

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 fiscal year September 1, 2010 to August 31, 2011. This notice supersedes the public notice published on November 17, 2008 in the New Jersey Register at 40 N.J.R. 6665(b) and all previous public notices concerning the availability of grants by the Public Archives and Records Infrastructure Support (PARIS) grant program.

(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 (fiscal year September 1, 2010 to August 31, 2011), there will be five categories of eligible local governments:

Category I: County Governments

Category II: Cities of the First Class

Category III: Large Municipal Governments

Category IV: Medium Municipalities and County Seats

Category V: All Other Municipalities

In order to address specific critical records management needs, the State Records Committee determined that all proposed projects would be evaluated in the context of their impact on the following:

- Improvement to records disaster prevention and recovery
- Shared Services
- Improved Access to public records (OPRA)

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 no later than their meeting on Thursday, January 21, 2010.

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 other appropriate records management staff.
4. Demonstrated compliance with public records management, retention and disposition standards and procedures, as defined by N.J.A.C. 15:3-1 through 6.
5. Existing imaging systems and products certified by the State Records Committee, per N.J.A.C. 15:3-4 and 5, including appropriate renewals. Applicants not certified by the time of the submission deadline will have their application rejected. Participants in applications hosted by other local governments not certified by the time of the submission deadline will have their portion of the application, including any funds leveraged, rejected.
6. An appointed PARIS Grants Project Manager who will have completed training for the fiscal year 2010-2011 PARIS grant application process.

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 no later than their meeting on Thursday, January 21, 2010.
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 and other appropriate records management staff.
4. Demonstrated progress toward compliance with public records management, retention and disposition standards and procedures, as defined by N.J.A.C. 15:3-1 through 6.
5. Existing imaging systems and products certified by the State Records Committee, per N.J.A.C. 15:3-4 and 5, including appropriate renewals. Applicants not certified by the time of the submission deadline will have their application rejected. Participants in applications hosted by other local governments not certified by the time of the submission deadline will have their portion of the application, including any funds leveraged, rejected.
6. An appointed PARIS Grants Project Manager who will have completed training for the fiscal year 2010-2011 PARIS grant application process.

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 no later than their meeting on Thursday, January 21, 2010.

2. An established, functioning records management committee, including representatives from key municipal departments including Information Technology, Administration, and Purchasing.
3. Demonstrated progress toward compliance with public records management, retention and disposition standards and procedures, as defined by N.J.A.C. 15:3-1 through 6.
4. Existing imaging systems and products certified by the State Records Committee, per N.J.A.C. 15:3-4 and 5, including appropriate renewals. Applicants not certified by the time of the submission deadline will have their application rejected. Participants in applications hosted by other local governments not certified by the time of the submission deadline will have their portion of the application, including any funds leveraged, rejected.
5. An appointed PARIS Grants Project Manager who will have completed training for the fiscal year 2010-2011 PARIS grant application process.

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, archives and records management facilities that have:

1. A Records Management Strategic Plan approved by the State Records Committee no later than their meeting on Thursday, January 21, 2010.
2. An established, functioning records management committee, including representatives from key municipal departments including Information Technology, Administration, and Purchasing.
3. Demonstrated progress toward compliance with public records management, retention and disposition standards and procedures, as defined by N.J.A.C. 15:3-1 through 6.
4. Existing imaging systems and products certified by the State Records Committee, per N.J.A.C. 15:3-4 and 5, including appropriate renewals. Applicants not certified by the time of the submission deadline will have their application rejected. Participants in applications hosted by other local governments not certified by the time of the submission deadline will have their portion of the application, including any funds leveraged, rejected.
5. An appointed PARIS Grants Project Manager who will have completed training for the fiscal year 2010-2011 PARIS grant application process.

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 no later than their meeting on Thursday, January 21, 2010.
2. An established, functioning records management committee, including representatives from key municipal departments including Information Technology, Administration, and Purchasing.

3. Demonstrated progress toward compliance with public records management, retention and disposition standards and procedures, as defined by N.J.A.C. 15:3-1 through 6.
4. Existing imaging systems and products certified by the State Records Committee, per N.J.A.C. 15:3-4 and 5, including appropriate renewals. Applicants not certified by the time of the submission deadline will have their application rejected. Participants in applications hosted by other local governments not certified by the time of the submission deadline will have their portion of the application, including any funds leveraged, rejected.
5. An appointed PARIS Grants Project Manager who will have completed training for the fiscal year 2010-2011 PARIS grant application process.

(d) Funding: For fiscal year September 1, 2010 to August 31, 2011, 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 be exceeded 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: Large Municipal Governments

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: Medium Municipalities and Small County Seats

Eligible Municipalities with populations greater than 45,000 and less than 75,000 and county seats not covered under previous categories are eligible to apply for one (1) grant project, which together may not exceed \$150,000. 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. 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: All Other Municipalities

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:

All eligible county and municipal governments may apply for the following grant projects outside the funding cap for their respective categories or any other set parameters:

Training -- In line with the funding priorities for fiscal year 2010-2011, applicants may request funding for an online archives and records management training project that could also be used state-wide to benefit all 21 county and 566 municipal governments in New Jersey. This project may be requested as a separate, additional project outside the funding cap or any other set parameters. A special competitive review will be used for all projects submitted under this category, with the SRC awarding funding to the one project recommended by the review panel as a first priority. There is no set limit for the amount that may be requested within this category. Criteria for this category will be provided in the handbook for PARIS Grant Program fiscal year 2010-2011.

Archives and Records Management Facilities -- In line with the funding priorities for fiscal year 2010-2011 set by the Public Archives and Records Facility Advisory Committee (PARFAC) which reports to the State Record Committee (SRC), funding may be requested for projects relating to the construction or expansion of archives and records management facilities. This request may be outside the funding caps described above and any other set parameters. The SRC will set-aside \$1,000,000 in available funding for this category. Applicants considering PARFAC funding 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 their category cap. 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 fiscal year September 1, 2010 to August 31, 2011 on the basis of the following priorities (in no particular order):

1. County/Municipal Shared Services Needs Assessment and Strategic Plan. – Priority will be given to funding county-led projects to perform or complete needs assessments, records inventories and strategic plans for all of the interested municipal governments within a county.
2. Municipal Needs Assessment and Strategic Plan. – Priority will be given to funding municipal projects to perform or complete needs assessments, records inventories and strategic plans for municipal governments not previously included in a County/Municipal Shared Services Needs Assessment and Strategic Plan grant project.
3. Audit of Records Management Programs, Needs Assessments and Strategic Plans -- Priority will be given to funding audits of county and municipality archives and records management programs, needs assessments and strategic plans five or more years old; and, based upon the results of such audits, the update and revision of existing needs assessments and strategic plans. Criteria for this type of grant project will be provided in the handbook for the 2010-2011 PARIS Grant Program handbook.
4. 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.
5. Municipal Inventory Continuation and Records Reorganization: – Priority will be given to detailed inventories, reboxing and purging of obsolete records for municipal governments not previously included in a County/Municipal Shared Services Needs Assessment and Strategic Plan grant project.
6. 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). Total (100 percent) PARIS Grant funding for Records Manager

and/or Archivist or other appropriate staff may be applied for in lieu of other projects within the funding caps described above or other set parameters.

7. 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, subchapters 1 and 2, Retention and Disposition of Public Records.
8. Inventory Management Systems – Priority will be given for funding systems for electronic management of government records inventory, especially ones that can be interfaced with the Records Retention and Disposition Management System (RRDMS), or *Artemis*, maintained by DARM.
9. 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.
10. 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.
11. 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.
12. 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.
13. 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.
14. Records Conservation/Treatment/Access Activities – Priority will be given to projects which treat, conserve 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.
15. Web Site Development – Priority will be given to funding the development and hosting of web sites and/or portals by counties and municipalities to provide online access to records, forms, and information on their archives and records management program, including staffing and contact information.

Extra credit will be given to project proposals that include shared services by a county with municipalities within their county or shared services between counties or municipalities.

(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 PARIS grant applications, guidelines and training opportunities for fiscal year September 1, 2010 to August 31, 2011 – no later than Tuesday, December 1, 2009.
- SAGE system goes live for 2010 cycle – Monday, December 7, 2009
- Training Session ONE,; location TBD – Monday, December 7, 2009
- Training Session TWO, location TBD – Friday, December 11, 2009
- Training Session THREE, location TBD – Monday, December 14, 2009
- Deadline for submission of records management needs assessment, inventory and strategic plan to the State Records Committee – Friday, January 8, 2010, 12:00 noon
- Deadline for submission of Intent to Apply in SAGE system – Friday, January 15, 2010, 12:00 noon
- Last State Records Committee meeting for approval of records management needs assessment, inventory and strategic plan to allow participation of local government in PARIS Grant Program – Thursday, January 21, 2010
- Deadline for grant applications to be entered into SAGE system –Monday, March 15, 2010, 5:00 pm

- Professional reviewer training - Wednesday, March 17, 2010
- Professional reviewers gain access to SAGE for at-home portion of review process – Friday, March 19, 2010
- All reviewer scores due to PARIS office; at-home review is closed – Friday, May 21, 2010
- Final review deliberation session, Trenton, New Jersey – Friday, May 28, 2010
- Announcement of award of grants at State Records Committee meeting – Thursday, June 17, 2010
- Date for start of PARIS grant projects for fiscal year 2010-2011-- no sooner than Wednesday, September 1, 2010 and after contracts have been executed
- Deadline for completion of PARIS grant projects – Wednesday, August 31, 2011
- Deadline for receipt of completed final reports on grant projects – Friday, February 24, 2012, 12:00 noon

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 %
-------------------	-----

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 applicant'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. Unless stipulated otherwise, 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. Since eligibility for funding for county governments and large municipalities (populations over 75,000) for the 2010-2011 grant cycle will continue to be contingent upon having a dedicated records management professional on staff--or requesting funding for a Records Manager--a county or municipality may choose to apply for total (100 percent) PARIS Grant funding for Records Manager and/or Archivist or other appropriate staff in lieu of applying for any other grant projects within the funding caps described above or other set parameters.
5. 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 adopted rules implementing the PARIS grants program published in the New Jersey Register (R.2004, d.363) on December 20, 2004 at 36 N.J.R. 5688(a) and, subsequently, various amendments thereto, including those published in the New Jersey Register (R. 2007, d.477) on November 19, 2007 at 39 N.J.R. 4938(a). In addition to promulgating rules, the State Records Committee will also publish a handbook that includes grant application instructions and guidelines for the PARIS grants program for the current grant cycle. PARIS grant application guidelines and training opportunities for fiscal year September 1, 2010 to August 31, 2011 will be available according to the schedule in section (h) herein by contacting the PARIS Grants Administrator.

Signed:

Nina Mitchell Wells, Esq., Secretary of State

August 28, 2009