSED will maintain two copies of all tapes in two separate physical locations. When an institution migrates or modifies any files that have been previously transferred to NYSED, it is the institution’s responsibility to transmit a new copy of the file to NYSED who will then delete the old file and follow the same procedures to store the new version of the file. NYSED will not offer migration services to institutions.

Metadata:

Institutions should transfer, in digital form on the original transfer media, a complete set of preservation metadata for all transferred files. Preservation metadata should minimally conform to the recommendations made in [PREMIS](http://www.loc.gov/standards/premis/) (www.loc.gov/standards/premis/).

Transfer of Files:

Files should be sent to the NYSED via a removable hard drive. If hard drives are mailed, institutions are responsible for acquiring appropriate insurance and documentation to ensure that the material has been delivered and protected during shipment.

A signed deposit agreement should accompany the files. See below for the deposit agreement. The hard drive and documentation should be sent to:

Barbara Lilley
Conservation/Preservation Program
New York State Library
10B41 Cultural Education Center
Albany, NY 12230
(518) 486-4864
(barbara.lilley@nysed.gov)

NYSED will provide formal, written acknowledgement of the transfer to the depositing institution.

Access and Retrieval of Files:

NYSED will act as a long-term storage provider. Institutions are responsible for maintaining their own duplicate copies of any material transferred to NYSED. Should an institution require retrieval of files from NYSED, the institution should contact Barbara Lilley at the address provided above and provide her with the identifiers of the files that are required. NYSED will retrieve and ship the files via removable hard drive to the requesting institution within five business days.

Under no circumstances will an institution’s files be released to any other person or organization.

Deaccessioning of Files:

Only files that have been migrated to another file format or replaced by the depositing institution will be deaccessioned. NYSED will provide formal, written acknowledgement of the deaccession to the depositing institution.

Documentation of Transfer (2023/2024)

New Transfer

Replacement Files

Name of Institution and subdivision (as appropriate):

Name and contact information of primary contact for transfer:

Brief description of transfer (e.g. Presidential Lecture Recordings):

Date of Transfer:

Number of physical devices (e.g. Hard Drives)

Number of files contained on physical devices (including metadata files):

Number of audio files contained on physical devices.

Special Instructions:

Authorized Signature:

Received by:

Checked by:

PRE-QUALIFICATION APPENDIX A

Prequalification Requirement

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](http://www.grantsreform.ny.gov/) (<http://www.grantsreform.ny.gov/>).

Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway on the proposal due date of 5:00 PM on 12/2/22 cannot be evaluated. Such proposals will be disqualified from further consideration.

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

1) Register for the Grants Gateway.

- On the Grants Reform Website, download a copy of the [Registration Form for Administrator](https://grantsmanagement.ny.gov/system/files/documents/2021/09/grants_gateway_registration_form_09-03-2021.pdf) (https://grantsmanagement.ny.gov/system/files/documents/2021/09/grants_gateway_registration_form_09-03-2021.pdf). A signed, notarized original form must be sent to the Division of Budget at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.
- If you have previously registered and do not know your Username, please email grantsreform@budget.ny.gov . If you do not know your Password please click the [Forgot Password](#) link from the [main log in page](#) (https://grantsgateway.ny.gov/IntelliGrants_NYSSGG/login2.aspx) and follow the prompts.

2) Complete your Prequalification Application.

- Log in to the [Grants Gateway](https://grantsgateway.ny.gov/IntelliGrants_NYSSGG/login2.aspx) (https://grantsgateway.ny.gov/IntelliGrants_NYSSGG/login2.aspx) **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative at prequal@nysed.gov or to the Grants Reform Team at grantsreform@budget.ny.gov.

3) Submit Your Prequalification Application

- After completing your Prequalification Application, click the **Submit Document Vault Link** located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

Vendors are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity.

APPENDIX B

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

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

All forms referenced here can be found in the M/WBE Documents below.

All applicants are required to comply with NYSED's Minority and Women-Owned Business Enterprises (M/WBE) policy. Compliance can be achieved by one of the three methods described below. Full participation by meeting or exceeding the M/WBE participation goal for this grant is the preferred method.

M/WBE participation includes services, materials, or supplies purchased from minority and women-owned firms certified with the NYS Division of Minority and Women Business Development. Not-for-profit agencies are not eligible for this certification. For additional information and a listing of currently certified M/WBEs, see the [M/WBE Directory](#).

The M/WBE participation goal for this grant is 30% of each applicant's total discretionary non-personal service budget each year of the grant. Discretionary non-personal service budget is defined as total annual budget, excluding the sum of funds budgeted for:

1. direct personal services (i.e., professional and support staff salaries) and fringe benefits; and
2. rent, lease, utilities and indirect costs, if these items are allowable expenditures.

The M/WBE Goal Calculation Worksheet is provided for use in calculating the dollar amount of the M/WBE goal for this grant application.

All requested information and documentation should be provided at the time of submission. If this cannot be done, the applicant will have to submit the necessary documents and respond satisfactorily to any follow-up questions from the Department. Failure to do so may result in loss of funding.

METHODS TO COMPLY

An applicant can comply with NYSED's M/WBE policy by one of three methods:

1. Full Participation - This is the preferred method of compliance. Full participation is achieved when an applicant meets or exceeds the participation goals for this grant.

COMPLETE FORMS:

- M/WBE Goal Calculation Worksheet
- M/WBE Cover Letter
- M/WBE 100 Utilization Plan
- M/WBE 102 Notice of Intent to Participate

2. Partial Participation, Partial Request for Waiver - This is acceptable only if good faith efforts to achieve full participation are made and documented, but full participation is not possible.

COMPLETE FORMS:

- M/WBE Goal Calculation Worksheet
- M/WBE Cover Letter
- M/WBE 100 Utilization Plan
- M/WBE 101 Request for Waiver

M/WBE 102 Notice of Intent to Participate
M/WBE 105 Contractor's Good Faith Efforts

3. No Participation, Request for Complete Waiver - This is acceptable only if good faith efforts to achieve full or partial participation are made and documented, but do not result in any participation by M/WBE firm(s).

COMPLETE FORMS:

M/WBE Goal Calculation Worksheet
M/WBE Cover Letter
M/WBE 101 Request for Waiver
M/WBE 105 Contractor's Good Faith Efforts

GOOD FAITH EFFORTS

Applicants must make a good faith effort to solicit NYS certified M/WBE firms as subcontractors and/or suppliers to achieve the goals for this grant. Solicitations may include, but are not limited to: advertisements in minority and women-centered publications; solicitation of vendors found in the [NYS Directory of Certified Minority and Women-Owned Business Enterprises](#) and the solicitation of minority and women-oriented trade and labor organizations

Good faith efforts include actions such as setting up meetings or announcements to make M/WBEs aware of supplier and subcontracting opportunities, identifying logical areas of the grant project that could be subcontracted to M/WBE firms, and utilizing all current lists of M/WBEs who are available for and may be interested in subcontracting or supplying goods for the project.

Applicants should document their efforts to comply with the stated M/WBE goals and submit this with their applications as evidence. Examples of acceptable documentation can be found in form M/WBE 105, Contractor's Good Faith Efforts. NYSED reserves the right to reject any application for failure to document "good faith efforts."

REQUEST FOR WAIVER

When full participation cannot be achieved, applicants must submit a Request for Waiver (M/WBE 101). Requests for Waivers must be accompanied by documentation explaining the good faith efforts made and reasons they were unsuccessful in obtaining M/WBE participation.

NYSED reserves the right to approve the addition or deletion of subcontractors or suppliers to enable applicants to comply with the M/WBE goals, provided such addition or deletion does not impact the technical proposal and/or increase the total budget.

All payments to Minority and Women-Owned Business Enterprise subcontractor(s) should be reported to the NYSED M/WBE Program Unit using the M/WBE 104G Quarterly M/WBE Compliance Report. This report should be submitted on a quarterly basis and can be requested at MWBEGrants@nysed.gov.

NYSED's M/WBE Coordinator is available to assist applicants in meeting the M/WBE goals. The Coordinator can be reached at MWBEgrants@nysed.gov.

Equal Employment Opportunity Reporting (EEO) Pursuant to Article 15-A of the New York State Executive Law

Applicants must complete and submit form EEO 100: Staffing Plan.

M/WBE DOCUMENTS

M/WBE COVER LETTER – Minority & Woman-Owned Business Enterprise Requirements

NAME OF GRANT PROGRAM _____

NAME OF APPLICANT _____

In accordance with the provisions of Article 15-A of the NYS Executive Law, 5 NYCRR Parts 140-145, Section 163 (6) of the NYS Finance Law and Executive Order #8 and in fulfillment of the New York State Education Department (NYSED) policies governing Equal Employment Opportunity and Minority and Women-Owned Business Enterprise (M/WBE) participation, it is the intention of the New York State Education Department to provide real and substantial opportunities for certified Minority and Women-Owned Business Enterprises on all State contracts. It is with this intention the NYSED has assigned M/WBE participation goals to this contract.

In an effort to promote and assist in the participation of certified M/WBEs as subcontractors and suppliers on this project for the provision of services and materials, the bidder is required to comply with NYSED’s participation goals through one of the three methods below. Please indicate which one of the following is included with the M/WBE Documents Submission:

- Full Participation – No Request for Waiver (PREFERRED)
- Partial Participation – Partial Request for Waiver
- No Participation – Request for Complete Waiver

By my signature on this Cover Letter, I certify that I am authorized to bind the Bidder’s firm contractually.
Typed or Printed Name of Authorized Representative of the Firm
Typed or Printed Title/Position of Authorized Representative of the Firm
Signature/Date

M/WBE Goal Calculation Worksheet
 (This form should reflect the current year's budgeted costs)

RFP # and Title: _____

Applicant Name: _____

The M/WBE participation for this grant is 30% of each applicant's total discretionary non- personal service budget over the entire term of the grant. Discretionary non-personal service budget is defined as the total budget, excluding the sum of funds budgeted for direct personal services (i.e., professional and support staff salaries) and fringe benefits, as well as rent, lease, utilities, and indirect costs, if these are allowable expenditures.

Please complete the following table to determine the dollar amount of the M/WBE goal for this project year.

	Budget Category	Amount budgeted for items excluded from M/WBE calculation	Totals (Current FS-10)
1.	Total Budget		
2.	Professional Salaries		
3.	Support Staff Salaries		
4.	Fringe Benefits		
5.	Indirect Costs		
6.	Rent/Lease/Utilities*		
7.	Sum of lines 2, 3 ,4 ,5, and 6		
8.	Line 1 minus Line 7		
9.	M/WBE Goal percentage (30%)		0.30
10.	Line 8 multiplied by Line 9 =MWBE goal amount		

*If not included in #5

NYSED Internal Use Only (please check one):

For Original/Annual Submission

For Amendment Submission # _____

M/WBE UTILIZATION PLAN

INSTRUCTIONS: All bidders/applicants submitting responses to this procurement/project must complete this M/WBE Utilization Plan unless requesting a total waiver and submit it as part of their proposal/application. The plan must contain detailed description of the services to be provided by each Minority and/or Women-Owned Business Enterprise (M/WBE) identified by the bidder/applicant.

Bidder/Applicant's Name _____ Telephone/Email: _____/_____

Address _____ Federal ID No.: _____

City, State, Zip _____ RFP No./Project No.: _____

Certified M/WBE	Classification (check all applicable)	Description of Work (Subcontracts/Supplies/Services)	Annual Dollar Value of Subcontracts/Supplies/Services
NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No.	NYS ESD Certified MBE _____ WBE _____		\$ _____
NAME ADDRESS CITY, ST, ZIP PHONE/E-MAIL FEDERAL ID No.	NYS ESD Certified MBE _____ WBE _____		\$ _____

PREPARED BY (Signature) _____ DATE _____

SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-1, 5 NYCRR PART 143 AND THE ABOVE REFERENCE SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL/APPLICATION DISQUALIFICATION.

NAME AND TITLE OF PREPARER: _____
(print or type)

TELEPHONE/E-MAIL _____

DATE _____

REVIEWED BY _____ DATE _____

UTILIZATION PLAN APPROVED YES/NO DATE _____

NOTICE OF DEFICIENCY ISSUED YES/NO DATE _____

NOTICE OF ACCEPTANCE ISSUED YES/NO DATE _____

M/WBE 100

**M/WBE SUBCONTRACTORS AND SUPPLIERS
NOTICE OF INTENT TO PARTICIPATE**

INSTRUCTIONS: Part A of this form must be completed and signed by the Bidder/Applicant unless requesting a total waiver. Parts B & C of this form must be completed by MBE and/or WBE subcontractors/suppliers. The Bidder/Applicant must submit a separate M/WBE Notice of Intent to Participate form for each MBE or WBE as part of the proposal/application.

Bidder/Applicant Name: _____ Federal ID No.: _____

Address: _____ Phone No.: _____

City _____ State _____ Zip Code _____ E-mail: _____

Signature of Authorized Representative of Bidder/Applicant's Firm

Print or Type Name and Title of Authorized Representative of Bidder/Applicant's Firm

Date: _____

PART B - THE UNDERSIGNED INTENDS TO PROVIDE SERVICES OR SUPPLIES IN CONNECTION WITH THE ABOVE PROCUREMENT/APPLICATION:

Name of M/WBE: _____ Federal ID No.: _____

Address: _____ Phone No.: _____

City, State, Zip Code _____ E-mail: _____

BRIEF DESCRIPTION OF SERVICES OR SUPPLIES TO BE PERFORMED BY MBE OR WBE:

DESIGNATION: _____ MBE Subcontractor _____ WBE Subcontractor _____ MBE Supplier _____ WBE Supplier

PART C - CERTIFICATION STATUS:

_____ The undersigned is a certified M/WBE by the New York State Division of Minority and Women-Owned Business Development (MWBD).

THE UNDERSIGNED IS PREPARED TO PROVIDE SERVICES OR SUPPLIES AS DESCRIBED ABOVE AND WILL ENTER INTO A FORMAL AGREEMENT WITH THE BIDDER/APPLICANT CONDITIONED UPON THE BIDDER/APPLICANT'S EXECUTION OF A CONTRACT WITH THE NYS EDUCATION DEPARTMENT.

The estimated dollar amount of the agreement \$ _____

Signature of Authorized Representative of M/WBE Firm

Date

Printed or Typed Name and Title of Authorized Representative

M/WBE CONTRACTOR GOOD FAITH EFFORTS CERTIFICATION (FORM 105)

PROJECT/CONTRACT # _____

I, _____
(Bidder/Applicant)

_____ of _____
(Title) (Company)

_____ () _____
(Address) (Telephone Number)

do hereby submit the following as *evidence* of our good faith efforts to retain certified minority- and women-owned business enterprises:

- (1) Copies of its solicitations of certified minority- and women-owned business enterprises and any responses thereto;
- (2) If responses to the contractor's solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific reasons that such enterprise was not selected;
- (3) Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circulation, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;
- (4) Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;
- (5) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-owned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of fulfilling the contract participation goals;
- (6) Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and women- owned business enterprises.
- (7) Describe any other action undertaken by the bidder to document its good faith efforts to retain certified minority - and women- owned business enterprises for this procurement.

Submit additional pages as needed.

Authorized Representative Signature

Date

M/WBE CONTRACTOR UNAVAILABLE CERTIFICATION

RFP#/PROJECT NAME _____

I, _____
(Authorized Representative) (Title) (Bidder/Applicant's Company)

_____ (_____) _____
Address Phone

I certify that the following New York State Certified Minority/Women Business Enterprises were contacted to obtain a quote for work to be performed on the abovementioned project/contract.

List of date, name of M/WBE firm, telephone/e-mail address of M/WBEs contacted, type of work requested, estimated budgeted amount for each quote requested.

<u>DATE</u>	<u>M/WBE NAME</u>	<u>PHONE/EMAIL</u>	<u>TYPE OF WORK</u>	<u>ESTIMATED BUDGET</u>	<u>REASON</u>
1.					
2.					
3.					
4.					
5.					

To the best of my knowledge and belief, said New York State Certified Minority/Women Business Enterprise contractor(s) was/were not selected, unavailable for work on this project, or unable to provide a quote for the following reasons: Please check appropriate reasons given by each MBE/WBE firm contacted above.

- _____ **A.** Did not have the capability to perform the work
- _____ **B.** Contract too small
- _____ **C.** Remote location
- _____ **D.** Received solicitation notices too late
- _____ **E.** Did not want to work with this contractor
- _____ **F.** Other (give reason) _____

Authorized Representative Signature **Date** **Print Name**

REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS

When completing the Request for Waiver Form, please check all boxes that apply. To be considered, the Request for Waiver Form must be accompanied by documentation for items 1-10, as listed below. Copies of the following information and all relevant supporting documentation must be submitted along with the request.

1. A statement setting forth your basis for requesting a partial or total waiver.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.
5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.
6. Provide copies of responses made by certified M/WBEs to your solicitations.
7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.
8. Provide documentation of any negotiations between you, the Bidder/Applicant and the M/WBEs undertaken for purposes of complying with the certified M/WBE participations goals.
9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.
10. Provide the name, title, address, telephone number and email address of the Bidder/Applicant's representative authorized to discuss and negotiate this waiver request.

NOTE: Unless a Total Waiver has been granted, Bidder/Applicant will be required to submit all reports and documents pursuant to the provisions set forth in the procurement and/or contract, as deemed appropriate by NYSED, to determine M/WBE compliance.

REQUEST FOR WAIVER FORM

BIDDER/APPLICANT NAME:
ADDRESS:
CITY, STATE, ZIPCODE:

TELEPHONE:
EMAIL:
FEDERAL ID NO.:
RFP NO./PROJECT NO.:

INSTRUCTIONS: By submitting this form and the required information, the bidder/applicant certifies that Good Faith Efforts have been taken to promote M/WBE participation pursuant to the M/WBE goals set forth under this RFP/Contract. Please see Page 2 for additional requirements and document submission instructions.

BIDDER/APPLICANT IS REQUESTING (check all that apply):

<input type="checkbox"/> MBE Waiver - A waiver of the MBE goal for this procurement is requested. <input type="checkbox"/> Total <input type="checkbox"/> Partial _____%	<input type="checkbox"/> WBE Waiver - A waiver of the WBE goal for this procurement is requested. <input type="checkbox"/> Total <input type="checkbox"/> Partial _____%
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PREPARED BY (*Signature*): _____ DATE: _____

SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL DISQUALIFICATION.

NAME OF PREPARER: TITLE OF PREPARER: TELEPHONE: EMAIL:	FOR AUTHORIZED USE ONLY REVIEWED BY: _____ DATE: _____ WAIVER GRANTED <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> TOTAL WAIVER <input type="checkbox"/> PARTIAL WAIVER <input type="checkbox"/> CONDITIONAL WAIVER <input type="checkbox"/> NOTICE OF DEFICIENCY COMMENTS:
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EQUAL EMPLOYMENT OPPORTUNITY - STAFFING PLAN (Instructions on Page 2)

Applicant Name: _____

Telephone: _____

Address: _____

Federal ID No.: _____

City, State, ZIP: _____

Project No: _____

Report includes:

Work force to be utilized on this contract OR

Applicant's total work force

Enter the total number of employees in each classification in each of the EEO-Job Categories identified.

EEO - Job Categories	Total Work Force	Race/Ethnicity - report employees in only one category																	
		Hispanic or Latino		Not-Hispanic or Latino															
				Male										Female					
		Male	Female	White	African-American or Black	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran	White	African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	Disabled	Veteran
Executive/Senior Level Officials and Managers																			
First/Mid-Level Officials and Managers																			
Professionals																			
Technicians																			
Sales Workers																			
Administrative Support Workers																			
Craft Workers																			
Operatives																			
Laborers and Helpers																			
Service Workers																			
TOTAL																			

PREPARED BY (Signature): _____

DATE: _____

NAME AND TITLE OF

PREPARER: (Print or Type) _____

TELEPHONE/EMAIL: _____

STAFFING PLAN INSTRUCTIONS

General Instructions: All Bidders/Applicants in the proposal/application must complete an EEO Staffing Plan (EEO 100) and submit it as part of the package. Where the work force to be utilized in the performance of the State contract/project can be separated out, the Bidder/Applicant shall complete this form only for the anticipated work force to be utilized on the State contract/project. Where the work force to be utilized in the performance of the State contract/project cannot be separated out, the Bidder/Applicant shall complete this form for Bidder/Applicant's total work force.

Instructions for Completing:

1. Enter the Project number that this report applies to, along with the name, address, and federal ID number of the Bidder.
2. Check the appropriate box to indicate if the work force being reported is just for the contract/project or the Bidder/Applicant's total work force.
3. Check off the appropriate box to indicate if the Bidder completing the report is the contractor or subcontractor.
4. Enter the total work force by EEO job category.
5. Break down the total work force by gender and race/ethnic background and enter under the heading Race/Ethnicity. Contact the M/WBE Coordinator, MWBEgrants@nysed.gov, if you have any questions.
6. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in designated areas.

RACE/ETHNIC IDENTIFICATION

For purposes of this form NYSED will accept the definitions of race/ethnic designations used by the federal Equal Employment Opportunity Commission (EEOC), as those definitions are described below or amended hereafter. (Be advised these terms may be defined differently for other purposes under NYS statutory, regulatory, or case law). Race/ethnic designations as used by the EEOC do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. The race/ethnic categories for this survey are:

- **Hispanic or Latino** - A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.
- **White (Not Hispanic or Latino)** - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- **Black or African American (Not Hispanic or Latino)** - A person having origins in any of the black racial groups of Africa.
- **Native Hawaiian or Other Pacific Islander (Not Hispanic or Latino)** - A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- **Asian (Not Hispanic or Latino)** - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- **American Indian or Alaska Native (Not Hispanic or Latino)** - A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.
- **Two or More Races (Not Hispanic or Latino)** - All persons who identify with more than one of the above five races.
- **Disabled** - Any person who has a physical or mental impairment that substantially limits one or more major life activity; has a record of such an impairment; or is regarded as having such an impairment
- **Vietnam Era Veteran** - a veteran who served at any time between and including January 1, 1963 and May 7, 1975.