

# STATE

## STATE RECORDS COMMITTEE

### Notice of Availability of Grants

#### Public Archives and Records Infrastructure Support (PARIS) Grants

**Take notice** that, in accordance with P. L. 2003, c.117, sections 38 and 39, the State Records Committee announces the availability of grant funds and establishes a schedule for the application and reporting process for the Public Archives and Records Infrastructure Support (PARIS) grants for program year September 1, 2009 to August 31, 2010. This notice supersedes that public notice published on November 19, 2007 in the New Jersey Register at 39 N.J.R. 4966.

**(a) Name of program:** Public Archives and Records Infrastructure Support ("PARIS") Grant Program.

**(b) Purpose:** To award competitive grants to county and municipal governments to support significant efforts in the management, storage and preservation of public records. Each year, the State Records Committee will establish priorities for funding and identify funds available for selected categories of local governments.

**(c) Eligibility:** In this grant cycle (program year September 1, 2009 to August 31, 2010), there will be five categories of eligible local governments:

**Category I: County Governments.** To be eligible for PARIS Grant funding, county governments must have:

1. A Records Management Strategic Plan approved by the State Records Committee.
2. An established, functioning records management committee, including representatives from key county offices, including the Constitutional Offices, Information Technology, Administration, Purchasing and the County Shared Services Liaison.
3. At least one dedicated Records Manager and/or Archivist and/or other appropriate records management staff.
4. Existing imaging systems and products certified by the State Records Committee, including appropriate renewals.
5. Demonstrated compliance with public records management, retention and disposition standards and procedures, as defined by N.J.A.C. 15:3, subchapter 2 regarding Records Retention.
6. An appointed PARIS Grants Project Manager who will have completed program year 2009-2010 on-line PARIS grants training and will have submitted certification of such by the date provided herein.

**Category II: Cities of the First Class.** Cities of the first class, as defined by R.S. 40A:6-4, that have:

1. A Records Management Strategic Plan approved by the State Records Committee.

2. An established, functioning records management committee, including representatives from key municipal departments including Information Technology, Administration, and Purchasing.
3. At least one full-time, dedicated Records Manager and/or Archivist.
4. Existing imaging systems and products certified by the State Records Committee, including appropriate renewals.
5. Demonstrated progress toward compliance with public records management, retention and disposition standards and procedures, as defined by N.J.A.C. 15:3, subchapter 2 regarding Records Retention.
6. An appointed PARIS Grants Project Manager who will have completed program year 2009-2010 on-line PARIS grants training and will have submitted certification of such by the date provided herein.

**Category III: Municipal governments with populations over 75,000.** Municipalities with populations over 75,000 (based on the population table of the state data center, July 2008) that are not cities of the first class, that have:

1. A Records Management Strategic Plan approved by the State Records Committee.
2. An established, functioning records management committee, including representatives from key municipal departments including Information Technology, Administration, and Purchasing.
3. Existing imaging systems and products certified by the State Records Committee, including appropriate renewals.

4. Demonstrated progress toward compliance with public records management, retention and disposition standards and procedures, as defined by N.J.A.C. 15:3, subchapter 2 regarding Records Retention.
5. An appointed PARIS Grants Project Manager who will have completed program year 2009-2010 on-line PARIS grants training and will have submitted certification of such by the date provided herein.

**Category IV: Municipal governments with populations between 45,000 and 74,999 and County Seats.** Municipalities with populations over 45,000, but under 75,000 (based on the population table of the state data center, July 2008), and smaller municipalities that serve as county seats, that have:

1. A Records Management Strategic Plan approved by the State Records Committee.
2. An established, functioning records management committee, including representatives from key municipal departments including Information Technology, Administration, and Purchasing.
3. Existing imaging systems and products certified by the State Records Committee, including appropriate renewals.
4. Demonstrated progress toward compliance with public records management, retention and disposition standards and procedures, as defined by N.J.A.C. 15:3, subchapter 2 regarding Records Retention.
5. An appointed PARIS Grants Project Manager who will have completed program year 2009-2010 on-line PARIS grants training and will have submitted certification of such by the date provided herein.

**Category V: Municipal governments with populations under 45,000.** Municipalities with populations under 45,000 (based on the population table of the state data center, July 2008), that have:

1. A Records Management Strategic Plan approved by the State Records Committee.
2. An established, functioning records management committee, including representatives from key municipal departments including Information Technology, Administration, and Purchasing.
3. Existing imaging systems and products certified by the State Records Committee, including appropriate renewals.
4. Demonstrated progress toward compliance with public records management, retention and disposition standards and procedures, as defined by N.J.A.C. 15:3, subchapter 2 regarding Records Retention.
5. An appointed PARIS Grants Project Manager who will have completed program year 2009-2010 on-line PARIS grants training and will have submitted certification of such by the date provided herein.

**(d) Funding:** For program year September 1, 2009 to August 31, 2010, the following maximum funding is available to government entities that are eligible for PARIS grants:

**Category I: Counties**

County governments shall be eligible to apply for a maximum of four (4) grant projects, which together may not exceed \$750,000. The funding cap may increase through money

leveraging with other governments with no limits, especially municipal governments within the county's borders, based on the program's high emphasis on shared services.

**Category II: Cities of the First Class**

Cities of the first class as defined by R.S. 40A:6-4 are eligible to apply for a maximum of two (2) grant projects, which together may not exceed \$250,000. Those in this category may also leverage their available funds with other local governments, in line with the program's shared services emphasis.

**Category III: Municipalities with Populations over 75,000**

Eligible Municipalities with populations over 75,000 are eligible to apply for two (2) grant projects, which together may not exceed \$175,000. Municipalities of this size that are requesting funding for staffing may do so in a third project outside the budget cap. This staffing may cover salary, benefits, and training only, in compliance with the PARIS guidelines. Those in this category may also leverage their available funds with other local governments, in line with the program's shared services emphasis.

**Category IV: Municipalities with Populations between 45,000 and 74,999 and County Seats**

Eligible Municipalities with populations between 45,000 and 74,999 and county seats not covered under previous categories are eligible to apply for two (2) grant projects, which together may not exceed \$150,000. Municipalities of this size that are requesting funding for staffing may do so in a third project outside the budget cap. This may cover salary,

benefits, and training only, in compliance with the PARIS guidelines. Those in this category may also leverage their available funds with other local governments, in line with the program's shared services emphasis.

**Category V: Municipalities with Populations under 45,000**

Eligible Municipalities with populations of under 45,000 are eligible to apply for one (1) grant project, which may not exceed \$40,000. Municipalities of this size that are requesting funding for staffing may do so in a second project outside the budget cap. This may cover salary, benefits, and training only, in compliance with the PARIS guidelines. Municipal governments of this size are encouraged to leverage funding with other governments, especially with their county, based on the program's high emphasis on shared services.

**All Categories:** In line with the Public Archives and Records Facility Advisory Committee (PARFAC), which reports to the State Record Committee (SRC), \$2,000,000 of available funding will be set aside for projects relative to the construction or expansion of archives and records management facilities. Any category of local government may apply for this funding as an additional project, outside the regular funding cap. Applicants should note that:

1. Applicant may pool this funding with their "normal" funding, for other facility enhancements such as interior work (shelving) and systems (HVAC, security).
2. Any PARIS eligible government may apply for this funding, with priority scoring going to:
  - a. Shared services facilities.
  - b. Facilities that encompass both permanent (archival) and non-permanent records.
  - c. Facilities that demonstrate a complete compliance with all state, local and federal regulations.

- d. Facilities that are based on completed facility studies, architectural studies, and other reports already accepted by the SRC.
  - e. Applications that demonstrate sustainability of the facility/services outside of initial PARIS funding.
3. There are two types of facility projects for which an applicant may apply:
    - a. Bond: an application seeking PARIS funding to cover the required 5% down to float a bond (N.J.S. A. 40A:2-1 et seq). The application must demonstrate an understanding of the law, the process, and provide a detailed time line for project completion.
    - b. Expansion: an application seeking PARIS funding to cover minor facility expansion, not to exceed the category cap of \$2,000,000.00. Applications that demonstrate local financial support, like any PARIS grant, will likely do better in the application process.
  4. Considering the complex scope of facility projects, a two-year contract will be granted to each applicant that succeeds in securing PARIS funding.

**(e) Priorities**

Grants will be awarded for program year September 1, 2009 to August 31, 2010 on the basis of the following priorities (in no particular order):

1. County/Municipal Shared Services Needs Assessment and Strategic Plan. – Priority will be funding county projects to perform or complete needs assessments, records inventories and strategic plans for all of the interested municipal governments.
2. County Sponsored Municipal Inventory Continuation and Records Reorganization: – Priority will be given to County managed detailed inventories, reboxing and purging of obsolete records including regionalized temporary or permanent staffing.
3. Records Manager and/or Archivist and Other Appropriate Staff – Funding for the present grant cycle will continue to be contingent upon having a dedicated records management professional on staff or requesting funding for a Records Manager for county governments and large municipalities (populations over 75,000).

4. Records Purging – Priority will be given to second phase inventory projects, which may include records sorting, rehousing, detailed inventorying and identifying, and purging in accordance with N.J.A.C. 15:3.
5. Inventory Management Systems – systems for the electronic management of government records inventory, especially ones that can be interfaced with the Records Retention and Disposition Management System (RRDMS) maintained by DARM.
6. Proven Need – Priority will be given to grants projects on the basis of proven need as identified in a Strategic Plan and Needs Assessment or other adequately documented justification.
7. Records Storage Facilities – Priority will be given to projects related to the creation of a regional centralized records storage facility, including feasibility studies, planning, debt service, and refurbishments.
8. Disaster Preparedness and Business Continuity Projects – Priority will be given to projects to develop, test, and implement disaster and business recovery plans and systems, including disaster prevention measures and business continuity plans and systems.
9. Imaging/Electronic Access Projects – Priority will be given to projects to improve access to public records and the County’s responsiveness to Open Public Records Act (OPRA) requests through implementation or development and expansion of enterprise-wide electronic records management systems, and electronic document management systems (EDMS). Back-file Conversion Projects will only be eligible in cases where a certified day-forward system is already in place and back-file conversion of previous records can be justified.

10. Detailed Historical Records Preservation Needs Assessments – Governments are required to have detailed inventories and preservation needs assessments for their historical and permanent documents accepted by the State Records Committee within three years of having their records management needs assessment accepted by the State Records Committee, especially in instances where such was not adequately covered within the previously funded needs assessment projects. In addition, a detailed conservation treatment plan accepted by the State Records Committee is required before the government may request PARIS Grant funding for specialized conservation work.

11. Records Conservation/Treatment/Access Activities – Priority will be given to projects which treat/conserves and/or improve public access to records that are currently at risk or not accessible to the public due to their physical condition. Such projects will not be funded without the completion of a detailed historical records conservation treatment plan in addition to a preservation needs assessment as described above.

**(f) Bonus Scoring**

Each of the following will earn an applicant an additional 1 to 3 points when the grant applications are scored:

1. Shared services projects
2. Leveraging funding for projects with other funding sources or entities.
4. Commitment of matching local government funds.
5. Conservation/Preservation projects supervised by a staff archivist.

**(g) Documentation**

Applicants must specifically document:

1. Need, based on a Strategic Plan and Needs Assessment or other adequate documented justification.
2. Why PARIS is the only—or most appropriate—source of funding for a specific project.
3. Local government support for records management, including financial commitment.

(h) **Timetable.** The State Records Committee has established the following schedule for the application and reporting process for PARIS grants for this grant cycle:

- Announcement of specific project areas eligible for funding for fiscal year (September 1, 2009 to August 31, 2010) – August 2008.
- Availability of adopted PARIS grant applications, guidelines and training opportunities – December 2008.
- Deadline for submission of letter of intent, January 16, 2009.
- Deadline for local governments to have records management needs assessment, inventory and strategic plan accepted by the State Records Committee – Thursday, 15 January 2009.
- Deadline for receipt of completed PARIS grant applications from municipalities and counties – 12:00 noon, Monday, March 16, 2009.
- Orientation for professional reviewers – March 20, 2009.
- Professional reviewers submit draft scores for applications – May 22, 2009.
- Panels of professional reviewers meet for scoring of applications – June 1, 2009.
- State Records Committee announcement of grant awards – Thursday, June 18, 2009.
- Date for start of PARIS grant projects – September 1, 2009.
- Deadline for completion of PARIS grant projects – August 31, 2010.
- Deadline for receipt of completed final reports on grant projects – 12:00 noon, February 26, 2011.

Grant applications and reports shall be submitted to:

PARIS Grants Administrator

Division of Archives and Records Management

*Physical Location:*

2300 Stuyvesant Avenue, Trenton, N.J. 08618

*Mailing Address*

P.O. Box 307, Trenton, N.J. 08625-0307.

*Email address*

Paris.grants@sos.state.nj.us

**(i) Continuation Funding for Grant Funded Staff:** The State Records Committee recognizes that the viability and long-term sustainability of local government archives and records management programs, and the success of many PARIS-funded projects will require the focused, ongoing attention of professional records staff. For this reason, the policy of the State Records Committee shall be to continue limited ongoing funding for dedicated archives and records management staff as a priority of the PARIS grant program according to the following table, but subject to the disclaimers and criteria listed below:

Funding Year	% Funded
Year 1	100 %
Year 2	100 %
Year 3	75 %
Year 4	50 %
Year 5	25 %

Year 6 and beyond	0 %
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1. A local government's second and subsequent grant application for funding for archives and records management staff must demonstrate that the staff achieved success in developing or improving the county's records program in the first and subsequent years.
2. All PARIS grant proposals requesting funding of staff positions in subsequent years are subject to competitive review in future grant cycles.
3. All PARIS grants are for one (1) year only, and nothing in this policy shall be construed to be a binding commitment to fund archives and records management staff beyond one year.
4. Future PARIS grants are subject to availability of sufficient funds in the New Jersey Public Records Preservation Account; policies stated herein are subject to additional review by the State Records Committee and the Committee reserves the right to take such action to alter the policy as it may determine in its discretion to be necessary or appropriate for carrying out the purposes of the PARIS Grants Program.

**(j) Applicable rules and guidelines:** The State Records Committee proposed amendments in the New Jersey Register published at 39 N.J.R. 4966 to the rules implementing the PARIS grants program published on December 20, 2004 at 36 N.J.R. 5688. In addition to promulgating rules, the State Records Committee will also publish a handbook that includes an application form, instructions and guidelines for the PARIS grants program for the current grant cycle. The copies

of the grant application form and guidelines will be available according to the schedule in section (h) herein by contacting the PARIS Grants Administrator.