FY 2024

Missouri
Local Records Grant
Program

Guidebook

Project Year July 1, 2023 to June 30, 2024

Missouri
Secretary of State's Office

Contents

Contact and Resource Information

Contact information:
Local Records Program – Grant Administrator
       Local Records Grant Program
       600 W. Main
       PO Box 1747
       Jefferson City, MO 65102-1747
       Phone: 573.751.9047 (Local Records Main Line)
              Email: local.records@sos.mo.gov

Resources:
Local Records Program – Grant Program
www.sos.mo.gov/archives/localrecs/grants/

Local Records Program – Retention Schedules
www.sos.mo.gov/archives/localrecs/schedules/

Guidelines for Microfilming Public Records
 www.sos.mo.gov/archives/pubs/mfmg/

Preservation Concerns in Planning a Records Center
www.sos.mo.gov/archives/localrecs/conservation/concerns.asp

Local Records Vendor List
http://s1.sos.mo.gov/CMSImages/LocalRecords/Vendors_Information.pdf

Missouri Cooperative Procurement Program
https://oa.mo.gov/purchasing/cooperative-procurement-services
       Phone: 573.751.4169
       Fax: 573-526-9815
       Mail: PO Box 809
              301 W. High St.
              Jefferson City, MO 65102

Vendor Input/ACH-EFT Application
https://oa.mo.gov/sites/default/files/vendor_input_ach_eftd.pdf

FY 2024 Grant Program Timeline

November 15, 2022-January 15, 2023: Draft application review available from Local Records Office Staff [Field Archivists may review applications after this date, if scheduling allows]

March 1: Application deadline; postmark or delivery date. This must be sent directly to the Local Records Contact listed on page 3, above

May/June 2023: Missouri Historical Records Advisory Board meets to review grant applications

3 to 6 weeks after grant review session: Secretary of State distributes packets containing:
- Award letters and grant agreement forms
- Non-Award letters to un-awarded applicants

July 1, 2023: FY24 Grant Period begins [DO NOT start grant work until you receive notice to proceed]

January 15, 2024: Interim Report due [or Final Report in lieu of Interim Report]

May 31: Final Report due

June 30: closing date for the FY24 grant cycle
- Final Reports processed in order received
- Final grant payments disbursed

FY25 cycle begins with grant draft reviews in November 2023

Grant Administration

General Information
The Grant Program's *Administrative Rule* (Title 15, Division 30, Chapter 45, Section 030 et seq.) provides the operational basis for the Local Records Grant Program.

Statutory Obligations
Application for and acceptance of grant project funds administered by the Office of the Secretary of State, Local Records Program, obligates the grant recipient to comply with:
- ♦ RSMo 109 (Public and Business Records)
- ♦ RSMo 610 (Open Meeting and Records)
- ♦ RSMo 34 and 50 (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

Application Preparation Tips

Getting Oriented
READ this *Guidebook and Application* to become familiar with the program.
- ♦ Determine if your agency, institution or organization and your proposed project is eligible.
- ♦ Understand what the responsibilities of all individuals involved in the project will be if awarded a grant.
- ♦ **Consult with your local field archivist about project options during the planning stages and before drafting your application**.
- ♦ Know what information must be included in your application: refer to the application instructions to complete the application form.
- ♦ Objectively evaluate your available resources. Develop a realistic estimate of the funds, staffing and time needed to undertake and complete the project within the grant cycle timeframe. In particular, if you propose to undertake an imaging project for the first time, choose a relatively small record series, or portion of a series, to improve your likelihood of success.

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

Getting Started
The Guidebook and Application are revised for each grant cycle; you must use the correct fiscal year version.
- ♦ Determine realistic costs; do not underestimate the level of staffing and time commitment required. Gather bids and/or conduct trial runs of project components to get these estimates. However, costs change and projects often take longer than you anticipate. Many grantees find that the project requires more time than had been estimated.

Project Specific Support Materials

Additional support material should be arranged in the following order when appropriate:

Records to be Imaged Form

Imaging project applications must include <u>one</u> *Records to be Imaged Form* <u>for each record series</u> to be imaged. If awarded, this form establishes the contracted basis of your project. Any deviation from this record information as awarded will require formal amendment to the contract by the awarded agency to support grant payments for microfilming services.

Reader/Printer or Scanner Form Instructions

Information on the *Reader/Printer or Scanner Request Form* can assist you in selecting appropriate equipment.

Provide support documentation for reimbursement by attaching copies of brochures, vendor catalog pages, specification sheets, vendor estimates, consultant information, or other materials that will identify the supplies, services, equipment, etc. If more than one item is printed on the page, please indicate the desired commodity.

Floor Plans

Floor plans are required for shelving or renovation projects. These plans do not have to be to scale, but should show the storage area dimensions. <u>Show the placement of shelving, equipment, furnishings and any significant architectural features</u>.

Other

<u>Relevant</u> supplemental information/materials may be added to support your proposal. These may include sample forms, letters of support, photographs, and/or descriptions of items or services that are part of the project and have not been noted or illustrated elsewhere in the application.

Electronic Fund Transfer

Complete the *Electronic Fund Transfer Form* to establish the bank direct deposit option, to change an existing account or create an <u>EFT account with the State</u>.

Program Description and Guidelines

FY24 grant cycle
- Grant awards are capped at $15,000
    - o Note: grant awards are maximum awards for the given project. Grant awards cannot be increased if the project cost was underestimated.
- No local match is required

Introduction

The Missouri Local Records Grant Program, since 1991, has provided over $7,415,000 to support local public records management and preservation efforts. Grants are funded through fees collected by Missouri County Recorders for the management and preservation of local government records. In this competitive grant program, the number of grant applications submitted and the level of grant funding requested routinely exceeds the total amount available.

The Secretary of State awards grants in consideration of the advice and recommendation of the Missouri Historical Records Advisory Board (MHRAB). Official award status occurs with the notification of award and the execution of a grant agreement form. The grant program operates within the state fiscal year, July 1 through June 30. All final project reports must be submitted and approved by May 31 and the projects must be closed no later than the end of the state fiscal year, June 30.

General information about the grant program and an electronic version of the grant application is available at the Secretary of State website:

www.sos.mo.gov/archives/localrecs/grants/

Staff Assistance

Retain this *Guidebook and Application* for your reference and use throughout the grant award. This publication will provide answers to many questions that may arise as you implement your project.

Field Archivists can assist in adjusting the scope and nature of projects to ensure proposed projects are eligible. Contact Local Records (573.751.9047 or local.records@sos.mo.gov) to request a consultation with the field archivist for your region. A field archivist is assigned to each project prior to its commencement and is available throughout the project for consultation with the grantee.

Eligible Applicants
Include, but are not limited to:

Local Government	
	County Offices (see below for Circuit Clerks)
	Municipalities
	School Districts
	Political subdivisions with taxing authority (Fire Districts; Library Districts; etc.)
	Circuit Clerks have limited eligibility. Permanent books are eligible for imaging grants, as are reader/printer/scanners, shelving, and planning grants
Non-Profits	Historical Societies/Genealogical Societies or other non-profits that hold **public records** may benefit from grants. However the government office from which the records originated **must** be the applicant
Other	Records originating from an eligible entity as well as any locally significant materials or other records that have been donated to and owned by an eligible public entity may qualify for project funding
Emergency Grants	In the case of significant disaster, emergency grants for records preservation may be available—contact Local Records for more information.

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

Records Management Planning/Professional Consultant
Imaging, for permanent records older than 5 years.
Essential equipment related to records management, storage, access, or preservation. (Shelving, reader/printer/scanners, etc.)
Conservation of unique and/or historically significant original records

Eligible Budget Categories
Include, but are not limited to:

Supplies	General office/archival supplies for project
	No construction or renovation
Travel	Related directly to project (i.e., transporting records to vendor for imaging)
Commercial vendor services	Imaging
	Conservation
Shelving	Standard steel shelving
	Compact/mobile shelving
Essential Equipment	Storage cabinets
	Reader/printer/scanners
	Humidifiers/dehumidifiers, Environmental monitors, etc.
Other services/commodities	Expenditures that are pertinent and necessary to the project.

Ineligible Applicants
Include, but are not limited to:

Federal Agencies
State Agencies
Private Individuals

Ineligible Projects and Budget items
Include, but are not limited to:

Electronic preservation	Grant funds may be used for digitization, provided preservation microfilm is created. No grant funds for electronic records systems as these are core business functions [see ERI Grants].
Projects completed prior to grant award	
Expenses incurred prior to receiving notice to proceed	
Expenses incurred after end of grant period	An extension may be granted at the discretion of the administrators–however, grantee must notify Local Records at the earliest possible date that an extension may be needed
Equipment nonessential to the grant project	
Capital improvements to buildings	No new construction or additions
Building/property acquisition	
Payment to lobbyists	
Hospitality expenses	

Prizes/awards	
Benefit activities	Socials, fundraisers, etc.
Educational programs not available to the public	
Tuition reimbursement	
Activities having a religious purpose	
Inventories, finding aids, or guides not available to the public	
Purchase of manuscripts or records	

Grant Funding
Grant funds are capped at **$15,000** per project.

Matching Funds
No match is required for FY24 Local Records Grants.

Application Review and Award Process
Local Records staff will advise on all grant projects from their development through the completion of the application. Additionally, the Grant Administrator can review draft applications mid-November through mid-January, and offer suggestions to guide development of the application. **The Grant Administrator WILL NOT review drafts received after January 15. Any drafts received after that date are treated as the official application. Your local field archivist <u>may</u> be able to provide advice between January 15 and the March 1 due date– depending on scheduling availability. Submission to a field archivist does not constitute an application to the grant program.**

The grant application process is competitive. Although grant funds are limited, every effort is made to provide some level of funding to all qualified projects.

Projects that meet the criteria of the grant program, are well conceived, fully described and adequately supported, in a correctly completed application form arranged in the proper order, will receive the most favorable review.

The Missouri Historical Records Advisory Board (MHRAB) reviews applications in late spring and makes their award recommendations to the Secretary of State. <u>Projects may be awarded in full, partially funded, or denied funding</u>. The grant award is the final maximum award for a given project. A partially funded grant is not an indication that the grant is faulty; rather it reflects the reality of the limited funds. Grants receiving no funding are either ineligible or contain significant flaws (typically in the budget).

> *Note: Grant award decisions are final; however, denied applicants are encouraged to consult with Local Records staff to develop revised submissions for subsequent grant cycles.*

Award letters and agreement forms are mailed or emailed to the awarded applicants. You must sign and return the **Grant Agreement**. You will then receive a **Notice to Proceed**, signifying that grant work may begin. The date of the **Notice to Proceed** will be the start date for your grant award. It signifies that the **Grant Agreement** has been signed, returned to Local Records and countersigned by the Secretary of State or designee. Grantees may not use grant funds to pay expenses incurred prior to the official start of the grant period or incurred after the conclusion of the grant period.

Process to begin grants		
	1	MHRAB review meeting
	2	Local Records generates and distributes Grant Agreement
	3	Applicant signs agreement and returns it to Local Records–this shows you have accepted the grant award
	4	Secretary of State, or designee, and Local Records Director sign agreement
	5	Notice to Proceed–will be emailed–this is the start date of your grant. Do not begin work until you receive the notice to proceed.

Grant Payments
Grant payments to awarded projects are made on a reimbursement basis. Grantees must submit invoices for goods or services before grant funds will be disbursed.

Only budget items specified in the grant application are eligible for reimbursement.

Requirements

Application drafts and final submission
You may submit a draft application to Local Records for review/comment between November 15 and January 15. After January 15 your local field archivist <u>may</u> be available to review your application, if schedules permit.

Applications may be mailed or emailed to the contact address on page 3, above. Clearly indicate on the envelope/in the subject line of the email whether you are submitting a draft for review or final application.

Reimbursement
To receive reimbursement, the grantee must register as a vendor with the State of Missouri. **If your office/county/city receives payments from state government, you have a vendor ID number in the state accounting system--SAM II.** Do not substitute a Missouri Buys, or other ID number.

All reimbursements are made through Electronic Funds Transfers (EFTs). You must fill out and submit the State of Missouri **Vendor Input/ACH-EFT Application, if you do not already have an account with the state**. This must be faxed to 573.526.9823, or mailed to: Office of Administration–Accounting, PO Box 809, Jefferson City, MO 65102. A copy of the form must be attached to the grant application.

The first reimbursement to grantees can be made following receipt of the Notice to Proceed, with proper documentation indicating that no reimbursable expenses were incurred prior to the start of the grant period. Final reimbursement must be requested by May 31, 2024. All necessary supporting documentation is required prior to any payment. If project delays will prevent a grantee from requesting final reimbursement by the deadline, they must notify the grant administrator as soon as possible.

Project Bids and Expenditures
Services, equipment and other project costs exceeding $10,000 require bids (depending on local rules, you may have to bid lower amounts). You must have some basis for your grant request, so consulting with vendors is necessary for the completion of the application. If you do not seek formal bids during the application period, that process must be followed after the grant is awarded. All bid documentation collected before and after project approval must be retained. **Documentation of bid solicitation should be submitted prior to or along with the Final Report if documentation was not included with the grant application**.

Accounting and Auditing Requirements
Grantees must maintain financial records in accordance with agreed upon accounting practices and Grantees must comply with the audit requirements set forth in Missouri statutes for local government units. These records are subject to inspection by Secretary of State staff during regular business hours throughout the grant period and for the time period allowed by the General Retention Schedule, GS 040 Grant Records.

If any litigation, claim, or audit is begun before the end of three (3) years, the records must be retained until such proceeding is resolved. Should any adverse finding occur, a copy of the audit, finding, and a report on final resolution must be forwarded to Local Records.

Project Progress Reports
The Local Records Grant Program requires completion of both the narrative and financial components of the Interim and/or Final Report during the project period; each of these report components provides an outline of project progress:

♦ Only expenditures incurred within the inclusive dates of the awarded grant cycle and in the approved budget categories may be claimed.
♦ The application budget summary is based on approximated figures; however, the <u>actual expenditure amounts must be used to complete the Final Financial Status Reports.</u>
♦ The narrative is just a summary of work accomplished on the grant.

The *Interim Report* is due on or before **January 15, 2024.** A Final Report may be submitted in lieu of the Interim Report if the project is completed by the Interim Report date.

The *Final Report* and payment request is due on or before **May 31, 2024**. The final report should consist of the narrative report, photos of equipment (if receiving shelving, reader/printer/scanner, etc.) final financial report and all invoices, Early submission of the Final Report is highly encouraged to avoid delay in reimbursements.

Project Changes

The Grant Administrator MUST receive a written request and approve of any change to the project prior to implementation of the desired change. Changes to the grant budget submitted on a *Request to Revise Budget Form* include, but are not limited to:

- Any change to contact information: agency address, telephone or fax numbers, or project personnel email address as well as pertinent personnel changes such as authorized official, project contact person or other project staff carrying out specific project assignments.
- Changes to project such as altered inclusive dates as well as added or deleted record series from microfilming projects; modification of the awarded project's scope; added/deleted project components or activities.
- Budget revisions, which are permitted only with official approval from Local Records, provided:
  - the original total grant award amount is not exceeded.
  - a written request is submitted on a *Request to Revise Project Form*, and includes:
    - ✓ the reason/need for the revision.
    - ✓ the total dollar amount of funds to be reallocated.
- For imaging projects, changes must be documented on a new *Records to be Imaged Form* and be accompanied by an explanation for the change, in addition to a *Request to Revise Budget Form*. Requests to alter the scope of a project (i.e., to reduce the quantity of records imaged) may be rejected.
- NOTE: DO NOT combine grant project activities with other preservation/records management activities (i.e., imaging projects–having a grant to image a specific group of records and then deciding to pay for additional records on your own. This should be two projects and two contracts with vendors). Grant products must be readily identifiable and not intermixed with other, similar products (i.e., microfilm).

Project Extension
As a general rule: No extensions will be granted. In exceptional cases, an extension may be considered.

Withdrawal of Awarded Grant Funds
Grant recipients can voluntarily withdraw from the program at any time.

Default
Failure to conform to the *following criteria can put a grantee in default status*:
- Adherence to the project parameters as awarded or amended and agreed upon.
- Follow the programmatic, fiscal or reporting requirements of the grant program as described in this *Guidebook and Application*.

Default status will result in the grantee being deemed ineligible for future Local Records grants.

Imaging Projects

Eligible Records

Not all records are eligible for grant-funded imaging. Only permanent, long-term, or historically significant records are eligible for funding. The Missouri Secretary of State's Office develops and provides record retention schedules for most local government entities. These schedules include basic information on records management, a glossary of terms, and a schedule of retention periods for the standard records of specific offices. You must review **both** the **General Schedule and the appropriate agency retention manual(s)** to identify your records eligibility for imaging. Retention manuals are available electronically at the Secretary of State's web site: [www.sos.mo.gov/archives/localrec/schedules/.](www.sos.mo.gov/archives/localrec/schedules/)

Records must be <u>*over 5 years old*</u> *to be eligible for an imaging grant,* <u>*unless*</u> *they receive special approval by the MHRAB. Exceptions are provided for extenuating circumstances, such as mold problems or arrangement of records. Be sure to explain any such circumstances in the application.*

Imaging projects are awarded for specified, eligible record series. *Any changes, additions or deletions to the record series must be requested in writing and approved by the Local Records Grant Administrator prior to imaging.*

A *Request to Revise Project Form* **must be submitted** with an updated *Records to be Imaged* Form*,* completed in the application form for each added or changed series.

Imaging Project Requirements

♦ An imaging grant will cover production of:

○ Digital images on portable hard drives or other media, formatted according to instructions provided by Local Records. The grantee will receive digital images and Local Records will receive a copy of the images, from which 16mm or 35mm preservation microfilm will be generated.

<u>One page per Image</u> is the standard format. Multiple pages per image requires justification and advance approval from Local Records. For example, exceptions may be allowed when filming indexes in which the data runs across two pages in ledger format or aperture cards that include more than one embedded image per card.

♦ Applicant must contract with the imaging vender to submit images to Local Records in the following format:

For each roll of film to be produced–TIFF or JPEG (TIFF preferred), grayscale or bi-tonal (grayscale preferred). One image per frame, unless original crosses two pages (i.e., tax record book).

Shipment must include a copy of the invoice listing the Local Records Grant Number, County (City, if applicable), and record series. Also, provide a list of records included

on the hard drive. Digital images on the hard drive must be organized into folders for each roll of film to be produced.

Create folders containing required targets and images, folders should be named according to record series/volume/year that are included in the folder:

35mm microfilm
Orientation: Portrait 1,200 images per reel, includes targets
Orientation: Landscape 600 images per reel, includes targets
    (Landscape should only be used for projects with information across two pages)

16mm microfilm (Note: 16mm imaging requires prior approval from Local Records. Permission must be obtained in writing prior to the submission of the final grant application.)
Orientation: Portrait 6,000 images per reel, includes targets

Targets required in the following order for a reel that is not continued:
1. Reel Number Target
2. Title Target
3. Blank Pages Not Scanned Target (if applicable)
4. Poor Quality Statement Target (if applicable)
5. Additional Bibliographic Targets (if applicable)
6. Start
7. New File Begins
8. Title/Box target for each new volume/box
9. End of File/Volume

Targets required for a reel to be continued:
1. Reel Number Target
2. Title Target
3. Blank Pages Not Scanned Target (if applicable)
4. Poor Quality Statement Target (if applicable)
5. Additional Bibliographic Targets (if applicable)
6. Start
7. New File Begins
8. Title/Box target for each new volume/box
9. Continued on Next Roll Target

Targets required for a reel that has been continued:
1. Continued from Last Roll Target
Other targets: same targets as listed for "not continued" rolls

Aperture Card Conversion Projects
♦ <u>For aperture conversion projects</u>, the grant will cover standard imaging products as outlined above.