



Washington
Secretary of State
SAM REED

Washington State Archives *Documenting Democracy*

2007-2009

LOCAL RECORDS GRANT PROGRAM

Guidebook and Applications



Express Grant:

for agencies serving populations under 20,000

Imaging - up to \$10,000

Equipment - up to \$7,500

Regular Grant:

for all local government agencies

up to \$30,000

Application Deadline: July 13, 2007

For more information: <http://www.secstate.wa.gov/archives/grants>

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The Washington State Archives Local Records Grant Program, administered by the Office of the Secretary of State, provides financial assistance to local government officials to support records management and preservation efforts, particularly for records of permanent retention. This grants-in-aid program is a significant effort in the overall mission of the program to enhance the quality of archival preservation and public access to records of enduring value. (Chapter 434-670-010 WAC)

This Guidebook is designed for local government agencies who wish to apply for a Local Records Grant, and it contains information and application forms for both Express and Regular Grants. Unless otherwise indicated, all sections apply to both grant types.

Applicants must consult with Regional Branch Archives staff to ensure a strong and well-designed project proposal that reflects best archival and records management practices.

Call or e-mail the archivist contact at your Regional Branch to discuss what you would like to accomplish with a Local Records Grant, and to get help developing your project proposal.

Northwest Branch:

Susan Fahey, Acting Regional Archivist 360-650-4911 susan.fahey@wwu.edu
Clallam, Island, Jefferson, San Juan, Skagit, Snohomish, Whatcom Counties

Olympia/Southwest Branch:

Lanny Weaver, Branch Archivist 360-753-1684 lweaver@secstate.wa.gov
Clark, Cowlitz, Grays Harbor, Lewis, Mason, Pacific, Skamania, Thurston, Wahkiakum Counties

Central Branch:

Scott Sackett, Branch Archivist 509-963-2136 sacketts@cwu.edu
Benton, Chelan, Douglas, Franklin, Grant, Kittitas, Klickitat, Okanogan, Yakima Counties

Eastern Branch:

Sherry Bays, Regional Archivist 509-235-7500 x101 sbays@secstate.wa.gov
Adams, Asotin, Columbia, Ferry, Garfield, Lincoln, Pend Oreille, Spokane, Stevens, Walla Walla, Whitman Counties

Puget Sound Branch:

Mike Saunders, Regional Archivist 425-564-3950 msaunder@bcc.ctc.edu
King, Kitsap, Pierce Counties

Questions regarding the Grant Program, your project, or your application may also be directed to the Local Records Grant Coordinator: Julie Woods 360-586-0108 jwoods@secstate.wa.gov

**Applications MUST BE POSTMARKED OR RECEIVED at the
Washington State Archives, Olympia/Southwest Branch
1129 Washington St SE, Olympia, 98504
on or before July 13, 2007**



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HELPFUL HINTS:

Banners at the bottom of the Guidebook pages indicate the Express and Regular Application forms.

All forms are available individually on the Grant Program website: www.secstate.wa.gov/archives/grants.

Please explore the site for **examples of completed forms**. For agencies requesting funding for a microfilm reader, there is a link to the recommended model available through state contract.



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1. PROGRAM DESCRIPTION AND GUIDELINES

1.1 Introduction

The Washington State Archives Local Records Grant Program supports local public records management and preservation efforts. Grants are funded with fees collected by County Auditors. This is a competitive grant program; the number of grant applications and the requested level of grant funding generally exceed the total award amount available each grant cycle. Grants are reviewed by Washington State Archives staff and forwarded to the State Archives Oversight Committee. The Committee reviews and makes funding recommendations to the Secretary of State.

The Local Records Grant Program consists of two separate competitive grants. The **Regular Grant** (up to \$30,000) is to fund large and complex projects that enhance or improve the preservation and management of an agency's records, especially those that are designated archival or essential on approved retention schedules. Agencies representing populations of all sizes are encouraged to apply.

The **Express Grant** (a three-page application) is designed to be simple, and is available only to agencies representing populations under 20,000. It offers up to \$10,000 for imaging projects (such as scanning and microfilming a single records series) and/or up to \$7,500 for equipment purchases (such as metal shelving, archival storage boxes, or a microfilm reader.) Small agencies may apply for (and receive) both types of Express Grant (Imaging and Equipment). These smaller jurisdictions also are welcome to apply for both Express and Regular Grants, but will not be awarded both.

State Archives staff will assist you in determining a sound grant project for your agency, and can answer any questions relating to your records.

1.2 Timetable for 2007-2009 Grant Program

The grant program project duration will be from the date of the award letter from the Secretary of State through May 31, 2009. All work must be complete by May 15th, 2009.

May-July '07	Grant workshops, Archives staff visits, assistance and guidance
July 13 '07	<u>Grant application deadline</u>
July/Aug '07	Archives Oversight Committee reviews and recommendations
Aug/Sept '07	Secretary of State makes award decisions
Sept/Oct '07	Awards made, award ceremonies held
Sept/Oct '07	Grant agreements executed, and projects may begin
Nov/Dec '07	First disbursement of funds upon execution of contract
June 30 '08	1st interim narrative report due (REGULAR Grants only)
Dec 31 '08	2nd interim narrative report due (REGULAR Grants only)
May 15 '09	All work on grant projects must be complete
May 31 '09	Final narrative report due, and all unspent monies repaid



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1.3 Eligible Applicants

Any local government or political subdivision with taxing authority may apply for Local Records Grant funds. This includes (but is not limited to) cities and towns, school districts, law enforcement agencies, and port districts. State and federal agencies are not eligible for this program. Agencies representing populations of all sizes may apply for the Regular Grant. In addition, agencies representing populations under 20,000 may also apply for the Express Grant (for imaging and/or equipment projects). While these smaller jurisdictions *may apply* for both Express and Regular Grants, they can only receive one or the other.

1.4 Eligible Projects - EXPRESS GRANTS

EXPRESS IMAGING GRANT – Maximum award: \$10,000

The priority for the Express Imaging Grant is the scanning and microfilming of archival/essential records that do not have security backup. Imaging projects are subject to the following guidelines:

- ◆ A Records Series Inventory Form must be filled out to show the type and quantity of records you plan to scan/microfilm with Express Imaging Grant funds.
- ◆ State Archives' Imaging Services (IS) is the required vendor for all imaging projects. To obtain a cost estimate for your application packet, e-mail your form to David Tuckett at: dtuckett@secstate.wa.gov.
- ◆ Only a single records series can be scanned/microfilmed (deeds, marriage certificates, etc.) For the purposes of this grant program, minutes, ordinances and resolutions will be eligible for funding *as if they were a single series*. (They should be entered separately on the Records Series Inventory Form.)
- ◆ Original microfilm and electronic images will be preserved at the WA State Archives. Copies will be supplied to your agency, if needed.
- ◆ All records receiving grant funds must be stored and transported in 1 cu ft archival boxes. These sturdy, acid-free boxes are available through your Regional Branch, and costs can be included in your grant budget request.

EXPRESS EQUIPMENT GRANT - Maximum award: \$7,500

Improved records storage, maintenance, and access are the priorities of the Express Equipment Grant. The purchase of equipment such as metal shelving, archival storage boxes and/or a microfilm reader is allowed.

- ◆ A Records Series Inventory Form must be filled out to show the type and quantity of records your Express Equipment Grant funds would store, hold, or affect.
- ◆ Only agencies with microfilm on hand or in production will be considered for microfilm reader funding. Information about the microfilm reader available through state contract is available online.
- ◆ Metal shelving requests must include the volume of records to be stored, the types of records, the condition of the records and the location or facility that the shelving is going into.
- ◆ All records receiving grant funds must be stored in 1 cu ft archival boxes. These sturdy, acid-free boxes are available through your Regional Branch, and costs can be included in your grant budget request.
- ◆ Archival storage boxes for oversize archival/essential records (such as maps and drawings) may also be included in your budget request.



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1.5 Eligible Projects - REGULAR GRANTS

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

- ◆ Inventory and planning in the areas of conservation, preservation, records management, or disaster preparedness that evaluate current practices and facilities and provide recommendations for improvement.
- ◆ Needs assessment in significant areas in order to create a framework for developing a stronger records management and historical records preservation program.
- ◆ Microfilming of long term archival/essential record series that do not have security backup.
- ◆ Conservation of archival and/or historically significant original records.
- ◆ Production of reference tools and/or finding aids.
- ◆ Improved records storage, maintenance and access through purchase of appropriate equipment such as storage cabinets, metal shelving or reader/printers.

Ineligible activities include, but are not limited to, projects already completed, expenses incurred prior to the start date of the grant period, and existing/permanent staff positions. For a more complete list of ineligible activities, see the Administrative Rules at the end of this Guidebook.

1.6 Grant Funding

Approved project budget categories eligible for grant funding include, but are not limited to:

- ◆ Imaging services, such as microfilming, scanning, and duplicating microfilm. State Archives' Imaging Services (IS) is the required vendor for all imaging projects (scanning, microfilming/duplication). In the event that IS is unable to undertake or complete a project, grant recipients will be allowed to secure a different vendor.
- ◆ Essential equipment such as storage cabinets, shelving, reader/printers or reader/scanners, humidifiers/dehumidifiers, etc.
- ◆ Records storage supplies such as boxes, files and labels. All records receiving grant funds must be stored and transported in 1 cu ft archival boxes. These sturdy, acid-free boxes (\$1.65 ea) are available through your Regional Branch, and costs can be included in your grant budget request.
- ◆ Personnel costs as salary only for existing staff working beyond their normal work hours, new, part-time or temporary help.
- ◆ Supplies, i.e. general office supplies, consumable items.
- ◆ Travel that is appropriately and directly related to the project.
- ◆ Other services and commodities that are pertinent and necessary to the project.

1.7 Application Review and Award Process

The grant review process is a competitive one, with a set amount of grant monies available for distribution. Projects that meet the criteria of the grant program, that are well conceived, fully described, and adequately supported in a complete application form, will receive the most favorable review. State Archives Branch



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Archivists and the Local Records Grant Coordinator are available to provide assistance and guidance in completing the application prior to the application deadline.

Applications are reviewed for eligibility, completeness, conformity to application requirements, soundness of budget, and relevance to the purpose of the grant program. The Washington State Archives Oversight Committee (AOC) evaluates applications and determines award recommendations (full, partial, or denial of funding.) The proposed award list is forwarded to the Secretary of State for approval. All applicants are notified by mail.

In evaluating applications, the AOC considers the importance and historical value of the records and the overall soundness of the proposed project. They are guided by the following criteria in making recommendations on applications:

- ◆ Urgency of Problem: Special consideration is given to offices with critical records problems.
- ◆ Significance and Age of Records: The committee will give special consideration to those proposals addressing preservation of older records.
- ◆ Soundness of Method: The method of handling records should conform to generally accepted archival theory and practice. This includes thorough examination, arrangement, and description to make records readily accessible for research. Similarly, for those projects that seek to treat individual items, the methods used must not harm the item and the process must be reversible.
- ◆ Local Commitment to Conservation: This includes provisions for adequate storage space and proper environmental controls, the designation of a knowledgeable person or persons responsible for maintaining the records, and adherence to all standards for archival microfilming or scanning as supported by the Washington State Archives.

2. GRANT ADMINISTRATION

2.1 General Information

The Grant Program's Administrative Rules (WAC 434-670) provide the operational basis for the Local Records Grant Program. (A copy is provided at the end of the Guidebook.)

2.2 Statutory Obligations

Application for and acceptance of grant project funds administered by the Washington State Archives, Office of Secretary of State, obligates the grant recipient to comply with:

- ◆ RCW 40.30 Open Meeting and Records
- ◆ RCW 40.04; 40.10; 40.14; and 40.20 Public and Business Records
- ◆ RCW 39.04 as applicable for purchasing procedures
- ◆ Title VI of the Civil Rights Act, the Rehabilitation Act of 1973
- ◆ The Age Discrimination Act of 1975 and the Americans with Disabilities Act of 1990



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2.3 Project Bids and Expenditures

All procurements must meet local government purchasing requirements.

Project implementation and expenditure documentation is required to support all grant fund payments made by the Washington State Archives. If required, report forms and instruction sheets (with examples of approved documentation for commodities and services) will be included in a project packet that is mailed in the award packet. Other documentation may be necessary depending on your particular project.

2.4 Staff Assistance

Washington State Archives staff is available to guide and assist you in applying for grant funds and in successfully completing your project. Contact information is on the first page of this Guidebook.

Retain this Guidebook for your reference and use after award of grant funds. Many questions that will arise as you implement your project are covered in this publication. Additional pertinent information, materials and forms will be sent to the project contact after grants are awarded.

2.5 Grant Payments - EXPRESS GRANTS

Express Grant recipients will receive 80% of the award amount within 30 days of returning the signed contractual agreement. 20% will be disbursed upon receipt and approval of a final report narrative report, which is due no later than May 31, 2009.

2.6 Grant Payments - REGULAR GRANTS

Regular Grant recipients will receive 60% of the award amount within 30 days of returning the signed contractual agreement. An additional 20% will be disbursed upon receipt and approval of the second of the two interim narrative reports, which is due January 10, 2009. Upon completion of the project and receipt of a final report (due no later than May 31, 2009, and including copies of invoices for all funds expended) the final 20% will be disbursed within 30 days after receipt. If a project is completed prior to either interim reporting requirement, only a final report will need to be submitted for payment of the final balance due.

2.7 Reports - EXPRESS GRANTS

A final report is required to be filed upon completion of the project. Copies of invoices for grant project expenditures must be attached. Online forms and examples will be available.

2.8 Reports - REGULAR GRANTS

The Local Records Grant Program rules stipulate that both narrative and financial components be reported during the project period. Online forms and samples will be available.

Two interim narrative reports are required. The first covers the period from the project's commencement through June 30, 2008, and is due on July 10, 2008. The second interim report covers the period from July 1, 2008 through December 31, 2008, and is due on January 10, 2009. In addition, a final report is due upon completion of project, but no later than May 31, 2009. Copies of invoices for grant project expenditures must be attached. A check for unexpended grant monies, and/or unexpended interest earned on those monies, must be returned to the Washington State Archives within 60 days of the completion of the project.



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2.9 Project Changes

The State Archivist of Washington must receive a written request prior to any revisions to a project's budget. The written request must include the reason for the revision, the total dollar amount of funds to be reallocated, and identification of which budget categories and/or budget line items are to be reduced or increased, and by what amount.

Program change requests, such as added or deleted record series from scanning/microfilming projects, and personnel changes also require a prior, written request.

3. APPLICATION PREPARATION TIPS

3.1 Step One – Getting Oriented

- ◆ READ this Guidebook and Application to become familiar with the program.
- ◆ Determine if your agency, institution or organization is eligible for this grant program.
- ◆ Understand what your responsibilities will be if you are awarded a grant.
- ◆ Know what information must be included in your application.
- ◆ Objectively evaluate your resources: Do you have a realistic estimate of the funds, staffing and time needed to undertake and complete your project within the grant cycle time frame?

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

3.2 Step Two – Getting Started

- ◆ KEEP this Guidebook! You will want to refer to specific sections as you develop your proposal, and it will be a ready source of information to effectively administer an awarded grant.
- ◆ Call or e-mail the archivist contact at your Regional Branch to discuss what you would like to accomplish with a Local Records Grant. This required step will help your agency to develop a strong and well-designed project proposal that reflects best archival and records management practices.
- ◆ Fill out a Records Series Inventory Form.
- ◆ Attend a grant workshop at your Regional Branch. Please register online at: <http://www.secstate.wa.gov/archives/grants>.
- ◆ Allow sufficient time to develop a successful proposal; do not procrastinate.
- ◆ Research to determine realistic costs. Don't underestimate the level of staffing and time commitment required. Everything will take longer than you expect; anticipate delays and problems.
- ◆ Prepare a draft, edit and revise to achieve the best proposal possible.

3.3 Step Three – Putting It All Together

- ◆ Follow the application guidelines, instructions and format.
- ◆ Be sure to respond to all questions and sections. Make your responses clear and to the point.
- ◆ Submitted applications must be complete.
- ◆ Check and recheck your budget figures and computations.



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- ◆ Use the Required Forms table below to ensure the application is complete and arranged in the correct order.
- ◆ Have someone review your draft for clarity, typos and spelling errors.
- ◆ Make sure you have the two required signatures of agency officials.
- ◆ Submit only the required forms & support materials; your proposal will be judged on content, not weight.

4. APPLICATION INSTRUCTIONS

Submit your original application plus five (5) copies, each stapled in the upper left-hand corner.

Do not use tabs, dividers, binders or folders. If your application is too thick for a staple, please use one metal binder clip per packet.

Applications MUST be postmarked or received at the State Archives in Olympia by July 13 '07.
 No faxed or e-mailed applications will be accepted. Please use the following address:

**Local Records Grant Program
 Washington State Archives
 1129 Washington St SE
 Olympia, WA 98504**

4.1 Required Forms and Attachments:

The table below indicates the required forms and attachments AND the required order for Express and Regular Grant applications. Please follow the list carefully.

EXPRESS GRANT	REGULAR GRANT
Applicant Identification Form Records Series Inventory Form Imaging Form (& Imaging Services estimate) and/or Equipment Form (& estimates/descriptions) Photos (optional, but encouraged)	Applicant Identification Form Records Series Inventory Form Budget Detail Form Project Proposal Narrative Form Background and Funding Form Grant Proposal Questionnaire Form Imaging Services Estimate (if applicable) Equipment Estimate(s) (if applicable) Budget Detail Support Materials (if applicable) Photos (optional, but encouraged)

4.2 Applicant Identification Form - Instructions

APPLICANT IDENTIFICATION FIELDS - These refer to the local government entity (or a sub-unit thereof) with taxing authority as defined by Washington State Statute. This agency is generally the direct beneficiary of the applied grant funds. Please complete all fields.

PRIMARY PROJECT CONTACT - This is the individual responsible for implementing the project on a day-to-day basis. State Archives contact will be with this individual during the grant project.



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LEGISLATIVE DISTRICT - This information is used for statistical purposes and to notify elected officials when grants are awarded. If you are unsure of the district, please call your local election authority.

AUTHORIZING OFFICIAL - The signatory individual must be the authorized local governmental or political subdivision official with the statutory authority to enter into binding contracts and encumber funds for the applicant agency. This official will also be the signatory agent for the Grant Agreement, which establishes a contractual relationship between Secretary of State, Washington State Archives and the awarded grantee.

AUTHORIZING AGENCY - This is the local government entity or political subdivision with the authority to enter into binding contracts and encumber funds.

APPLICATION PREPARED BY - This entry identifies the individual responsible for gathering the application information and completing the forms. State Archives will contact this person should specific information pertaining to the proposed project be required.

FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN) - This number is necessary to set up your grant payment account.

SIGNATURE OF OFFICIAL - Signature of the Authorizing Official establishes official approval of the submitted project proposal and budget.

4.3 Records Series Inventory Form - Instructions

This completed form is required for ALL grant applications. Whether you are organizing, storing, scanning or microfilming your records, list all records series you are proposing to protect, enhance, duplicate, or make accessible with awarded grant funds.

Filling out this form will help you to determine the retention requirements of your records, and will establish which records are classified archival and/or essential. (For specific questions about your records, please contact your Branch Archivist.)

Scanning/microfilming funds will only be awarded for records deemed archival and/or essential. For these projects, e-mail your completed form to David Tuckett at Imaging Services (dtuckett@secstate.wa.gov) to get a cost estimate for your grant proposal.

RECORDS SERIES - Titles of all records series (involving grant funding) as they appear in the Local Government General Retention Schedule (<http://www.secstate.wa.gov/archives/gs.aspx#local>). Grants for records deemed archival and/or essential will receive highest award priority.

AGENCY DISCUSSED THIS GRANT PROPOSAL WITH BRANCH ARCHIVIST - This check-box serves as confirmation that your agency completed this required step.

OFFICE OF ORIGIN - The office, department, program or division that created the records.

DAN - The Disposition Authority Number for each records series. Records retention schedules are available online at: <http://www.secstate.wa.gov/archives/gs.aspx#local>.

INCLUSIVE DATES - The years included in the records series.



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FORMAT - What are the original documents? Loose-leaf pages in file folders or binders? Permanent or post-bound (pages removeable) volumes? Rolled or folded maps? Tissue, card stock, microfiche, microfilm, greenbar, index cards? NOTE: Only one format (and size or size group) per column; enter additional formats in adjacent column(s).

SIZES - Indicate the actual size of the pages involved. NOTE: Only one size or size group per column; enter additional sizes in adjacent column(s). If your records are a combination of sizes, please choose one size group:

Mixed: If every single page is less than 11x17. Pages can be any combination of sizes between 3x5" and 11x17". There is no need to itemize each size.

Combo: If ANY pages are larger than 11x17. There is no need to itemize each size.

PAGES - A 1 cu ft State Archives box holds approximately 2,500 pages lengthwise or 2,000 widthwise. For records management and storage project proposal estimates, count single- and double-sided copies as "one". For scanning/microfilming project proposal estimates, make sure to count double-sided copies as two pages, as both sides of the page will need to be imaged. (50 double-sided pages would be 100 images.) If there are both single- and double-sided pages in the folder or binder, indicate that it is **Combination**.

VOLUMES, BOXES OR REELS - Indicate the number of bound volumes, estimated total of 1 cu ft Archive boxes your records would fill, or reels of microfilm you need duplicated.

APPROXIMATE TOTAL PAGES - Indicate a rough estimate of total pages; exact numbers are not necessary. A 1 cu ft State Archives box holds approximately 2,500 pages lengthwise (and 2,000 widthwise.) Measure records by the foot, if necessary. For microfilm, 16mm reels hold about 2,000 frames, and 35mm reels about 500.

4.4 BUDGET INSTRUCTIONS:

Round all figures to the nearest dollar, and be sure to include sales tax. Support materials are required for budget items noted below.

IMAGING SERVICES - SUPPORT MATERIAL REQUIRED: State Archives' Imaging Services (IS) is the required vendor for all imaging projects. A Records Series Inventory Form must be filled out completely and e-mailed to IS in order to secure cost estimates. E-mail your form to David Tuckett at: dtuckett@secstate.wa.gov. In the event that IS is unable to complete a project (due to project requirements or time constraints), grant recipients will be allowed to secure a different vendor.

ARCHIVAL BOXES - All records receiving grant funds must be stored and transported in 1 cu ft archival boxes. These sturdy, acid-free boxes are available through your regional Archives, and costs (\$1.65 per box) can be included in your grant budget request.

PERSONNEL - SUPPORT MATERIAL REQUIRED: Include resumes of project personnel, consultants and volunteers who will be directly associated with project implementation. Briefly describe each person's regular and grant project duties/responsibilities. Show staff name (or position if new staff is to be hired), pay rate, hours to be worked, and total costs. If benefits are to be paid, include those costs.



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SUPPLIES - SUPPORT MATERIAL REQUIRED: List the type, quantity and cost of the desired supplies and materials. Provide a per unit cost and totals.

SHELVING - SUPPORT MATERIAL REQUIRED: ONLY industrial-type metal shelving can be included here. These shelving units generally consist of four 13- gauge round-edge angle-upright posts drilled with holes at standard intervals. The shelves (30" by 42") are attached with stove bolts and nuts. Depending on the height of the unit, braces may be an additional shelving unit component. Other shelving with similar construction may also qualify including moveable metal shelving. List the per unit cost, the number of units desired, and the total shelving cost. Any vendor installation costs are also included here. NOTE: Wood shelving is not funded.

MICROFILM READER - SUPPORT MATERIAL REQUIRED: Only agencies with microfilm on hand or in production will be considered for microfilm reader funding. Information about the recommended microfilm reader available through state contract is available online at: www.secstate.wa.gov/archives/grants.

TRAVEL - SUPPORT MATERIAL REQUIRED: Indicate the destination and reason for travel. Show the mileage and cost total at the current state rate of .485 cents per mile. When appropriate, meal and lodging costs are listed and included in this budget category.

OTHER - SUPPORT MATERIAL REQUIRED: The cost of appropriate, project-related equipment or supplies.



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ADMINISTRATIVE RULES

WAC 434-670

The Washington State Archives Local Records Grant Program

WAC 434-670-010. WASHINGTON STATE ARCHIVES LOCAL RECORDS GRANT PROGRAM. The Washington State Archives Local Records Grant Program, administered by the Office of the Secretary of State, provides financial assistance to local government officials to support records management and preservation efforts, particularly for records of permanent retention. This grants-in-aid program is a significant effort in the overall mission of the program to enhance the quality of archival preservation and public access to records of enduring value. This grant program is governed by this chapter and by RCW 36.22.175.

WAC 434-670-020. ELIGIBLE AND INELIGIBLE ACTIVITIES.

(1) The following activities, including but not limited to, are eligible for support through grants administered pursuant to this chapter:

- a. Planning
- b. Records Management
- c. Preservation
- d. Conservation
- e. Professional consultants
- f. Essential equipment
- g. Reference tools, and
- h. Education
- i. Temporary Personnel

(2) The following activities, including but not limited to, are ineligible for support through grants administered pursuant to this chapter:

- a. Projects already completed
- b. Expenses incurred prior to the grant period
- c. Existing/permanent staff positions
- d. Equipment nonessential to the project
- e. Capital improvements to buildings
- f. Payments to lobbyists
- h. Hospitality expenses
- i. Prizes/awards
- j. Benefit activities (social, fundraisers, etc.)
- k. Educational outreach not available to the public
- l. Tuition reimbursement for academic credit
- m. Activities having a religious purpose
- n. Inventories/guides not available to the public and;
- o. Purchase of manuscripts/records.

WAC 434-670-030. ELIGIBILITY. Local government entities, including special purpose districts, are eligible to apply for grants under this chapter. Entities other than local governments, such as individuals, state agencies, federal agencies, and private organizations are ineligible, but local public records housed by state agencies



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may be included in a grant application that is submitted and administered by the local official who has statutory authority over the records.

WAC 434-670-040. EVALUATION OF PROPOSALS.

(1) Washington State Archives staff will review grant applications for completeness, conformity to application requirements, soundness of budget, and relevancy to the objectives of the Washington State Archives Local Records Grant Program. [Staff may also consider, in addition to the factors specified above the potential for widespread citizen use, research value and value for ongoing governmental operation of the proposed project including improvements to existing operations.]

The proposal may be returned to the applicant institution for further development or clarification, prior to application deadline.

(2) A summary will be prepared by the Washington State Archives for each complete application and forwarded to the Oversight Committee. The committee will review the applications at its annual public meeting and make funding recommendations to the Secretary of State.

(3) The Office of the Secretary of State will notify the applicant in writing as to whether the proposal has been funded or rejected.

(4) The Office of the Secretary of State will notify the applicant in writing as to whether the proposal has been funded or rejected.

WAC 434-670-050. GRANT APPLICATION REQUIREMENTS. In order to be complete an application must include:

- (1) Identification of local government entity and project personnel;
- (2) A description of the activity proposed for funding including:
 - A. Statement of purpose and goals;
 - B. Project summary;
 - C. Detailed analysis of plan, discussion of techniques and a timetable;
 - D. Project objectives; and
 - E. Specific end results or products.
- (3) A funding description, including:
 - A. Budget layout;
 - B. Budget explanation;
 - C. Need for outside funding;
 - D. Funding of future management and preservation projects; and
 - E. Local entity's accounting methods and audit procedures.
- (4) Relevant Information, including:
 - A. Evaluation of results (how will the success or failure be measured);
 - B. Statement of any previous actions; and
 - C. Description of importance of the project in terms of an overall, long-range record management program
- (5) Authorization, including:
 - A. Being signed and dated by proper official; and
 - B. Identification of preparer of the application.
- (6) Support Material, including:
 - A. Letter of commitment from the applicant's funding authority;



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- B. Resumes of project personnel, consultants, volunteers, etc., and descriptions of their grant-funded duties
- C. Required forms;
- D. Identification of necessary services, equipment, supplies, etc.; and
- E. Other relevant information

WAC 434-670-060. GRANT CALENDAR.

(1) The grant period begins on the date of the award issued by the Office of the Secretary of State. Grant projects must be completed in the awarded biennium.

(2) The grant payment and reporting schedule will be approved and published by the Oversight Committee for each grant cycle. All unused grant funds and interest in possession of the grantee must be returned to the Washington State Archives Local Records Grant Program within 60 days of completion.

WAC 434-670-070. ACCOUNTING. Grantees must keep financial records in accordance with the accounting practices generally applicable to their local government accounting practices and apply approved record retention schedules. These records, as public records, shall be subject to inspection by the Washington State Archives staff and the Oversight Committee during regular business hours throughout the grant period. If any litigation, claim, or audit is begun before the end of the retention period, records must be retained until such proceeding is resolved.

WAC 434-670-080. AUDITING REQUIREMENTS. Grantees must comply with the audit requirements set forth in Washington statutes for local government units. The grantee is responsible for ensuring that the Washington State Archives receives copies of the audit report for any audit performed during the grant period or for the following three (3) years. Specific accounting requirements for the Washington State Archives Local Records Grant Program are:

- (1) Grant money must be deposited in an auditable, interest-bearing account. Interest received must be applied to the project.
- (2) Grant work must be monitored in progress. The Washington State Archives staff may visit the work site for review at any time during the project.
- (3) Changes in the approved grant, including changes of personnel, must be requested in writing to the Washington State Archives, Local Records Grant Program.
- (4) In the case of default by the grantee, the grant will be revoked and all unused funds must be returned to the Washington State Archives Local Records Grant Program. The Washington State Archives will notify the grantee of default in writing.
- (5) The grantee shall submit a final grant report by June 30.
- (6) Grantees must submit copies of all invoices with the final report, and
- (7) Grantees must adhere to local and state bid requirements and submit documentation with the final grant report.

WAC 434-670-090. CONFLICTS OF INTEREST.

- (1) The Washington State Archives Oversight Committee will not consider a proposal where a committee member or a member of the Secretary of State's staff derives compensation from the proposed grant.
- (2) A board member shall abstain from reviewing or voting on proposals if she/he is directly or indirectly connected with a proposed project through employment at the same institution, [directly or] indirectly supervises the project, or serves as an unpaid consultant to the project.



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APPLICANT INFORMATION FORM

Examples available online: www.secstate.wa.gov/archives/grants

1. APPLICANT AGENCY		2. Previous Local Records Grant Applicant? NO YES	
		3. Previous Local Records Grant Recipient? NO YES	
4. AGENCY HEAD (First, Last)		5. POSITION TITLE/DIVISION	6. PHONE NUMBER
7. NAME OF PRIMARY PROJECT CONTACT (First, Last):		8. POSITION TITLE/DIVISION	9. PHONE NUMBER
10. E-MAIL – AGENCY HEAD	11. E-MAIL – PRIMARY CONTACT	12. FAX NUMBER	13. LEGISLATIVE DIST #
14. APPLICANT AGENCY ADDRESS (Street, City, State, Zip Code)		15. MAILING ADDRESS – if different (Street, City, State, Zip Code)	
16. AUTHORIZING AGENCY OFFICIAL (First, Last)		17. POSITION TITLE/DIVISION	
18. AUTHORIZING AGENCY ADDRESS (if different from above)		19. MAILING ADDRESS (if different)	
20. E-MAIL ADDRESS		21. FAX NUMBER	22. PHONE NUMBER
23. APPLICATION PREPARED BY (First, Last)		24. POSITION TITLE/DIVISION	25. PHONE NUMBER
26. NOTES OR ADDITIONAL INFORMATION:			
The information in boxes 27 and 28 identifies to whom grant disbursement checks will be made payable, and the individual designated to receive mailed checks.		28. NAME AND ADDRESS OF INDIVIDUAL TO WHOM THE CHECK SHOULD BE MAILED:	
27. NAME OF CHECK PAYEE: (“Pay to the order of _____”)			
29. FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN):		SIGNATURE SHOWING CERTIFICATION OF AUTHORITY TO SECURE AND ENCUMBER PROJECT FUNDS:	
30. SIGNATURE OF AGENCY HEAD (from 4)	31. DATE	32. SIGNATURE OF AUTHORIZING OFFICIAL (from 16)	33. DATE

TO BE COMPLETED BY WASHINGTON STATE ARCHIVES STAFF ONLY

34. APPLICATION COMPLETE & ACCEPTED		35. GRANT AWARDED or DENIED (Date):	
NAME	DATE	36. NOTIFICATION MAILED (Date):	



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RECORDS SERIES INVENTORY FORM

Examples available online: www.secstate.wa.gov/archives/grants

Records Series	Applicant discussed this grant project proposal with Branch Archivist? Yes No				
Archival and/or essential records series only (one series per column)					
DAN Disposition Authority #					
Office of Origin Office or department of creation					
Inclusive Dates Years only					
Format Bound (permanent or post), loose pages, greenbar, time cards, rolled, folded, etc.	NOTE: One format per column - continue to next column for additional formats				
Size Specify - 3x5, 5x7, 8.5x11, 9x15, 24x36, etc. (or) Mixed: <u>ALL</u> under 11x17 Combo: <u>ANY</u> 11x17+	NOTE: One size per column - continue to next column for additional sizes				
Type Single- or double-sided, or combination					
# of Volumes, Boxes or Reels State Archives box = 1 cu ft					
Approximate Total Pages 1 cu ft box = 2,500 pages					
FOR STATE ARCHIVES STAFF USE ONLY					



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IMAGING PROJECT REQUEST FORM

Examples available online: www.secstate.wa.gov/archives/grants

Maximum \$10,000

Attach your Records Series Inventory Form and describe your records imaging proposal. Discuss your long-term preservation plan for the original records, including transfer to your State Archives Branch.

Original microfilm and electronic images, with proper labeling, indexing, and metadata, may be preserved at the WA State Archives. Copies will be supplied to your agency, if needed.

EXPRESS

BUDGET CATEGORY	DETAILS	ESTIMATED COST
Imaging Services, State Archives	(Attach Estimate)	
Archival Boxes, State Archives	_____ @ \$1.65 each (incl. tax)	
Other		
Other		
Other		
TOTAL GRANT FUNDS REQUESTED:		



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EQUIPMENT PROJECT REQUEST FORM

Examples available online: www.secstate.wa.gov/archives/grants

Maximum \$7,500

Microfilm Reader/Printer

1. How often is your microfilm used? Daily Weekly Monthly
2. Quantity and film size (in # of rolls): 35mm 16mm
3. Will you need a microfiche attachment? Yes No

Shelving (Metal only)

1. Attach metal shelving specifications and costs.
2. Describe your current records storage situation:

Other Equipment

NOTE: A completed Records Series Inventory Form is required for all grant applications.

BUDGET CATEGORY	DETAILS	ESTIMATED COST
Archival Boxes, State Archives	_____ @ \$1.65 each (incl. tax)	
Microfilm Reader/Printer	(Attach Flyer from website)	
Shelving (Metal)	(Attach Estimate/Description)	
Other		
Other		
TOTAL GRANT FUNDS REQUESTED:		



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APPLICANT INFORMATION FORM

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		3. Previous Local Records Grant Recipient? NO YES	
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		6. PHONE NUMBER	
7. NAME OF PRIMARY PROJECT CONTACT (First, Last):		8. POSITION TITLE/DIVISION	
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20. E-MAIL ADDRESS		21. FAX NUMBER	
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27. NAME OF CHECK PAYEE: (“Pay to the order of _____”)			
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30. SIGNATURE OF AGENCY HEAD (from 4)	31. DATE	32. SIGNATURE OF AUTHORIZING OFFICIAL (from 16)	33. DATE

TO BE COMPLETED BY WASHINGTON STATE ARCHIVES STAFF ONLY

34. APPLICATION COMPLETE & ACCEPTED		35. GRANT AWARDED or DENIED (Date):	
NAME	DATE	36. NOTIFICATION MAILED (Date):	



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Examples available online: www.secstate.wa.gov/archives/grants

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Format	NOTE: One format per column - continue to next column for additional formats				
Bound (permanent or post), loose pages, greenbar, time cards, rolled, folded, etc.					
Size	NOTE: One size per column - continue to next column for additional sizes				
Specify - 3x5, 5x7, 8.5x11, 9x15, 24x36, etc. (or) Mixed: <u>ALL</u> under 11x17 Combo: <u>ANY</u> 11x17+					
Type Single- or double-sided, or combination					
# of Volumes, Boxes or Reels State Archives box = 1 cu ft					
Approximate Total Pages 1 cu ft box = 2,500 pages					
FOR STATE ARCHIVES STAFF USE ONLY					



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BUDGET DETAIL FORM

Examples available online: www.secstate.wa.gov/archives/grants

BUDGET CATEGORY	DETAILS	ESTIMATED COST
Imaging Services, WA St Archives	(Attach Estimate/Description)	
Archival Boxes	_____ @ \$1.65 each (incl. tax)	
Personnel (attach resumes)	_____ hrs @ _____ per hr	
Supplies		
Shelving (Metal)	(Attach Estimate/Description)	
Microfilm Reader	(Attach Estimate/Description)	
Other		
Other		
Other		
TOTAL GRANT FUNDS REQUESTED:		

BUDGET EXPLANATION, JUSTIFICATION AND DETAIL: Provide a detailed breakdown and cost basis for each budget category included in your budget request. State why these expenditures are appropriate and necessary. (One additional page may be attached, if necessary.)





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PROJECT PROPOSAL NARRATIVE FORM

Examples available online: www.secstate.wa.gov/archives/grants

STATEMENT OF PURPOSE: A brief and clear statement that identifies your records needs and issues, and how your project will address them.

PROJECT SUMMARY: Describe the current situation, provide an overview of the necessary activities that will address your records needs, and state the anticipated result of a successfully completed project.

TIMELINE AND WORK PLAN: Provide details (by quarters) indicating how your project plan will be developed and implemented. Be sure to allow sufficient preparation time at the beginning of your project.

PROJECT OBJECTIVES: Identify the expected results or outcomes you hope to achieve. Will you serve the public or perform your duties more effectively? Improve space allocation or enjoy cost savings?

EVALUATION OF PROJECT RESULTS: How will you identify and/or measure the anticipated results of your project?



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BACKGROUND AND FUNDING FORM

Examples available online: www.secstate.wa.gov/archives/grants

STATEMENT OF PREVIOUS ACTIONS: Efforts you have made to preserve or protect these or other records.

IMPACT OF THIS PROJECT AND ITS IMPORTANCE IN TERMS OF LONG-RANGE PLANNING:

How will this project fit into your agency's overall management, preservation and access plan?

FUTURE RECORDS MANAGEMENT AND PRESERVATION ACTIONS: Are additional projects being considered by your agency? How will future activities be funded?

FUNDING SOURCE: Explain the need for grant funds and why local funds are not available to fully fund the project.

ACCOUNTING METHODS AND AUDIT PROCEDURES – What agency, department, or staff manages your finances? Are current fiscal checks and balances in place? What type of audit does your agency undergo; who performs such review; and when was your last financial report or audit done?



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GRANT PROPOSAL QUESTIONNAIRE

Examples available online: www.secstate.wa.gov/archives/grants

The grant application process revolves around a series of questions developed to determine the type, value and location of your records management needs. Your Branch Archivist will be available to assist you with questions on the familiar and unfamiliar aspects of this evaluation process.

WHO OWNS THE RECORDS? Do the records belong to more than one agency or jurisdiction?

WHERE ARE THE RECORDS? Who has physical custody? What is the physical location of the records? Are they in an office, storeroom, vault, basement, loft, or warehouse?

WHAT IS THE ACCESSIBILITY TO THE RECORDS? Stairs? Elevator? Secured area requiring special access?

WHY ARE THE RECORDS WHERE THEY ARE? Are there any particular reasons the records are where they are and in their current shape? Inadequate facility space, audit, fire, natural disaster, criminal investigation, lawsuit, neglect?

HOW MANY RECORDS ARE IN FILE CABINETS OR OPEN SHELVING UNITS?

DO FILE INDEXES OR RECORDS INVENTORIES EXIST FOR THESE RECORDS?



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WHAT IS THE OVERALL PHYSICAL CONDITION OF THE RECORDS? Are they clean, dirty, dry, moldy, water damaged, pest damaged?

ARE THE RECORDS BEING ACTIVELY USED? If yes, explain.

WHAT IS THE ESTIMATED ANNUAL GROWTH RATE OF THE RECORDS SERIES?

WHAT PHYSICAL FACILITY AND EQUIPMENT ISSUES NEED TO BE ADDRESSED? Will new or additional shelving be needed?

WHAT OTHER RESOURCES WILL THE AGENCY NEED? State Archives personnel training for project development, new archives boxes, labels, temporary staffing?

OTHER INFORMATION PERTINENT TO YOUR PROJECT PROPOSAL: