



*Grant Guidelines and Application Form  
2005-2006*

**State of New Jersey  
Department of State  
Division of Archives and Records Management**

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**RECORDS DISASTER, RECOVERY AND TRIAGE  
(RECORDS DIRECT)  
GRANTS PROGRAM**

**State of New Jersey  
Department of State  
Division of Archives and Records Management**

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# Grant Guidelines and Application Form 2005-2006

## Table of Contents

This manual was designed by the Division of Archives and Records Management (DARM) in the Department of State to provide assistance to county and municipal officials who wish to apply for Records Disaster, Recovery and Triage (Records DIRECT) grants as part of the local government records management program established by the New Jersey State Legislature in P.L. 2003, c. 117, Sections 38.

This handbook contains the guidelines for the Records DIRECT grant program promulgated by the State Records Committee in N.J.A.C. 15:3-8, the current priorities for the award of grants for the current grant cycle published in Public Notices in the *New Jersey Register* at 36 N.J.R 5691, the necessary grant application forms, instructions for completing the forms, and other information related to the grant program and application process.

In conjunction with this handbook, for dates, times and locations for training or more information about Records DIRECT grants contact the Records DIRECT Grants Administrator, Division of Archives and Records Management, 2300 Stuyvesant Ave., Trenton, NJ 08618. You may contact the Grants Administrator by telephone at 609-530-3215, by fax to 609-530-6121, or send an e-mail message to [recordsdirect.grants@sos.state.nj.us](mailto:recordsdirect.grants@sos.state.nj.us). More information on the Records DIRECT grant program may also be obtained by checking the DARM website at [www.njarchives.org](http://www.njarchives.org).

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# **Part 1**

## **Grant Application Information**

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# **RECORDS DISASTER, RECOVERY AND-TRIAGE ("Records DIRECT") GRANTS**

## **INTRODUCTION**

The State Legislature established a local government records grant program in P.L. 2003, c. 117, Sections 38 and 39, funded by the New Jersey Public Records Preservation Account, a dedicated fund to support the management, preservation and storage of the records of the county and municipal governments of the state.

The New Jersey Public Records Preservation Account is funded by fees collected by county clerks and registers for filing selected documents, including deeds and mortgages. A portion of these funds are reserved for emergency response and recovery of local government records that may be awarded to county and municipal governments in the event of a natural or man-made disaster.

The State Records Committee has adopted new rules published in the *New Jersey Register* on December 20, 2004 at 36 N.J.R. 5691 to implement the Records Disaster, Recovery and Triage (Records DIRECT) grant program. The rules for the Records DIRECT grant program are promulgated as N.J.A.C. 15:3-8, *Records Disaster, Recovery and Triage (Records DIRECT) Grants*.

The Division of Archives and Records Management (DARM) is responsible for administering the Records Disaster, Recovery and Triage (Records DIRECT) grant program. The purpose of the Records DIRECT grants is to provide immediate assistance to county and municipal governments in the event of damage to their records caused by a sudden, unexpected event involving fire, water, man-made or natural phenomena where immediate response is necessary to prevent the irretrievable loss of vital, permanent or archival records.

## WHO CAN APPLY

### Eligibility Requirements

Every county and municipal government in New Jersey is eligible to apply for a Records DIRECT grant if:

1. The county or municipal government meets the established definition of the term “applicant”;

Per N.J.A.C. 15:3-7, “Applicant” means any county or city, town, village or other general purpose government agency, created under New Jersey state law, that is not a state department, division, board, bureau, commission or other state agency.

2. The county or municipal government has appointed a signatory, who shall also serve as project manager, for the Records DIRECT grants. The designated signatory shall serve as project manager responsible for implementation and reporting for a grant.

The signatory on the grant application, appointed by the governing body, shall be a full-time management level officer with authority and subject matter knowledge to oversee the fulfillment of the grant terms. Pursuant to the provisions of N.J.S.A. 40:9-133(e)(6), the Municipal Clerk shall serve as signatory for any application and the project manager for any Records DIRECT grant for a municipality.

Per N.J.A.C. 15:3-7.2 and 15:3-7.7(b)4.ix(1), the signatory for any application for a Records DIRECT grant for a county, who shall also serve as the project manager, must be appointed by a resolution by the governing body of the county or, for those counties with a county executive, an executive order. A sample of such a resolution can be found in the Appendices of this manual.

Pursuant to N.J.S.A. 40:41A-32.b, in counties operating under the county executive plan “the term ‘governing body’

of the county shall be construed to include both the Board of Freeholders and the county executive.” As a result, in those counties operating under the county executive plan, the county executive may appoint a project manager by executive order. In all other counties the appointment must be made by a resolution passed by the Board of Freeholders.

3. Counties and municipalities are encouraged to appoint a Records DIRECT project manager in preparation of the eventuality of a disaster. The appointed project manager is encouraged to personally attend in its entirety at least one mandatory training session on Records DIRECT grants presented by the Division of Archives and Records Management;
4. The applicant is in good standing under the Records DIRECT grant program;

## **HOW TO APPLY FOR A GRANT**

Once you experience a disaster that damages, or threatens to damage, any of the records of your local government, you should contact the Records DIRECT Grant Administrator immediately. A representative of the Division of Archives and Records Management will make an on-site visit to assess the damage and prepare an on-site report which constitutes a significant portion of the grant application to the State Records Committee.

The Director of the Division of Archives and Records Management is authorized to award up to \$25,000 to directly to a county or municipality for emergency disaster response and recovery of records. Grant applications must be submitted for any additional funding. Applications must be submitted within 23 working days of the emergency.

Acceptance of other state or federal disaster recovery funds can affect your eligibility for Federal Emergency Management Agency (FEMA) funds. In the event of a major regional disaster, it is imperative that the applicant contact FEMA first before applying for a Records DIRECT grant. Contact FEMA through the Office of Emergency Management, Division of State Police, Box 7068, West Trenton, NJ 08628 or telephone 609-882-2000.

In addition to Records DIRECT grants, funding is available under the Public Records and Archives Infrastructure Support (PARIS) grant program for disaster prevention, disaster recovery and business continuity planning designed to prevent disasters that might damage records and prepare county and municipal governments for such disaster, should they occur. Contact the Grants Administrator at DARM for more information about the RECORDS DIRECT grants program.

## **TIMETABLE FOR THE APPLICATION PROCESS**

- Records DIRECT grants will be available to any county or municipality after January 1, 2005.
- Counties and municipalities are encouraged to appoint a Records DIRECT project manager in preparation of the eventuality of a disaster.
- Contact DARM immediately in the event of a disaster.
- DARM staff will make a site visit to determine disaster response measures.
- The Director of the Division of Archives and Records Management is authorized to award up to \$25,000 directly to a county or municipality for emergency disaster response and recovery of records.
- Grant applications for additional funding must be submitted within 23 working days of the emergency.
- The State Records Committee shall review applications and notify applicants of award of grant by the State Records Committee within five working days of receipt of grant application.

Grant applications and reports shall be submitted to the Grants Administrator, Division of Archives and Records Management, 2300 Stuyvesant Avenue, Trenton, N.J. 08618.

## **MINIMUM AND MAXIMUM GRANT AWARDS**

The State Records Committee will award minimum grants of \$500 and maximum grants of \$100,000. The Director of the Division of Archives and Records Management (DARM) is authorized to award immediate grants and

supplies of up to \$25,000 without approval of the State Records Committee. The Committee reserves the right to award more or less funding than sought by an applicant. All decisions of the State Records Committee are final.

## **EXPENSES ELIGIBLE FOR FUNDING**

The Records Disaster Recovery Triage (Records DIRECT) grants program has been established to provide funding for emergency grants and supplies to county and municipal governments where immediate response is necessary to prevent the irretrievable loss of vital, permanent or archival records damaged by man-made or natural phenomena. Counties and municipalities are eligible to apply for grants in the following categories:

- Hiring of personnel in response to the emergency such as conservation/preservation consultants, clerical workers and laborers.
- Purchasing of services in response to the emergency such as such as freeze- drying, freezer storage, microfilming, transportation and rental of records storage space and equipment.
- Purchasing of supplies in response to the emergency such as acid-free boxes, folders and cleaning materials.
- Payments for rent or lease of temporary storage &/or processing space or fees for temporary storage in a commercial records center for damaged or threatened records due to an emergency.

## **SCHEDULE OF PAYMENTS**

- The Director of the Division of Archives and Records Management is authorized to award up to \$25,000 immediately to a county or municipality for emergency disaster response and recovery of records.
- Up to 50 percent of the amount awarded for grants over \$25,000 will be available after completion of the grant award paperwork, including an authorizing resolution of the governing body or an executive order from a county executive.

- Another 40 percent of your grant will be released two to four weeks after the Records DIRECT Administrator has received all the completed paperwork from the project manager.
- At the conclusion of the project, the project manager is responsible for preparing a final report.
- Payment of the final 10 percent of the grant is contingent upon receipt of a final report and all paperwork in a timely manner, as outlined in the grant award. All applicants must also account for any associated insurance or other funds received in compensation from liable parties.

## **PARTS OF THE APPLICATION**

The completed application must be submitted to the Records DIRECT Administrator within 23 working days of the disaster. A completed application consists of:

1. A cover letter in which you explain the scope and objectives of your request for funding and describe and justify all expenses listed in your proposed budget.
2. An authorizing resolution of the governing body
3. A site report completed by a DARM representative
4. Proposed budget
5. Resumes of consultants, if any
6. Vendor quotes
7. An original of the completed application form (found in Part 2 of this manual) and four paper copies of the whole application or one electronic version on a compact disk.

The focus of the grant should be on the retrieval of information contained in the records. Activities and purchases that merely improve the cosmetic look of the records are not eligible for funding.

## **Part 2**

# **Grant Application and Forms**

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# Records Disaster, Recovery and Triage (Records DIRECT) Grants

## APPLICATION

2005-2006

### I. Applicant Information:

Local Government (Name)	Department/Unit (REQUIRED)	County
Chief Administrative Officer/Project Manager (Last Name, First Name, Mr./Ms.)		
Title	Telephone Number/Extension	Fax Number E-mail Address
Address (Street, City, Zip Code)		

### II. Basis for Grant Application:

Nature of disaster:

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Date of disaster:      Location of disaster:

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Date Records DIRECT Administrator contacted:

---

Name and title of person who contacted Records DIRECT Administrator:

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Date of DARM on-site inspection:

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Date Records DIRECT application submitted:

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### III. Funding Sought (check all that apply):

Hiring of personnel in response to the emergency such as conservation /preservation consultants, clerical workers and laborers.

Purchasing of services in response to the emergency such as freeze-drying, freezer storage, microfilming, transportation and rental.

\_\_\_\_Purchasing of supplies in response to the emergency such as acid-free boxes, folders and cleaning materials.

**IV. Budget**

ALL EXPENDITURES MUST BE FULLY DESCRIBED AND JUSTIFIED AS TO NEED, COST AND WHY ONE METHOD WAS CHOSEN OVER ANOTHER. PLEASE USE ATTACHED BUDGET FORMS TO JUSTIFY ALL EXPENDITURES. REMEMBER TO ACCOUNT FOR ANY INSURANCE OR OTHER REIMBURSEMENTS.

Amount Requested: \$\_\_\_\_\_.

Assemble the following materials in the order shown below:

1. Cover letter with narrative explaining scope, objectives and proposed budget
2. Completed application form and four copies or electronic version on a CD
3. Authorizing resolution
4. On-site report by DARM representative
5. Resumes of consultants, if any
6. Vendor quotes
7. Proposed budget

\_\_\_\_\_  
Signature and title

\_\_\_\_\_  
Printed name and title

\_\_\_\_\_  
Date

Send completed application and materials listed above to:  
Records DIRECT ADMINISTRATOR  
Division of Archives and Records Management  
P.O. Box 307  
Trenton, N.J. 08625-0307

\*\*\*\*\*

**FOR DARM USE ONLY:**

Date application received \_\_\_\_\_  
 Date reviewed by State Records Committee \_\_\_\_\_  
 Date applicant notified of Committee action \_\_\_\_\_  
 How applicant was notified and by whom \_\_\_\_\_  
 Date formal notification sent \_\_\_\_\_  
 Date of first payment \_\_\_\_\_ Voucher # \_\_\_\_\_

**Records Disaster, Recovery and Triage (Records DIRECT) Grants**

**PROPOSED BUDGET**

Funding Source: Records DIRECT Grants

Report Prepared By: \_\_\_\_\_  
Name Title

Agency Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_  
Street  
\_\_\_\_\_  
City State Zip Code

Telephone #: \_\_\_\_\_ County: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Project Operation Dates: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
Start End

Enter whole dollar amounts only.

**SALARIES FOR STAFF:**

Include only staff that are employees of the agency. Do not include consultants or per diem staff. Do not include central administrative staff that are considered to be indirect costs, e.g., business office staff. One full-time equivalent (FTE) equals one person working an entire week of the project. Express partial FTE's in decimals, e.g., a teacher working one day per week equals .2 FTE.

<b>Specific Position Title</b>	<b>Full-Time Equivalent</b>	<b>Annualized Rate of Pay</b>	<b>Salary</b>

Subtotal \_\_\_\_\_

**PURCHASED SERVICES**

Include consultants (indicate per diem rates), rentals, tuition, and other contractual services. Copies of contracts may be requested.

Description of Item	Provider of Services	Calculation of Cost	Expenditure

Subtotal \_\_\_\_\_

**SUPPLIES AND MATERIALS**

Include computer software, library books and equipment items under \$1,000 per unit.

Description of Item	Quantity	Unit Cost	Expenditure

Subtotal \_\_\_\_\_



[Empty rectangular box for data entry]

Subtotal \_\_\_\_\_

[Empty rectangular box for data entry]

Subtotal \_\_\_\_\_

## EQUIPMENT

All equipment to be purchased in support of this project with a unit cost of \$1,000 or more should be itemized in this category. Equipment items under \$1,000 should be budgeted under Supplies and Materials. Repairs of equipment should be budgeted under Purchased Services.

Description of Item	Quantity	Unit Cost	Proposed Expenditure

Subtotal \_\_\_\_\_

**Records Disaster, Recovery and Triage (Records DIRECT) Grants**

**BUDGET SUMMARY**

Agency Code: _____
Project #: _____
Agency Name: _____

<b>SUBTOTAL</b>	<b>PROJECT COSTS</b>
Professional Salaries: _____	
Support Staff Salaries: _____	
Purchased Services: _____	
Supplies and Materials: _____	
Travel Expenses: _____	
Employee Benefits: _____	
Equipment: _____	

Grand Total \_\_\_\_\_

**CHIEF ADMINISTRATOR'S/PROJECT MANAGER'S  
CERTIFICATION**

*I hereby certify that the requested budget amounts are necessary for the implementation of this project and this agency is in compliance with applicable Federal and State laws and regulations.*

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Name and Title of Chief Administrative Officer/Project Manager**



## **Part 3**

### **Appendices**

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## Authorizing Resolution

A sample resolution is found below. A grant applicant must adopt an authorizing resolution to be included with its application. The resolution must be passed by a majority of the governing body and identify the grant project. The resolution must be originally signed and sealed by the municipal or county clerk and returned with the application. A grant recipient must likewise adopt an authorizing resolution as part of its acceptance of the grant award.

### APPLICANT'S SAMPLE RESOLUTION APPROVING APPLICATION FOR A GRANT

WHEREAS, the Governing Body of (Name of Applicant) has agreed to apply for a Records DIRECT Grant in the amount of \$ \_\_\_\_\_; and,

WHEREAS, the Governing Body of (Name of Applicant) is acknowledging and accepting the responsibility of acting as applicant for this grant; and

WHEREAS, the State of New Jersey has made Records DIRECT grants available to assist county and municipal governments in their records management, preservation and storage efforts; and

WHEREAS, the purpose of this grant is to \_\_\_\_\_;  
;

NOW, THEREFORE, BE IT RESOLVED by the Governing Body of the (Name of Applicant) that the (Name of Applicant) does hereby apply for a Records DIRECT Grant for the purpose cited above.

## CERTIFICATION

I, \_\_\_\_\_, (Clerk/Secretary of the Local Unit)  
of the (Name of Local Unit) in the County of \_\_\_\_\_, and the  
State of New Jersey do hereby Certify that the foregoing Resolution is a true  
copy of the Original Resolution duly passed and adopted by a majority of the  
full membership of the (Name of Governing Body) at its meeting of \_\_\_\_\_  
\_\_\_\_\_.

# Records Disaster, Recovery and Triage (Records DIRECT) Grants

## ON-SITE VISIT REPORT

Name of DARM representative \_\_\_\_\_

Date of on-site visit \_\_\_\_\_

Date of report \_\_\_\_\_

Name of local government \_\_\_\_\_

Name and title of person who contacted Records DIRECT Administrator  
\_\_\_\_\_

Date of contact \_\_\_\_\_

Exact nature of the emergency including:

- its cause
- exact location and time of occurrence
- extent of damage
- where the records are now being maintained

Name of the record series

Record format

Amount of records in cubic feet by series

Amount of permanent records

Amount of non-permanent records

Amount of obsolete records destroyed

Has the local government conducted an inventory?

Are any of the records disposable?

Have any of the records been imaged &/or microfilmed:

If imaged &/or microfilmed, where is the security copy?

Do the damaged records pose a health hazard to staff or users?

What if any supplies or funds should /did DARM immediately make available?

Recommendations for funding:

What applicable insurance or third party liability exists?

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Has local government pursued insurance and third party liability? Explain in full.

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## Table of Cubic-Foot Equivalents

STORAGE UNIT		CUBIC FOOT CAPACITY
<b>Cabinet File Drawer</b>	Letter	1.5
	Letter Lateral	2.0
	Legal	2.0
	Legal Lateral	2.5
	Map or Plan: 2' x 26' x 38''	1.1
	Map or Plan: 2' x 38' x 50''	2.2
	Map or Plan: 4' x 26' x 38''	2.3
	Map or Plan: 4' x 38' x 50''	4.4
<b>Tubes</b>	Map or Plan: 2' x 2' x 38''	0.1
	Map or Plan: 2' x 2' x 50''	0.1
	Map or Plan: 4' x 4' x 38''	0.3
	Map or Plan: 4' x 4' x 50''	0.5
<b>Shelf units</b>	Letter (36'' long)	2.4
	Legal (36'' long)	3.0
<b>Records Center Containers</b>	10' x 12' x 15'' (standard)	1.0
	0.5' x 8' x 14'' (tab)	0.2
	3.5' x 8' x 24'' (check)	0.4
	4' x 4' x 48'' (map)	0.4
	6' x 6' x 36'' (map)	0.7
	6' x 6' x 48'' (map)	1.0
<p><b>OTHER SITUATIONS</b></p> <p>STEP 1: LENGTH X WIDTH X HEIGHT (IN INCHES)            STEP 2: DIVIDE INCHES BY 1,728 = CUBIC FEET</p>		

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