

2011-2012 Conservation/Preservation Discretionary Guidelines

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APPENDIX A

Legislative Authority	Education Law 273.7(d) in 1984, expanded in 1986 and revised in part O, Chapter 57 of the Laws of 2005.		
Purpose/Goal	To encourage the proper care and accessibility of research materials in the State, to promote the use and development of guidelines and standards for conservation/preservation work, and to support the growth of local and cooperative preservation programs. To provide modest financial support for projects that contribute to the preservation of significant research materials in libraries, archives, historical societies and other agencies within the State of New York, whether by conducting surveys, improving collection storage environments, reformatting or treating collections or other preservation activities described in these guidelines.		
Eligible Applicants	Agencies and libraries chartered by the Regents, not-for-profit libraries, archives, historical societies, and similar agencies within the State, and from consortia or cooperating groups of such agencies. See page 2 of the grant application guidelines for more details.		
Funding	<i>Source:</i> New York State Aid to Libraries <i>Estimated Funds Available:</i> \$500,000 <i>Estimated Size of Awards:</i> Minimum grant award is \$1,500; maximum grant award is \$40,000 <u>Awards will be made subject to appropriation and availability of funds.</u>		<i>Match Requirement:</i> No financial match is required.
Important Dates for Awarding Grants	<i>Applications must be received by:</i> May 20, 2011	<i>Applications will be due</i> 6 weeks after posting	<i>Project Period:</i> July 1, 2011 – June 30, 2012
Additional Information	<i>Questions about this RFP should be sent to the e-mail address identified below</i> <i>Questions and Answers will be posted at www.nysl.nysed.gov/libdev/cp</i> <i>Information sessions will be held on None this year.</i>		
SED Contact for Q & A	<i>Questions will be accepted at the email address until two weeks before closing date. Questions and answers will be posted with the RFP by one week before deadline.</i>		<i>E-mail:</i> blilley@mail.nysed.gov

GENERAL GUIDELINES

THE DISCRETIONARY GRANT PROGRAM

The New York State Discretionary Grant Program for the Conservation and Preservation of Library Research Materials was authorized under Education Law, Section 273.7(d) in 1984, expanded in 1986 and revised in Part O, Chapter 57, of the Laws of 2005. Its purpose is to encourage the proper care and accessibility of research materials in the State, to promote the use and development of guidelines and standards for conservation/preservation work, and to support the growth of local and cooperative preservation programs.

The Discretionary Grant Program provides modest financial support for projects that contribute to the preservation of significant research materials in libraries, archives, historical societies and other agencies within the State of New York, whether by conducting surveys, improving collection storage environments, reformatting or treating collections or other preservation activities described in these guidelines.

ELIGIBILITY

The Commissioner's Regulations state:

"Agencies and libraries [eligible for funding include those] chartered by the Regents or, in institutions chartered by the Regents . . . and other agencies collecting, organizing, maintaining and making available to the people of the State, library research materials . . ." 8NYCRR Section 90.16(a)(2).

The Conservation/Preservation Discretionary Grant Program will therefore accept applications from not-for-profit libraries, archives, historical societies, and similar agencies within the State, and from consortia or cooperating groups of such agencies.

Eligible agencies include those that have been:

- a) chartered by the Board of Regents of the State of New York; OR
- b) accepted by the Board of Regents for filing under the not-for-profit sections (section 216) of the Education Law; OR
- c) registered with the office of Charities of the New York State Department of State; OR
- d) granted not-for-profit status under section 501(c)(3) of the United States Internal Revenue code.

Applications from agencies not clearly eligible by one of these criteria will be examined by the Conservation/Preservation Program staff and, if necessary, the State Education Department Office of Counsel, to determine eligibility. Particular attention will be paid to the agency's organization, legal establishment, governance, sources of support, and services.

Agencies **not** eligible to receive discretionary grant funds are:

- 1) The eleven designated comprehensive research libraries (Columbia University Libraries, Cornell University Libraries, New York State Library, New York University Libraries, University of Rochester Libraries, Syracuse University Libraries, the Research Libraries of the New York Public Library, and the libraries of the State University of New York centers at Albany, Binghamton, Buffalo and Stony Brook).

- 2) Institutions wholly or in part under the control or direction of any religious denomination, in which any denominational tenet or doctrine is taught, are constitutionally ineligible to receive State financial assistance. To be considered under this program applicant institutions having any religious affiliation must demonstrate that they are not ineligible on these grounds by:
 - a) certifying that they are part of an institution previously approved, in accordance with Education Law, Section 6401, to receive Aid to Independent Colleges and Universities ("Bundy Aid"). If they are part of an institution which has been found *ineligible* for Bundy Aid or which has not applied, this should be noted in the application: OR
 - b) seeking a determination by the Commissioner of Education on constitutional eligibility. Such an application may be initiated by writing to Counsel and Deputy Commissioner for Legal Affairs, State Education Department, Albany, New York 12234. Because the necessary review process may in some cases require a substantial period of time, it is urged that applicant institutions initiate the process at the earliest possible time.
- 3) Federal libraries and collections which are part of Federal agencies located within the State.
- 4) New York State agencies and collections which are part of State agencies, including New York State Historic Sites. However, State University of New York (SUNY) colleges *are* eligible to receive discretionary grant funds.

Institutions may submit only one application per grant cycle. Emphasis in the program is given to stimulating preservation activity throughout the State by granting modest financial assistance to as many projects as possible.

COOPERATIVE ACTIVITIES

Cooperative conservation/preservation projects are encouraged. Two or more eligible agencies may apply for a grant involving related collections, shared resources or facilities by designating one member of the group to submit the application. Each participating agency must individually satisfy all eligibility requirements.

Participants can form a partnership or consortium to apply for the grant. In order to do so, the partnership or consortium must meet the following requirements:

1. The partnership or consortium must designate one of the participants to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.
2. In the event a grant is awarded to a partnership/consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the partnership/consortium, since the group is not a legal entity.
3. The applicant agency/fiscal agent must meet the following requirements:
 - a. Must be an eligible grant recipient as defined by statute;
 - b. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
 - c. Must require consortium partners to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide.
 - d. Must be an active member of the partnership/consortium, except where SUNY or CUNY Research Foundations are the fiscal agent.
 - e. Cannot act as a flow-through for grant funds to pass to other recipients. NYSED may establish a minimum level of direct service to be provided by the fiscal agent.

- f. Is PROHIBITED from sub granting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself.
- g. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each plan to participate.

Each participating agency must also agree to perform the services outlined for its institution in the application and indicate their agreement by submitting a signed copy of the **Cooperative Applications Agreement** (see application page 23).

AMOUNT OF AWARDS & DURATION OF PROJECTS

Grant awards in 2011/2012 will normally be limited to a minimum of \$1,500 and a maximum of \$40,000. Proposals may be funded at the full amount of the request or at a partial amount, depending on the recommendations of the reviewers and the availability of funds. Funds will be awarded in the 2011/2012 grant cycle for projects beginning **July 1, 2011**. Applicants are expected to contribute significant internal resources to the project (although dollar-for-dollar matching funds are not required), and proposals may be strengthened by evidence of support from other sources beyond that requested from the State. For survey projects, a minimum of 10 staff/volunteer hours must be contributed; for all other types of projects, the minimum is 20 staff/volunteer hours. Funds must be used for project activities carried out before **June 30, 2012**.

NOTIFICATION OF AWARDS

No information regarding the status of an application will be released until all applications have been reviewed. *Do not telephone the State Library's Division of Library Development to request information on the status of your application.* All applicants will be notified of final decisions by email.

GRANT PAYMENT SCHEDULE

Grant funds are paid in two installments: 90% (FS-10) and 10% (FS-10-F) according to Education Law Section 273.7(d) in 1984.

Release of 90% of the total award is authorized at the beginning of the project period with the approval of the FS-10. Approval of final reports will result in release of remaining funds, up to the amount actually expended of the remaining 10% of the award. Final reports on project accomplishments and expenditures are due by July 15, 2012. The final financial report must provide a complete accounting of all discretionary grant funds spent during the project period.

ELIGIBLE MATERIALS

The Discretionary Grant Program supports the preservation of library research materials with significant research value. As defined in the Commissioner's Regulations, library research materials mean informational materials in print, non-print, manuscript or any other format or medium. Eligible materials may therefore include books, journals, newspapers, documents, photographic prints and negatives, sound recordings, maps, architectural drawings, and other materials whose primary value is informational. While some historic materials may have considerable value as cultural artifacts in addition to their informational value, all materials to be preserved with discretionary grant funds must have significant informational value as well. Collections of three-dimensional artifacts and works of art on paper are not generally considered to be eligible materials.

Research value is defined as long-term historic significance, as opposed to, or in addition to, short-term

topical interest. Age, aesthetic interest or the degree of deterioration will not, in themselves, argue effectively for preservation if research value cannot also be established.

The preservation of newspapers is supported by the Discretionary Grant Program. Bibliographic inventory activities are not eligible for discretionary grant awards.

Newspaper preservation projects will be considered for funding provided the research value of the titles to be preserved can be established, and provided the title was not microfilmed as part of the New York State Newspaper Project (NYSNP) <http://www.nysl.nysed.gov/nysnp/>.

Newspaper preservation projects receiving discretionary grant awards normally will be limited to reformatting titles onto 35mm roll microfilm in accordance with published standards (see Microform Guidelines). Preservation of newspapers in their original format will be allowable *only* when their artifactual value can be clearly established, and compelling arguments can be presented to justify such an approach. Artifactual preservation of newspapers is usually appropriate only for very early newspapers with specific historic significance.

All master negatives of newspaper titles produced with discretionary grant funds must be deposited at the New York State Library. The State Library will provide environmentally controlled storage for master negatives at the New York State Records Center. Discretionary grant funds may be used to provide a duplicate negative (printing master) and a positive user copy for the institution.

The State Library will provide cataloging for microfilm produced by non-NYSNP projects that is consistent with standards set by the United States Newspaper Project (USNP) <http://www.neh.gov/projects/usnp.html>.

OWNERSHIP & ACCESS

Materials to be preserved with discretionary grant funds must be a part of the applicant's collections, and must be available for reference, on-site examination and/or loan. Some materials, owing to their physical condition, nature, or value, should not be loaned or used without supervision. It is not the purpose of this program to dictate the access or service policies of an institution. However, applicants must provide assurance that materials to be preserved with grant funds will be made appropriately available to all the people of the State.

In addition to providing physical access, applicants must be prepared to provide bibliographic access in the form of bibliographies, catalog entries, guides, finding aids, or other records suitable to the materials to be preserved. Such information should be made available as widely as possible to other appropriate libraries or historical document repositories, as well as to the applicant's own users. In most cases, this can be accomplished most effectively through the use of regional databases, shared cataloging networks (RLIN, OCLC, etc.), or other on-line or published bibliographic resource.

Materials to be preserved with discretionary grant funds must be legally owned by the applicant institution or, in the case of deposit materials, held with a clear, legal understanding between the owner and the institution to insure that they will remain permanently accessible.

ELIGIBLE & INELIGIBLE EXPENDITURES

Expenditures may include personnel costs, service and consultant contracts, supplies and equipment for project activities, or other activities. All expenditures of discretionary grant funds, whether for personnel, contracted services, supplies, equipment, or others, must be for preservation activities described under **FUNDABLE ACTIVITIES**, below.

Funds will *not* be awarded for activities or expenditures judged to be the ordinary responsibility of the institution. These activities include (among others):

- general operating expenses, indirect costs or overhead charges;
- the acquisition of library research materials in any format, either to add to the collection or to replace deteriorated materials by purchase of reprints or microforms;
- capital expenditures for building construction or modification;
- providing standard library shelving, including compact shelving;
- physical processing;
- basic disaster planning;
- microform readers;
- computer equipment;
- basic security measures such as burglar alarms, locks, fire extinguishers, etc.
- salaries and/or benefits for existing personnel.

A maximum of 10% of the project award may be used for the bibliographic control, arrangement, organization and/or description of materials which are to receive preservation treatment or reformatting.

Discretionary grant funds cannot be regarded as a source of continuing or repeated support for projects planned to run more than one year or to become permanent organizational activities. Grants may be used to help initiate such programs, but applicants should provide satisfactory evidence that continuing activities will become self-sustaining or will receive support from other sources in the future. In no case should grant funds be used to replace institutional funds for ongoing conservation/ preservation work, but rather as a stimulus for increasing the total financial commitment to preserving the collections.

NOTE: Under no circumstances may workshops, publications or other preservation education materials, microforms, photographs, or other products or activities produced with funds provided by the Discretionary Grant Program be used to generate income for the sponsoring agency. Charges for such activities or products must be calculated on a strict cost recovery basis. Cost recovery may include actual funds expended by the sponsoring agency, consultant, or other approved vendor *other than grant funds or funds described in the application and in the project budget as institutional contributions*. Publications produced with discretionary grant funds may not be copyrighted by the agency or institution producing them.

Credit: All publications that result from a grant award should give credit to the New York State Education Department, New York State Library, Division of Library Development, and New York State Program for the Conservation and Preservation of Library Research Materials.

FUNDABLE ACTIVITIES

The Conservation/Preservation Program recognizes a number of complementary activities which should be included in a comprehensive program. These activities are reviewed briefly below. Projects may include one or more of these activities in appropriate combination, within the context of the institution's overall preservation program.

I. Planning & Screening Materials

Institutions or agencies that have not had a general preservation survey of their library/archival collections conducted by a qualified professional should normally apply for one before requesting funding for other conservation/preservation projects. Applicants that have completed a general preservation survey may apply for other types of surveys, such as item-by-item examination of all or part of the collection, or for other projects that fall within the fundable activities described below. If an applicant has determined that a general preservation survey is inappropriate or unnecessary, supporting documentation, such as a long-range preservation plan, must be provided.

NOTE: A qualified preservation professional is one whose resume indicates formal training or advanced experience in conservation/preservation of library and archival materials. Generally, formal academic training in a subject area alone, or curatorial training or experience alone will *not* serve as adequate preservation qualifications for the purposes of the Discretionary Grant Program.

Discretionary grant funds may be used for planning activities such as general conservation/preservation surveys, feasibility studies, and consultancies to determine the extent of an institution's preservation problems (see **PRIORITIES FOR FUNDING**, above). It is strongly recommended that the institution's professional staff be integrally involved in the survey activities. Grant funds may be used to cover part or all of the cost of a qualified preservation consultant, associated travel, and preparation of a written report. Applicants may also include in proposals for surveys requests for equipment to monitor environmental conditions and for basic preservation supplies for simple rehousing activities undertaken in conjunction with survey activities. Activities to assess the historic research value of a collection, or to inventory and/or catalog the collections in conjunction with a general preservation survey may be included as all or part of the institutional contribution to the project.

Discretionary grant funds may also be used for screening a particular collection of eligible materials to select those in need of preservation attention, in conjunction with beginning the appropriate protection, treatment, or reformatting of those materials.

Guidelines for Collection Survey Reports

Collection survey reports should contain the following information.

- 1) The background of the collection should be briefly discussed, that is, the collecting policy of the institution, the structure of the building itself, and the nature of the materials housed there.
- 2) Each aspect of preservation and conservation should be addressed as related to the collection. In addition to describing optimum conditions, the report should discuss the problems detected, and what measures the institution should take to correct these problems.
- 3) Areas that should be addressed include (but are not limited to): environmental concerns--temperatures, relative humidity, air quality, potential for water damage, protection from light, and protection from pests; collection management -- storage and handling, cleaning, repairs and binding, reformatting, and exhibition; security; disaster plans, and fire and water detection/suppression systems; special collections; and needs of special formats.
- 4) Specific materials in need of immediate attention should be addressed as short-term preservation goals, in addition to any other needs that are high priorities. The institution should be made aware of the importance of addressing these needs as soon as possible.
- 5) Long-term preservation goals should be established. The institution should know that these goals should be met as soon as time and budget constraints allow. The report should also emphasize that preservation is an on-going process, with no end.

A bibliography of relevant publications and a list of contact persons may be attached to the survey report to aid the institution in its preservation program.

II. Environmental Control & Storage

a) **Environmental control.** Discretionary grant funds may be used to correct serious environmental problems which directly affect the condition of eligible materials. (See **PRIORITIES FOR FUNDING**, above.) Fundable activities include installing or upgrading mechanical systems to provide proper control of temperature, humidity, light levels, and air quality in collection storage areas. Environmental control systems must be based, insofar as possible, on recommended standards for storage of the materials involved, and must make a significant contribution toward achieving suitable storage environments in order to be funded.

Projects involving the installation or improvement of heating, ventilation, and air conditioning (HVAC) systems in existing buildings are generally eligible for discretionary grant funding. However, activities

associated with the installation of HVAC systems in new construction are not funded under the Discretionary Grant Program.

b) **Storage.** Providing standard library shelving, including compact shelving, for book and archival records collections is considered an institutional responsibility and cannot be funded by the Discretionary Grant Program. However, special shelving or storage furnishings for special format materials, or for materials that will receive conservation treatment as part of a funded project and subsequently require special storage, may be funded.

III. **Reformatting -- Microforms**

The Discretionary Grant Program must assure that long-term preservation goals will be adequately served by the projects it funds. Since microforms that are not produced according to recognized standards cannot be considered adequate preservation of the research materials they reformat, separate **MICROFORM GUIDELINES** have been prepared for use by applicants whose projects consist in whole or in part of reformatting materials in microform. All applicants for microform projects must, therefore, submit signed copies of a **Microform Guidelines Agreement** with each copy of the completed application. This agreement indicates the applicant's commitment to adhere to recommended standards for any microform work undertaken with grant funds.

The **MICROFORM GUIDELINES** begin on page 14 of this booklet. The **Microform Guidelines Agreement** is on page 24 of the application.

Discretionary grant funds may be used to support the following types of microform projects:

a) **Microfilm.** Discretionary grant funds may be used for microfilming eligible materials. Roll microfilm (35mm) is the preferred microformat for the long-term preservation of most research materials. Microfilming may be funded in addition to conservation treatment for materials with significant artifactual value.

b) **Microfiche.** Discretionary grant funds may be used to support appropriate microfiche reformatting projects. The reasons for preferring microfiche to roll microfilm must, however, be clearly justified in the proposal.

NOTE: Proposals for color microfilm and microfiche will be accepted. Ilford Ilfochrome color microfilm and microfiche products are the only types of color microfilm acceptable.

c) **Inspection of Grant funded Microfilm.** Applicants may request funding to hire a third party vendor to perform inspection of microfilm funded by this program.

IV. **Reformatting -- Non-Microforms**

a) **Photographic records.** Projects to preserve and make available photographic prints and negatives are eligible for discretionary grant funds. However, it should not be assumed that *all* photographic records in a collection necessarily merit preservation. Applicants must provide evidence that the institution has undertaken or will undertake careful appraisal of the materials to determine which items or series have permanent research value and deserve preservation. Age, aesthetic interest, or the degree of deterioration will not, in themselves, argue effectively for preservation if research value cannot also be established.

Fundable activities include copying nitrate, glass plate, or other negatives onto safety film; or copying selected original images, whether in microform or individually.

It is the applicant's responsibility to insure that personnel hired or contracted to reformat photographs will perform the work according to applicable ANSI standards, and to provide evidence of this in their application. Resumes of any personnel hired or contracted must be included in the application.

NOTE: Most color photographic processes are not sufficiently stable to insure long-term preservation of research materials. Projects to reformat color photographic negatives, prints, or slides are therefore not usually fundable through the Discretionary Grant Program.

b) **Sound Recordings**

While reel-to-reel tapes are still a fundable preservation format, the media has become increasingly difficult to purchase. **Beginning with the 2009/2010 funding year, the Conservation/Preservation Program will fund the conversion of audio recordings to digital format. Only audio reformatting projects are fundable as digital conversion projects.** Proposals to perform conversion to digital formats must follow the best practices that have been agreed on by many audio and preservation professionals. Projects proposed for funding must follow the “Grammy Foundation Basic Methodology for Preservation, Conversion and Archiving Recorded Media” available at the Grammy web site www.grammy.com. Applicants may also create use copies on either cassette tape or CD ROM. Applicants should state that they will continue to store the originals and describe the environment in which they will be stored.

To insure the long term viability of the digital files a copy of all digital files reformatted through this program must be deposited with the New York State Education Department. Please see Appendix A for the “Deposit Agreement and Procedures”. Applicants should also make arrangements on their own for long term storage and maintenance of the files to insure redundancy and usability over time.

Eligible expenditures under this program will be:

- The creation of the reformatted recordings
- Basic metadata (preservation metadata as defined by PREMIS (www.loc.gov/standards/premis/)) for the digital files. Applicants should say how they will use the PREMIS schema.

Expenditures that are not eligible for funding under this program include:

- Reformatting equipment.
- Playback equipment.
- Metadata software.
- Storage and transmission hardware (e.g. hard drives for mass storage of audio files)
- Appropriate descriptive metadata that conforms to an existing and appropriate metadata standard such as Dublin Core or PBCore. Applicants should describe their metadata approach and the extent to which they will use a particular metadata standard.

c) **Preservation photocopying.** Copying materials onto acid-free paper using electrostatic or other copying methods usually is not adequate to insure the long term preservation of library materials. It may, however, be used in conjunction with other preservation options to further reduce the use of originals by providing user service hard copies for unique, rare, or appropriate out-of-print materials. Paper used in preservation photocopying must meet ANSI Standard for Permanent Paper Z39.48, 1992.

Discretionary grant funds will be provided for preservation photocopying only when a clear need to supplement more permanent methods can be demonstrated, and/or when reasonable assurances can be obtained indicating that copying methods and equipment to be used are adequate to produce durable copies.

d) **Motion picture film and video tape.** Black-and-white motion picture film can be best preserved by storage in appropriate environmental conditions and/or by copying deteriorating film onto stable film base with adequate processing. Such projects may be funded through the Discretionary Grant Program if the research value of the film can be adequately justified. However, transfer of motion picture film to video tape is *not* a suitable method of preservation due to the inherent instability of video tape. Projects to convert motion picture film to video tape or to make tape copies of original video tapes are *not fundable* through the Discretionary Grant Program.

NOTE: Color motion picture film processes currently in use are not sufficiently stable to insure the long-term preservation of motion picture images. Until standards and processes have been developed that can reasonably assure the long-term preservation of color motion picture film, projects to copy such film onto color film are not fundable through this program. The best means of preservation currently available for these materials is carefully controlled storage. Generally, such storage can be provided most economically at a commercial storage facility.

e) **Digitization.** Scanning and digitizing technology is a very promising method for reformatting and storage of various types of library research materials. However, the technology is relatively new and its commercial applications are changing rapidly. As a result no production standards have yet emerged that can reasonably guarantee the suitability of laser disks--optical, video or audio--for long-term storage of information. Until such standards are developed and adopted by a recognized body, the Discretionary Grant Program will not fund the reformatting of informational materials by digitization.

V. **Physical Treatment**

a) **Collections maintenance.** Basic housekeeping is the applicant's responsibility. Discretionary grant funds may be used for special projects to clean collections or otherwise limit ongoing damage to a discrete collection of eligible materials.

b) **Preparation of materials for storage.** Basic physical processing of materials being added to collections is part of the ongoing responsibilities of the applicant. Discretionary grant funds may be used for binding, matting, boxing, or other protective enclosures. Storage materials made from paper should adhere to ANSI Standard Z39.48 - 1992. Paper materials to be used for the storage of photographic images should also pass the Photographic Activity Test (PAT). ANSI IT.9-16.

c) **Rebinding, minor repair and mending.** Discretionary grant funds may be used to support the repair or rebinding of discrete collections of eligible materials, or to upgrade existing in-house repair processes affecting eligible materials. It is the applicant's responsibility to insure that personnel hired or contracted to carry out rebinding, minor repairs and mending are qualified to perform the work in accordance with standards and/or procedures prevailing in well-established, professional preservation programs, and to provide appropriate evidence of these qualifications in their application.

d) **Major conservation treatment.** Discretionary grant funds may be used to support major conservation treatments of eligible research materials with significant artifactual value. Such treatments must be performed by a qualified conservator or conservation treatment facility. It is the applicant's responsibility to insure that personnel hired or contracted to carry out conservation treatments are qualified to perform the work in accordance with standards and/or procedures prevailing in well-established, professional preservation programs. The resume of any personnel hired or contracted must be included in the application. In addition, a proposed treatment plan must be submitted with the application. Major conservation treatments must be justified based on the artifactual value of the materials, the inappropriateness of other preservation options, or other compelling arguments. Aesthetic concerns alone are not usually sufficient to justify artifactual preservation of library research materials.

VI. **Bibliographic Activities**

Applications must present evidence that adequate bibliographic control will be provided for all materials to be preserved with discretionary grant funds. Grant funds may be used to carry out certain aspects of bibliographic control although not more than **10%** of the project award may be used for these purposes.

The bibliographic activities necessary to insure access to materials may represent a significant undertaking for some projects and will usually require considerably more funding than that covered by a discretionary grant. In these cases the institution will be expected to cover the additional costs as part of its contribution to the project.

Fundable bibliographic activities include:

a) preparation of bibliographies, catalog entries, finding aids, or other records suitable to the materials to be preserved;

b) creating or modifying bibliographic records to reflect preservation decisions, including reporting microform

masters to the library and archival community;

c) cataloging and record-keeping activities which are part of a project to treat or reformat eligible materials;

d) converting to machine-readable form and/or contributing records to a shared bibliographic database.

Expenditures for arrangement, organization and/or description of materials are eligible *only* when such arrangement or description is an essential prerequisite for, or a necessary follow-up to the preservation work itself.

VII. Other Fundable Activities

a) **Disaster recovery.** Discretionary grant funds may be used for salvaging eligible materials that have been damaged as a result of disasters. However, activities to reduce the potential for fire, water or other predictable accidental damage to materials, and to establish disaster plans and a kit of emergency supplies, are part of the ongoing responsibilities of the institution, and are not fundable. Grant funds may be provided for the purchase of emergency supplies to support regional, cooperative disaster plans.

b) **Quality Control, Testing and Research.** Discretionary grant funds may be used for exemplary proposals to conduct research that would add new knowledge about media or materials, the development of improved conservation treatment techniques, or the investigations of techniques to improve collections environments. Proposals should document in the project description the plan of dissemination and/or the wide-spread applicability of the research results. Applicants should document a successful history of research activity or provide other indication of the likely success of the proposed research project. The cost of consultants, equipment, supplies, and other materials may be supported by the Discretionary Grant Program. Support of salary and benefits for permanent staff participating in the research should be included in the institutional contribution only.

c) **Staff training and preservation education programs.** Discretionary grant funds may be used to provide specialized training for staff responsible for the care of eligible research materials. Funds may be provided to allow personnel responsible for a collection to attend workshops, seminars or other training courses that will provide preservation training appropriate to their specific job responsibilities. Such activities are most likely to be funded in conjunction with other activities to insure the preservation of the collection. Attendance at general preservation workshops or professional meetings is not usually funded through the Discretionary Grant Program. Proposals for educational programs should address: Need for the Proposed Training, Training Objectives, Publicity and Information Dissemination.

Grant funds may also be used for the development of preservation education programs including workshops and publications. Educational programs supported by the Discretionary Grant Program must be conducted on a strict cost recovery basis. Cost recovery may include actual funds expended by the sponsoring agency, consultant, or other approved vendor *other than grant funds or funds described in the application and in the project budget as institutional contributions*. Under no circumstances may workshops, publications, or other preservation education materials be used to generate income for the sponsoring agency. Publications produced with discretionary grant funds may not be copyrighted by the agency or institution producing them.

APPLICATION PROCEDURES

Completed 2011/2012 discretionary grant applications *must be received through our online grant application system by 5:00 P.M. on Friday, May 20, 2011*. There will be no extensions of this deadline. Complete applications, including cover sheet, project description, cooperative and/or microform guidelines agreements (if applicable), budget, and institutional authorization must be submitted to provide for timely staff and panel review. FS-10s must be printed up and mailed to the New York State Library, Division of Library Development, 10B41 CEC, Albany, NY 12230 and **all copies must contain original signatures. Only FS-10s should be mailed. The rest of the application must be submitted through our online grant application system.**

The **APPLICATION INSTRUCTIONS** section of the guidelines (beginning on page 18) contains detailed information on how to prepare the application.

The large volume of applications does not allow the staff to do extensive follow-up on incomplete applications, missing or confusing data, etc.--*projects will be evaluated based on the application as submitted.* Applicants should examine thoroughly every page of the completed application before submission. Missing or supplemental materials received after the published deadline will not be forwarded to reviewers.

APPLICATION EVALUATION PROCESS

Staff of the Conservation/Preservation Program Office examine each application for eligibility and overall completeness. Outside specialists read each application, rate it against the criteria established by law and the regulations, and provide comments. Reviewers are instructed to evaluate each application on the basis of information provided in the application and to give a numerical score for each of the evaluation criteria discussed below.

Each higher-ranked proposal, together with reviewers' evaluations and comments, is analyzed by staff to verify consistency with the program's criteria and to determine the appropriate level of funding. Final decisions are made by the Conservation/Preservation Program staff with the approval of the Director of Library Development and the Assistant Commissioner for Libraries. In the case of applications with the same score and where there is not enough money to fund all of the projects, the institution with the highest score for the workplan section of the application will be awarded a grant. All applicants are notified of final decisions by email. A blank copy of the Rating Sheet(s) used by reviewers is on pp. 39-42.

EVALUATION CRITERIA

Factors considered in evaluating and ranking applications are established by law and regulations, and fall into the five major categories listed below. While each is of complementary importance in the evaluation process, particular attention is given to the research value of materials and the soundness of the plan of work when ranking proposals. In other words, **projects must present a well-conceived and appropriate plan for preserving materials with significant research value in order to be funded.**

Projects that do not involve the direct preservation of research materials--surveys, educational programs, research, regional facilities or activities, etc.--are also eligible, as described above, under **FUNDABLE**

ACTIVITIES

The six major evaluation criteria are:

- 1) institutional commitment to conservation/preservation work; (15 pts.)
- 2) accessibility of collections to the public; (6 pts.)
- 3) research value of material to be preserved; (18 pts.)
- 4) soundness of the plan of work; (27 pts.)
- 5) institutional contribution to the project; and (6 pts.)
- 6) budget.(20 pts.)

Total possible points: 92

Reviewers will look to see if the costs are reasonable, if you have budgeted for all activities necessary to

accomplish the project, and if all entries on the budget forms are justified in the project description.

Education proposals have a separate evaluation form which can be found on pp. 41-42.

The four major evaluation criteria are:

- 1) soundness of the plan of work; (27 pts.)
- 2) institutional contribution to the project; (6 pts.)
- 3) pre-planning; and (39 pts.)
- 4) budget. (20 pts.)

Total possible points: 92

MICROFORM GUIDELINES

INTRODUCTION

The Discretionary Grant Microform Guidelines review the basic standards required of all preservation microform projects funded by the Discretionary Grant Program. These standards are based on the American National Standards Institute (ANSI) standards assembled in *Preservation Standards Set* published by the Association for Information & Image Management (AIIM), 1100 Wayne Avenue, Silver Spring, MD 20910; (301) 587-8202.

It is not necessary that you purchase this publication--it is quite expensive and technical. Should you need to consult the *Preservation Standards Set*, a copy is held at the State Library and is available through interlibrary loan. The information in the two publications listed below will usually be more accessible and more helpful for librarians and archivists planning preservation microfilming projects.

These guidelines are intended to acquaint the applicant with the required standards for microform projects, and to help applicants' insure that these standards are met by vendors or in-house operators. They do not in themselves comprise standards and do not include specific procedures. **If the standards discussed below have been updated since the publication of these guidelines, the most recent revision applies.**

The applicant should provide a copy of these guidelines to prospective vendors prior to their submission of formal bids or job contracts.

Applicants are not expected to be fully conversant with all technical standards. Familiarity with the basic principles of preservation microfilming is, however, expected, and some acquaintance with standards is strongly encouraged. ANSI/AIIM MS23-1998, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents" will provide an overview of preservation microform procedures. Two additional sources that may help with planning microform programs or projects are:

Preservation Microfilming: A Guide for Librarians and Archivists. Fox, Lisa ed., 2nd ed. Chicago: ALA, 1995 (for ordering information see **BIBLIOGRAPHY**).

Research Libraries Group Preservation Microfilm Handbook. Elkington, Nancy, ed., Research Libraries Group, Mountain View, 1992.

USE OF STANDARDS

The Discretionary Grant Program requires assurance that appropriate standards will be followed in all projects it funds. Microform projects that do not conform to recognized technical standards do not accomplish the long-term preservation of the materials they reformat. All applicants for microform projects must therefore submit a signed **Microform Guidelines Agreement** with each copy of their application. This agreement indicates a commitment by the applicant and their vendor to adhere to appropriate standards for microform work performed with grant funds.

It is the applicant's responsibility to insure that in-house operators or outside vendors perform all microform work according to specified technical standards. When using outside vendors, this can often be accomplished most readily through a formal contract. For guidance in selecting an outside filming agent and drawing up an appropriate contract, refer to the above sources. They both include a sample contract.

Whether or not a formal contract is used, filming vendors must agree to adhere to specified technical standards and indicate such agreement by signing the **Microform Guidelines Agreement**. Failure to complete projects according to the standards referenced in these guidelines may jeopardize the vendor's eligibility to serve as a vendor in future microform projects funded by the Discretionary Grant Program.

Applications for reformatting materials in microform are *not* fundable unless the Microform Guidelines Agreement is signed by the applicant and the vendor, and submitted with the application.

FUNDABLE CATEGORIES OF MICROFORM

Three categories of microforms may be funded through the Discretionary Grant Program: first generation preservation master negatives; second generation duplicate negatives (printing masters), and user service copies.

1. Master Negatives

All microform projects funded by the Discretionary Grant Program must produce a first generation, silver halide master negative. Master negatives must be produced in strict accordance with **ANSI/AIIM MS23-1991**, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents."

Other standards applicable to production of master negatives include:

ISO 18917:1999, "American National Standard for Photography (Chemicals) -Residual Thiosulfate and Other Chemicals in Films Plates, and Papers--Determination and Measurements;"

ANSI IT9.1-1996, "Imaging Media (Film) - Silver Gelatin Type - Specifications for Stability."

2. Duplicate Negatives

The master negative, properly processed and stored, provides for the preservation of the reformatted information. It should therefore be used only to produce copies on a limited basis. To further limit use of the master negative a duplicate negative (often referred to as the printing master) is made. This copy is then used to produce all user service copies. The same standards apply to the production of second generation duplicate negatives as to the production of master negatives.

3. User Service Copies

At least one positive or negative service copy of the microform must be made on silver halide, diazo, or vesicular film to serve as a user service copy. While neither diazo nor vesicular film is suitable for production of master negatives, both are slightly cheaper than silver halide film, and may be appropriate for heavily used service copies.

NOTE: Diazo and vesicular film *must* be stored separately from silver halide film since the chemicals used in processing the film can contribute to the breakdown of silver halide images.

The applicable standards for diazo and vesicular film are:

ANSI IT9.5-1996, "Imaging Media (Film) - Ammonia Processed Diazo films--Specifications for Stability;"
and

ANSI IT9.12-1995, "American National Standard for Photography (Film) - Processed Vesicular Film-- Specifications for Stability."

ACCEPTABLE FORMATS

Roll microfilm and microfiche are acceptable formats for preservation microforms.

1. Roll Microfilm

Microfilm should be 35mm. Sixteen-millimeter film is most commonly used for preservation microfilming of public records or the production of jacketed microfiche negatives. The reasons for preferring 16mm film should be clearly justified in the plan of work.

Applicable standards for 35mm film used for preservation microfilming include:

ANSI PH1.51-1983, "American National Standard for Photography (Film) - Micrographic Sheet and Roll Film Dimensions."

ANSI IT9.1-1996, "Imaging Media (Film) - Silver Gelatin Type - Specifications for Stability."

2. Microfiche

Microfiche is an appropriate format for preservation microform when it is suitable to the type or arrangement of the materials to be preserved. Three methods of production within the 105mm by 148mm dimensions are acceptable:

- step-and-repeat filming to produce fourteen column by seven row grid arrangement, (produces ninety-eight single frames or forty-nine double frames at reduction ratios of from 24:1 to 28:1);
- arrangement in three rows of trimmed, spliced-in 35mm microfilm, which produces a variable number of frames and is useful for reproducing oversized objects, such as engineering drawings, maps, and large group photographs;
- five-channel microfiche jackets with 16mm microfilm strips to create microfiche negatives.

If microfiche is created by splicing or jacketing a duplicate negative should be created on archival quality, silver halide film stock and stored under archival conditions. The applicable standards for microfiche include:

ANSI/AIIM MS5-1992, "American National Standard for Micrographics - Microfiche."

ANSI Z39.32-1996, "American National Standard for Information on Microfiche Headings."

PRODUCTION STANDARDS

All microform projects funded by the Discretionary Grant Program must be produced in strict accordance with **ANSI/AIIM MS23-1991**, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents," and related standards.

Particular attention must be paid to development, resolution, and density.

1. Development

Silver halide microfilm must be developed only with an organic developing agent that is compounded to produce an essentially black image, fixed in a thiosulfate bath, and washed with water to remove residual hypo (sodium thiosulfate). Under no circumstances should any use be made of developers that are intended to produce stained or colored images or of so-called hypo eliminators.

The thiosulfate ion residue on the microfilm should be less than .7 grams per square centimeter in a clear area, as determined by the methylene blue test method.

The applicable standard for testing is **ANSI/ASC PH4.8-1985**, "American National Standard for Photography (Chemicals) - Residual Thiosulfate and Other Chemicals in Films, Plates, and Papers - Determination and Measurement."

2. Resolution

The Quality Index Method is the accepted method of determining resolution. It is described in **ANSI/AIIM MS23-1998**, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents," section 4.3.

3. Density

Depending on the type of original document and on the reduction, recommended densities vary. Section 4.1.4 of **ANSI/AIIM MS23-1998**, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents" provides information on the range of densities acceptable for particular types of materials.

INSPECTION

Each roll of preservation master negative shall be inspected frame by frame for visible defects and missing pages as described in **ANSI/AIIM MS23-1998**, Section 6.3, "Description of Defects." Funding may be requested to hire a third party vendor to perform inspection.

PACKAGING

The applicable standard for reels, acid-free envelopes, paper bands, sealing tapes, and boxes is **ANSI IT9.2-1998**, "Imaging Media Photographic Processed Films, Plates, and Papers - Filing Enclosures Storage Containers. In addition, master negatives should be placed in sealed, nonferrous (or properly coated ferrous) metal cans for long-term storage.

STORAGE

All master negatives *must* be stored in environmentally controlled areas that approach as closely as possible conditions described in **ANSI IT9.11-1993**, "American National Standard for Photography (Film)--Storage of Processed Safety Film." Master negatives, print masters and service copies cannot be stored in the same facility.

Stored negatives must be periodically inspected for mold, fungus, excessive brittleness, film curl, discoloration, scratches, dirt, chemical stains, the presence of redox blemishes, etc. Required inspection procedures are described in **ANSI/AIIM MS45-1990**, "Recommended Practice for Inspection of Stored Silver Gelatin microfilms for Evidence of Deterioration.

APPLICATION INSTRUCTIONS

These instructions contain detailed explanations of information that must be provided in the Discretionary Grant Program application. They should be used in conjunction with the guidelines to insure that all required information is provided.

Read the guidelines and all the following instructions *before* attempting to complete the application. Applicants just initiating their conservation/preservation programs should begin preparation of their application by studying the entries in the bibliography that relate to their project. Familiarity with these materials represents the *minimum* information needed to insure a well planned project. Sources of additional information are included in the bibliography.

All applications must be complete when received and must include **cover sheet, project description, budget, institutional authorization**, and, when appropriate, **cooperative and microform agreements**. All sections *must* be completed. Failure to provide complete information may result in an ineligible application. All FS-10 forms must be complete and include original signatures in blue ink.

COVER SHEET

The cover sheet requests basic information about the institution and the project, and documents the eligibility of the institution to receive discretionary grant funds.

Complete all sections. Pay particular attention to "Institutional Eligibility" --it is the institution's responsibility to establish adequately its eligibility to receive discretionary grant funds.

PROJECT DESCRIPTION

The project description is a narrative composed of six sections in which you will provide a detailed description of the institution or agency; the institution's commitment to conservation/preservation; the accessibility of its collections; the research value of the materials to be preserved; the plan of work; and the institutional contribution to the project.

The information provided in the project description will be used by the reviewers to evaluate your proposal. Your narrative should therefore be clear, concise and to the point. Make sure that you address *all* of the points in the project description outline. Your narrative should be **arranged** and **numbered exactly** as indicated in the outline given on page 22, application form.

For example, the first page of your narrative will look something like this:

DESCRIPTION OF INSTITUTION OR AGENCY

A. Size of the institution's operation.

The library's operating budget in the past fiscal year was \$250,000. There are 7.5 FTE positions, consisting of 3.0 professionals and 4.5 non-professionals. In addition the library has six regular volunteers who work a total of 23 hours per week . . .

B. The agency's total collections of library research materials.

The library holds approximately 30,000 titles including monographs, trade catalogs, serials, microforms, and archival documents . . .

**2011/2012 CONSERVATION/PRESERVATION
DISCRETIONARY GRANT APPLICATION**

CHECKLIST

BE SURE YOUR APPLICATION IS COMPLETE--INCOMPLETE APPLICATIONS ARE NOT ELIGIBLE FOR REVIEW!!

Original signatures are required on all copies of the FS-10. Each application must contain:

- ___ completed Cover Sheet
- ___ completed Project Description
- ___ signed Cooperative Application Agreement (if applicable)
- ___ signed Microform Guidelines Agreement (if applicable)
- ___ completed Project Budget
- ___ Institutional Authorization
- ___ FS-10 Form
- ___ Payee Information Form

Send your completed FS-10s (3 copies) to:

CONSERVATION/PRESERVATION PROGRAM
DIVISION OF LIBRARY DEVELOPMENT
NEW YORK STATE LIBRARY
10B41 CULTURAL EDUCATION CENTER
ALBANY, NY 12230
www.nysl.nysed.gov/libdev/cp/

DO NOT MAIL IN YOUR APPLICATION! All applications must be submitted online.

DO NOT telephone the Division of Library Development to request information on the status of your application. All applicants will be notified of final decisions. All notifications will be by email.

**2011/2012 APPLICATION
DISCRETIONARY GRANT PROGRAM**

COVER SHEET

Applications must be submitted through our online grant application system by 5:00 P.M. May 20, 2011.

Name of Institution: _____

Mailing Address: _____

_____ County: _____

Director: _____ phone: _____ - _____ - _____

(name)

(title)



PROJECT TITLE: _____

SUMMARY DESCRIPTION:

AMOUNT REQUESTED: \$ _____

Project
Manager: _____ phone: _____ - _____ - _____

(name)

(title)

Email: _____

List districts in which your institution or agency is located:

State Judicial _____ State Assembly _____

State Senate _____ Congressional _____

Is the institution's major source of funding: public or private

Required Information:

Federal I. D. number of the institution: -

Name of school district the institution is physically located in:

INSTITUTIONAL ELIGIBILITY

A. Type of agency - check most appropriate category:

- Library Archives
- Academic/research Museum
- Public Historical Society
- Other: _____ Other: _____

B. Indicate the basis of the institution's eligibility to apply for discretionary grant funds:

- chartered by the Board of Regents of the State of New York;
date of charter: _____
- accepted by the Board of Regents of the State of New York for filing under the not-for-profit section (Section 216) of the Education Law;
date of acceptance: _____
- registered with the Office of Charities of the New York State Department of State;
date of registration: _____
- granted not-for-profit status under section 501(c)(3) of the United States Internal Revenue Code; date: _____
- Other. Attach a detailed explanation including a description of the agency's organization, legal establishment, governance, sources of support, and services.

C. Is the institution affiliated with a religious denomination?

- Yes No. If yes, the application **must** be accompanied by evidence of constitutional eligibility to receive state financial assistance. See General Guidelines, page 2.

PROJECT DESCRIPTION

*On separate sheets submit a description of the project for which you are requesting funding. Address **all** of the topics listed below. **Arrange** and **number** your description in the order in which it is requested below. See **Application Instructions** for details about the information to be included in each section.*

I. DESCRIPTION OF INSTITUTION OR AGENCY

- A. *Size of the institution's operation.*
- B. *The agency's total collection of library research materials.*

II. INSTITUTIONAL COMMITMENT TO CONSERVATION/PRESERVATION

- A. *Institutional conservation/preservation activities.*
- B. *Environmental conditions in which preserved materials will be stored.*
- C. *Preparations for disasters.*
- D. *Security arrangements for protecting the collections.*
- E. *Participation in cooperative, regional or statewide conservation/preservation activities.*

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

- A. *Access policies and practices of the institution.*
- B. *Cataloging or other forms of bibliographic control.*
- C. *Ownership of materials.*

IV. RESEARCH VALUE OF MATERIALS TO BE PRESERVED

- A. *Description of materials to be preserved with grant funds.*
- B. *Significance of the materials for research.*

V. PLAN OF WORK

- A. *The timetable for the project.*
- B. *Conservation/preservation activities to be carried out during the project.*
- C. *Personnel and vendors involved in the project.*

VI. INSTITUTIONAL CONTRIBUTION TO THE PROJECT

- A. *Contributions of staff time by existing institutional staff.*
- B. *Financial contribution towards the overall costs of the project.*

VII. EDUCATION PRE-PLANNING (For Education Proposals ONLY)

- A. *Need for the proposed training*
- B. *Training objectives*

- C. *Publicity*
- D. *Information dissemination*

2011/2012 DISCRETIONARY GRANT COOPERATIVE APPLICATION AGREEMENT

*New York State Program for the Conservation and Preservation
of Library Research Materials*

*Applicants for discretionary grant funds for **cooperative projects** must attach as an amendment signed copies of this agreement with their applications.*

Sponsoring Institution _____

Project Title _____

I hereby give assurance to the New York State Education Department that the undersigned supports the enclosed application and will cooperate to the extent described in the attached application. All materials whose preservation is supported by funds from the State are, or will be, made available for reference, on-site examination, and/or loan.

Name of Participating Institution _____

Date _____ *Signed* _____
(library or archives director)

Type Name _____

2011/2012 DISCRETIONARY GRANT MICROFORM GUIDELINES AGREEMENT

*New York State Program for the Conservation and Preservation
of Library Research Materials*

*Applicants for discretionary grant funds for **microform projects** must attach as an amendment signed copies of this agreement with their applications.*

_____ and _____
(Applicant institution) (Vendor)

agree to perform all microform work described in the attached application for

(Project title)

*according to all **ANSI/AIIM** standards and the Research Library Group guidelines in the RLG Microfilming Handbook reviewed in the **2011/2012 Discretionary Grant Microform Guidelines**.*

Date _____ Signed _____
(library or archives director)

Type Name _____

Date _____ Signed _____
(authorized vendor agent)

Type Name _____

CONSERVATION/PRESERVATION DISCRETIONARY GRANT PROGRAM

BUDGET FOR _____

Name of Institution

I. Salaries

Name & Title (annual salary rate x FTE)	<u>A</u> Project Total	<u>B</u> Inst'l Contrib.	<u>C</u> Grant Request	<u>D</u> Grant Approved	<u>E</u> Expenses Submitted
	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
TOTAL	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____

II. Employee Benefits

	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
TOTAL	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____

III. Purchased Services

	<u>A</u> Project Total	<u>B</u> Inst'l Contrib.	<u>C</u> Grant Request	<u>D</u> Grant Approved	<u>E</u> Expenses Submitted
Consultants	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
Contracted Services (list vendors)	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____
TOTAL	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____

CONSERVATION/PRESERVATION DISCRETIONARY GRANT PROGRAM

BUDGET FOR _____
Name of Institution

IV. Supplies & Materials
(list)

Unit Qty Price	<u>A</u> Project Total	<u>B</u> Inst'l Contrib.	<u>C</u> Grant Request	<u>D</u> Grant Approved	<u>E</u> Expenses Submitted
___ \$ ___	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____

V. Equipment (List equipment with a unit cost of \$5,000 or more. Equipment items under \$5,000 should be listed under Supplies & Materials.)

	Unit Qty Price	A Project Total	B Inst'l Contrib.	C Grant Request	D Grant Approved	E Expenses Submitted
	___ \$ ___	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	_____	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____	_____
TOTAL	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____

PROJECT TOTAL \$ _____ \$ _____ \$ _____ \$ _____ \$ _____

INSTITUTIONAL AUTHORIZATION
[Send as an attachment to the online application.]

2011/2012 CONSERVATION/PRESERVATION DISCRETIONARY GRANT PROJECT

The undersigned hereby give assurance to the New York State Education Department that the statements in the preceding application are true and correct to the best of their knowledge, information, and belief, and that all materials whose preservation is supported by funds from the State are, or will be, made available for reference, on-site examination and/or loan. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Project Title: _____

PRESIDENT OF APPLICANT INSTITUTION

signed: _____ type name: _____ date: _____

DIRECTOR OF LIBRARY/ARCHIVES

signed: _____ type name: _____ date: _____

(NOTE: throughout these instructions -- as well as the preceding guidelines -- "institution" and "agency" are used interchangeably.) The explanations below describe the type of information that should be included in the narrative of each section.

IMPORTANT!
FOR EDUCATION PROPOSALS, DO NOT COMPLETE SECTIONS II, III AND IV.
SUBSTITUTE: VII. EDUCATION PRE-PLANNING

I. DESCRIPTION OF INSTITUTION OR AGENCY

A. Size of the institution's operation.

Include information on the institution's annual budget for staff, materials, operations, etc., and the total number of staff in full time equivalents (FTE). Indicate the number of FTE professional and non-professional staff and the number of volunteers who regularly serve in the institution.

It is not necessary for an agency that is one part of a larger institution--the library or archives of a college, for example--to provide full information on the entire institution. Reviewers will be most interested in information on the part of the agency in which the project will be carried out. Include additional information on the parent institution only if you think it will provide a more complete background for the project.

B. The agency's total collection of library research materials.

Include information on:

(1) the size of the collection and types of materials held;

Number of titles (monographs, serials, microforms, etc.), bound volumes, unbound materials, maps, photographs, sound recordings, linear feet of manuscripts, etc. Give as complete a quantitative description of the collection as possible, paying particular attention to the collection that contains the materials to be preserved (these materials will be described in more detail under IV.A).

(2) collecting policy and sources of materials acquired;

Describe collecting policies of the institution or agency applying for grant funds. Pay particular attention to policies affecting the materials to be preserved. Indicate the method by which materials are usually acquired, whether by purchase or donation.

(3) number of items acquired and expenditure for acquisitions last year;

Indicate the quantity of materials added to the collections in the most recent year for which figures are available, and the amount of institutional funds expended for acquisitions.

(4) other relevant background information on the nature and use of the collection.

Include any other information on the collection that may be relevant to the proposed project, such as particular subject/collection strengths, specific research that has used materials in the collection, etc.

NOTE: Section I. of the Project Description provides background information for reviewers on the size, scope, and nature of the applicant institution or agency. While your application is not evaluated on this information, reviewers need to have this background in order to adequately judge the

remainder of the Project Description. You should therefore provide a complete and clear description.

II. INSTITUTIONAL COMMITMENT (15 points)

A. Institutional conservation/preservation activities.

Describe current as well as long-range plans for conservation/preservation activities, operations, and priorities. If a general preservation survey has been conducted to determine collection care needs and priorities, the survey and its conclusions should be described. You may also include a copy of the survey in an appendix if you think this appropriate. Indicate the amount of institutional funding used to support conservation/preservation activities in the past year, and the institutional funding that will be available during the period for which discretionary grant funds are being sought. Also identify other sources of funding for conservation/preservation activities, including grants from other government or private agencies.

B. Environmental conditions in which preserved materials will be stored.

Indicate the extent to which temperature, humidity, light levels, and air quality are monitored and controlled in the areas where materials preserved with grant funds will be housed. While it is understood that not every institution can provide optimum environmental conditions for their collections, it is expected that the degree of control possible should guide the institution in its plans for preserving collections.

For example, when grant funds are expended to preserve materials in their original format, reviewers will look for evidence that the preserved materials will be housed under suitable environmental conditions after treatment. Otherwise the most exacting conservation treatment may be quickly negated. If adequate controls for rare, artifactual materials cannot be provided locally, off-site storage should be considered.

See *Microform Guidelines* for storage standards for master microform negatives.

If improving environmental conditions for storage is the focus of the grant application, technical specifications for the proposed equipment *must* be included. These must include specific information on the levels of temperature, humidity and air quality control possible with the equipment. In addition, a description of how conditions will be monitored must be included.

C. Preparations for disasters.

A comprehensive, written plan covering disaster preparedness, response, and salvage of all library, archival, or record resources is recommended. A typical plan would include a summary of emergency procedures; lists of persons to be called in case of disaster, including local, regional and national consultants, as appropriate; supplies and services available; and other information specific to the institution.

When a written plan has not been produced, the applicant should indicate how emergencies affecting library materials will be dealt with, noting particularly what regional resources are available and what arrangements have been made to take advantage of them.

D. Security arrangements for protecting the collections.

Describe measures taken to avoid theft, loss, mutilation, or inappropriate use of materials.

E. Participation in cooperative, regional or statewide conservation/preservation activities.

Cooperative activities may include sharing conservation/preservation staff or facilities with other institutions; contributing microform records to NUC, OCLC or RLIN, or other shared bibliographic

databases; using the services of regional conservation centers; participating in cooperative microfilming projects, regional or statewide disaster assistance networks, or other regional, state or national preservation activities or organizations. In this section reviewers are interested in cooperative regional or statewide conservation/preservation activities *only*.

III. ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC (6 points)

A. Access policies and practices of the institution.

Indicate the level of service provided (e.g., hours open, number of patrons, number of items loaned or used on-site, participation in cooperative access programs such as interlibrary loan and regional databases) and any restrictions placed on use of materials.

B. Cataloging or other form of bibliographic control.

Discuss the overall availability of materials by documenting the kind of cataloging or other form of bibliographic control used to enable potential users to locate materials. The extent to which the institution makes use of regional databases, OCLC, RLIN, or other on-line bibliographic networks should be described.

In the case of **published materials** (books, serials, etc.) held by any type of institution, standard library cataloging is the expected norm for bibliographic access. Whenever master microforms of published materials are produced, reports must be submitted to the **NATIONAL UNION CATALOG/Books** (NUC Books), at the Library of Congress for distribution to the rest of the library community in order to prevent unnecessary duplicate filming.

Wherever possible, applicants should also enter, or arrange for the entry of, machine-readable records for materials into on-line bibliographic databases.

For materials microfilmed with discretionary grant funds, entry into an on-line database can be arranged by depositing the master negative with the New York State Library. The Library will provide proper storage for the film and will provide the necessary machine-readable cataloging and enter it into OCLC. The cost of the additional copy may be included in the total funds requested. Arrangements for this should be made in advance by contacting the Conservation/Preservation Program, Division of Library Development, New York State Library, 10B41 Cultural Education Center, Albany, New York 12230, (telephone 518-474-7890).

In the case of **unpublished materials** held by any type of institution, arrangement and description should be in accord with accepted archival practice. Whenever unpublished materials are preserved with grant funds reports should be submitted to the **NATIONAL UNION CATALOG OF MANUSCRIPT COLLECTIONS** at the Library of Congress.

Indicate whether collections of unpublished materials have been surveyed by the **New York State Historical Documents Inventory** (HDI). If so, information about any materials reformatted as part of a discretionary grant project should be reported to the HDI. (For more information about HDI contact State Archives & Records Administration; 518-474-4372.)

C. Ownership of materials.

Indicate whether or not the materials preserved during the project are owned by the institution. If the materials are on deposit, you must provide some evidence of deposit, indicating a clear and continuing legal relationship with the owner of the materials that will assure they will remain permanently accessible. A copy of the relevant agreement should be included in an appendix to the project description.

IV. RESEARCH VALUE OF MATERIALS (18 points)

A. Description of materials to be preserved with grant funds.

Indicate the subject area or content, format (book, manuscript, photograph, map, etc.), quantity, condition, and specific preservation problems. Indicate in what way the materials form a coherent body of research materials, and how they relate to the institution's overall collecting policy. Insofar as possible, describe the type of research for which the materials are likely to be used.

B. Significance of the materials for research.

"Significance" can be determined by assessing the materials' relevance to a particular collection, by the current interests of scholars and researchers, or by anticipated value to future researchers. "Research value" is usually understood to mean that the materials have long-term historic significance as opposed to, or in addition to, short-term topical interest.

Reviewers understand that significance and research value are often difficult to assess. Nevertheless, they will expect to find convincing arguments that materials to be preserved with grant funds are important for legitimate research.

NOTE: Monetary value is not equivalent to research value. Appraisals of the potential monetary value of materials by dealers in rare books, manuscripts, etc., are therefore not usually relevant to your application. Supporting information by scholars and researchers, on the other hand, may be helpful in clarifying the value of materials for research. Such information can be included in an appendix to the project description.

Indicate how the materials to be preserved fit in the institution's overall collecting policy. Describe the kinds of information and/or research needs the material meets, whether they are of local, regional, national or international significance, the level of demand for the material, and whether it is valuable primarily for the information it provides, or as a physical artifact.

Compare the material to be preserved with similar collections elsewhere, and describe the research that will benefit from the project, or the kinds of users who need access to the material. If planning to microfilm a collection, monographic or serial titles must be searched in RLIN and OCLC to avoid duplication.

Describe the project in terms of the long-range plans and priorities of the institution. Explain why priority was given to these rather than to other items in the collection that also need preservation.

V. PLAN OF WORK (27 points)

A. The timetable for the project.

The timetable should be as specific as possible, indicating the projected beginning date for the project; hiring dates and duration of work for personnel to be hired with discretionary grant funds; schedules for existing staff who will contribute some portion of their time to the project; consulting schedules, including due dates of reports; projected beginning and ending dates for all contractual services; and schedules for all other significant activities proposed for the project. Reviewers will look for evidence of the institution's capacity to manage and complete the project in the established timetable.

B. Conservation/preservation activities to be carried out during the project.

Provide a detailed description of *all* the activities that make up the project.

Applications should demonstrate a degree of familiarity with current theory and practice in the field to assure

reviewers that the project will be carried out in accordance with currently recognized technical standards and/or procedures used in well-established preservation programs.

The application must describe the project in sufficient detail to enable reviewers to assess the technical soundness of the proposed techniques, the appropriateness of materials and methods to be employed, and the suitability of the plan of work for the preservation of the specific library materials to be preserved.

Vendors' treatment proposals and cost estimates *must* be included. The treatment proposal should describe the work to be performed, the materials and techniques to be used, the estimated number of hours required to complete the work, the cost per hour, or some equivalent breakdown of the cost estimate.

NOTE: While conservation treatment costs are often high due to the labor intensive, highly skilled and technical work required, they can vary considerably from vendor to vendor. Since reviewers will evaluate the soundness of your proposed budget it will be beneficial to do some comparative shopping. This does not mean that the low bid must be automatically accepted, or that a high bid is necessarily the best one. Whatever the price there can be no compromise on technical standards or quality of the work performed.

Vendors should be selected with great care--check their references, particularly those who have used the vendor for projects similar to yours.

C. Personnel and vendors involved in the project.

Indicate the name, position, and qualifications of the person who will have responsibility for the day-to-day operation of the project. (This person's name should be entered on the Cover Sheet as the "Project Manager.")

The project manager should normally be a member of the institution's permanent staff who is closely involved with the project--*not* an administrative, finance, or development office official unfamiliar with the details of the project.

Include a list of all other personnel to be hired for the project and those on the institution's staff who will perform project activities. Describe the specific project responsibilities of all personnel. Job descriptions and resumes must be included for positions to be paid for with grant funds.

List the name of any consultants to be used in the project. Explain what role the consultants will have in the project and which project activities they will perform. Consultant resumes and workplans for the project must be included.

List the names and addresses of all vendors to be used in the project and the specific services they will provide. Include vendors written estimates for the services they will provide. The estimates must be obtained and be included in the application. At least two estimates must be obtained. This does not mean the low bid must automatically be accepted. Justification must be given for the vendor chosen.

Fees paid to consultants hired to perform general preservation surveys, photograph surveys, flat paper surveys or to teach workshops cannot exceed \$750 per day. The actual survey as well as writing the report should not take more than three to four days. If funds are requested for more than four days -compelling justification must be provided.

Qualifications of key project personnel must be provided to assure reviewers that the project will conform to current conservation/preservation standards. Key personnel include existing staff, new staff, consultants, and in the case of conservation treatment projects, conservators or conservation technicians in any way connected with the project.

VI. INSTITUTIONAL CONTRIBUTION TO THE PROJECT (6 points)

A. Contributions of staff time by existing institutional staff.

Indicate the amount of time existing staff will contribute *directly* to the project. Also include any time volunteered by outside professionals or other non-institutional staff. For survey projects, a minimum of 10 staff/volunteer hours must be contributed; for all other types of projects, the minimum is 20 staff/volunteer hours. **Reviewers will also expect to find evidence of appropriate staff to provide ongoing care for collections once the project is completed.** Such care includes maintenance, appropriate updating of catalogs or bibliographies, and reference service or other user support appropriate to the materials and the overall purposes of the institution.

B. Financial contribution towards the overall costs of the project.

Each institution should contribute at least 10% of the cost of the project. Indicate the amount of financial support the institution will contribute *directly* towards the project, including funds to be used for materials, equipment, new storage or shelving space, environmental controls, bibliographic activities, staff time etc. Additional sources of funds used to support the project--grants from other agencies, special gifts or endowments, etc.--should be discussed here. These costs will be documented in the project budget, as discussed below.

VII. EDUCATION PRE-PLANNING (39 points)

A. Need for the proposed training.

Provide a justification for why this training is needed. Where local institutions surveyed on their preservation education needs? Have institutions already committed to sending staff?

B. Training objectives.

What information should the attendees leave the training with? Are there activities they will conduct after the workshop? For example, if the workshop is on disaster preparedness are the attendees expected to have a written disaster plan completed after the workshop? How will that be verified and reported?

C. Publicity.

How will the training be publicized to potential attendees? Will listservs, mailing lists, newsletters be used? How will wide publicity to all eligible institutions be achieved?

D. Information dissemination.

How will information materials created during the training be disseminated after the training period? Will a publication be created; will the training materials be shared on a web site?

PROJECT BUDGET (20 points)

The project budget must contain detailed cost figures that describe the **total project costs, the institutional contribution to the project, and the amount of the grant request.** The proposed budget should be considered a financial plan for the project that can be followed throughout the project with a minimum of change. It is *not* a rough estimate of project needs to be fleshed out at a later time.

Reviewers will rate the soundness of your budget in much the same way they rate the soundness of your plan of work. They will look to see if the costs are reasonable, if you have budgeted for all activities necessary to accomplish the project, and if your institutional contribution to the overall project costs is appropriate.

The project budget consists of five sections: **Salaries; Employee Benefits; Contracted Services; Supplies and Materials;** and **Equipment**. Complete columns A, B, and C of each section. *Enter whole dollar amounts only.*

Project Total

The **Project Total** (Column A) is the entire cost of *all* project services--it is equal to the sum of the Institutional Contribution and the Grant Request.

Institutional Contribution

The **Institutional Contribution** (Column B) is the portion of project total to be provided by the applicant institution or agency. Entries in this column should document the actual monetary contributions discussed in Section VI of the Project Description, discussed above. Applicants should *not* enter an assumed or equivalent value for volunteered personal services described in Section VI, but may indicate the monetary value of staff time contributed directly to the project.

Grant Request

The **Grant Request** (Column C) is the portion of project total being requested from the Discretionary Grant Program.

Do not fill in columns D and E when you submit your application. You will fill out **Expenses Submitted** (Column E) at the *end* of the project for the final report. **Grant Approved** (Column D) is for use by the Conservation/Preservation Program office staff.

All entries on the budget forms must be fully justified in the application. Entries in the budget not explained in the Project Description will not be considered for funding.

I. Salaries

List all persons to be employed by the project and their titles. After each entry indicate the full time annual salary rate (even if the position is not full time) and FTE rate.

"FTE" (full time equivalent) is the numerical representation of full or part time activities. A person working full time is represented by an FTE of 1.0, a person working half-time is 0.5 FTE, and so on. A representative entry would be:

J. J. Doe; Conservation Tech.
(\$16,500 x 0.5 FTE)

This entry indicates that J. J. Doe, a Conservation Technician will work half-time on the project at an annual salary rate of \$16,500. The amount entered opposite "J. J. Doe" in column A (project total) would therefore be \$8,250. If the institution is contributing the entire amount of the project total, \$8,250 should be entered in Column B, (institutional contribution). If the technician is to be hired for the project, and the entire amount of the salary is being requested from the Discretionary Grant Program, enter \$0 in column B, and \$8,250 in column C, (grant request).

Fill in the appropriate amounts in columns A, B, and C. Provide totals for columns A, B, and C in the space provided. Provide totals for columns A, B, and C in the space provided.

II. Employee Benefits

List all persons to be employed by the project. Fill in the appropriate amount of benefits to be paid for the

time they will work on the project in columns A, B, and C. Provide totals for columns A, B, and C in the space provided.

III. Purchased Services

List all services to be purchased for the project, arranged, as appropriate, under **Consultant Services** or **Contracted Services**. Attach cost estimates, bids, or other supporting data in an appendix.

Consultant Services include professional and technical advice that will be provided by individuals or groups of individuals. Consultants are normally retained for a short period to provide advice about specific aspects of the project. Consultants are normally expected to provide a report of their activities, usually at a time agreed upon before the consultancy begins. Provide the number of days the consultant is being hired for and their daily rate.

Contracted Services include professional or technical activities that will be performed by commercial vendors or qualified individuals. Contractual services are normally used for project activities that cannot be carried out by the institution, or for those activities that can be more economically performed by firms or individuals specializing in a particular service.

Fill in the appropriate amounts in Columns A, B, and C. Provide totals for columns A, B, and C in the space provided.

IV. Supplies & Materials

List all supplies and materials to be purchased for use during the project. Do not include supplies to be purchased by your vendor--the vendor's cost estimate will include the cost of materials as well as labor. Fill in the appropriate amounts in Columns A, B, and C. Provide totals for columns A, B, and C in the space provided.

V. Equipment

List all equipment that has a unit cost of \$5,000 or more that will be purchased for use during the project. Equipment items under \$5,000 should be budgeted under "Supplies and Materials." Include cost estimates, bids, or other supporting data in an appendix.

Fill in the appropriate amounts in Columns A, B, and C. Provide totals for columns A, B, and C in the space provided.

INSTITUTIONAL AUTHORIZATION

The signatures required on page 29 of the project budget indicate that information contained in the application and the budget is correct, that the project will be carried out as described, and that all materials being preserved through the Discretionary Grant Program are, or will be, available for reference, on-site examination, and/or loan.

In the indicated place, provide the typed name of the appropriate officials, their **original signatures**, and the date of their signatures. These forms must be included as an attachment to the online application.

COOPERATIVE APPLICATION AGREEMENT

The **Cooperative Application Agreement** (page 23 of the application) is required only for cooperative projects. Each participating institution in a cooperative application must submit the agreement. Fill in all blanks on the form. In the indicated place, provide the typed name of the agency director, his/her **original signature**, and the date of his/her signature. These forms must be included as an attachment to the online

application.

MICROFORM GUIDELINES AGREEMENT

The **Microform Guidelines Agreement** (page 24 of the application) is required only for reformatting—microform projects. Fill in all blanks on the form. In the indicated place, provide the typed name of the agency director and vendor agent, their **original signatures**, and the date of their signatures. These forms must be included as an attachment to the online application.

0305-12-

2011/2012 RATING SHEET

DISCRETIONARY GRANT PROGRAM

Evaluate the proposal based on the information provided in the application, and rate each factor listed below on a scale of “0” to “3,” with three being the best possible score. Factors not applicable to this particular application should be marked “NA”.

INSTITUTIONAL COMMITMENT TO CONSERVATION/PRESERVATION WORK

- adequacy of institutional conservation/preservation activities _____
- evidence that preserved materials will be adequately stored _____
- preparations for dealing with disasters _____
- adequacy of security arrangements _____
- participation and/or contribution to cooperative, regional or statewide conservation/preservation activities _____

Commitment subtotal (max 15)

ACCESSIBILITY OF COLLECTIONS TO THE PUBLIC

- availability of materials to potential users _____
- extent and adequacy of bibliographic controls _____

Accessibility subtotal (max 6)

RESEARCH VALUE OF MATERIALS TO BE PRESERVED

- appropriateness of materials for preservation with discretionary grant funds _____
- significance for research _____

Sum _____

Multiply by weighting factor: X3

Research Value subtotal (max 18)

PLAN OF WORK

- adequacy of timetable _____
- soundness of proposed activities, methods, and techniques _____
- qualifications of personnel and/or vendors _____

Sum _____

Multiply by weighting factor: X3

Plan of Work subtotal (max 27)

INSTITUTIONAL CONTRIBUTION TO THE PROJECT

- level of institutional staff support for the project _____
- level of institutional financial support for the project _____

Institutional Contribution (max 6)

BUDGET

- consistency of budgeted activities with project description _____
- overall cost effectiveness of project _____
- consistency of budgeted activities with eligible expenditures _____

Multiply by weighting factor: X2.23

Budget subtotal (max 20)

TOTAL SCORE (max 92 pts.)

REVIEWERS COMMENTS:

Include comments you think will be helpful to successful applicants in managing their projects, or to unsuccessful applicants seeking advice on improving proposals. Applicants are especially interested in comments that will explain low ratings in particular parts of the project description and which will explain your reservation about funding the proposal, or any part of it. (You may include on a separate sheet; please type or print neatly.)

Date

_____ Reviewer's Name _____

_____ Reviewer's Signature _____

EDUCATION PROPOSAL EVALUATION FORM

0305-12-

2011/2012 RATING SHEET

DISCRETIONARY GRANT PROGRAM

Evaluate the proposal based on the information provided in the application, and rate each factor listed below on a scale of "0" to "3," with three being the best possible score. Factors not applicable to this particular application should be marked "NA".

PLAN OF WORK

- adequacy of timetable _____
- soundness of proposed activities, methods, and techniques _____
- qualifications of personnel and/or vendors _____

Sum _____

Multiply by weighting factor: X3

Plan of Work subtotal (max 27)

INSTITUTIONAL CONTRIBUTION TO THE PROJECT

- level of institutional staff support for the project _____
- level of institutional financial support for the project _____

Institutional Contribution (max 6)

EDUCATION PRE-PLANNING

- need for the proposed training _____
- training objectives _____
- publicity _____
- information dissemination _____

Sum _____

Multiply by weighting factor: X3.25

Education Pre-Planning subtotal (max 39)

BUDGET

- consistency of budgeted activities with project description _____
- overall cost effectiveness of project _____
- consistency of budgeted activities with eligible expenditures _____

Multiply by weighting factor: X2.23

Budget subtotal (max 20)**TOTAL SCORE (max 92 pts.)****REVIEWERS COMMENTS:**

Include comments you think will be helpful to successful applicants in managing their projects, or to unsuccessful applicants seeking advice on improving proposals. Applicants are especially interested in comments that will explain low ratings in particular parts of the project description and which will explain your reservation about funding the proposal, or any part of it. (You may include on a separate sheet; please type or print neatly.)

Date

Reviewer's Name

Reviewer's Signature

SOURCES OF ADVICE AND ASSISTANCE

These listings contain sources for initial contact from which additional referrals may be obtained. This listing was developed to assist New Yorkers and, therefore, contains references to organizations either in or easily accessible to New York. Private companies and individuals in private practice are not included, but referrals may be obtained from sources in this listing.

I. TRAINING

The following organizations have sponsored preservation workshops and seminars. Many training opportunities in library and archives preservation are listed in many regional newsletters.

Conservation service centers and programs:

Conservation Center for Art and Historic Artifacts 264 South 23rd Street Philadelphia, PA 19103 (215) 545-0613 www.ccaha.org	Northeast Document Conservation Center 100 Brickstone Square Andover, MA 01810-1494 (978) 470-1010 www.nedcc.org
NY State Conservation/Preservation Program Division of Library Development 10B41 Cultural Education Center Albany, NY 12230 (518) 474-7890 www.nysl.nysed.gov/libdev/cp	

New York's three regional historical service organizations:

Greater Hudson Heritage Network 2199 Saw Mill River Road Elmsford, NY 10523 (914) 592-6726 (914) 592-6946 (fax) www.greaterhudson.org	Museumwise (formerly Upstate History Alliance) 11 Ford Avenue Oneonta, NY 13820 (800) 895-1648 (607) 431-9524 (fax) email: info@museumwise.org http://www.museumwise.org/
Western NY Association of Historical Agencies P.O. Box 39 Getzville, NY 14068 (716) 439-6293 email: wnyaha@yahoo.com www.wnyaha.org/	

Regional and national library and archival organizations offer workshops and sessions on preservation and related topics at their meetings and conferences:

Technical assistance for archival programs is provided to institutions through the Documentary Heritage Program

<p>Capital District Region (Albany, Fulton, Hamilton, Montgomery, Rensselaer, Saratoga, Schoharie, Schenectady, Warren, Washington)</p> <p>Susan D'Entremont, Regional Archivist Capital District Library Council for Reference and Research Resources (CDLC) 28 Essex Street Albany, NY 12206-2027 (518) 438-2601 (518) 438-2872 (fax) email: Susan@cdlc.org</p>	<p>Central New York Region (Herkimer, Madison, Oneida, Onondaga)</p> <p>Susan Hughes, Regional Archivist Central New York Library Resources Council (CLRC) 6493 Ridings Road Syracuse, NY 13206 (315) 446-5446 (315) 446-5590 (fax) email: hughes@clrc.org</p>
<p>Hudson Valley Region (Columbia, Dutchess, Greene, Orange, Putnam, Rockland, Sullivan, Ulster)</p> <p>Dianne Macpherson, Coordinating Regional Archivist Lower Hudson Conference 2199 Saw Mill River Road Elmsford, NY 10523 (914) 592-6726 (914) 592-6946 (fax) email: lowerhudson@email.msn.com</p>	<p>Long Island Region (Nassau, Suffolk)</p> <p>Virginia Antonucci, Regional Archivist Long Island Library Resources Council (LILRC) Melville Library Bldg., Suite E5310 Stony Brook, NY 11794-3399 (631) 632-6656 (631) 632-6662 (fax) email: dhp@lilrc.org</p>
<p>Metropolitan New York Region (Five Boroughs of New York City, Westchester)</p> <p>Dottie Hiebing, Executive Director, METRO Metropolitan New York Library Council (METRO) 57 East 11th Street, 4th Floor New York, NY 10003-4605 (212) 228-2320 (212) 228-2598 (fax) email: dhiebing@metro.org</p>	<p>Northern New York Region (Clinton, Essex, Franklin, Jefferson, Lewis, Oswego, St. Lawrence)</p> <p>John Hammond, Executive Director, NNYLN Northern New York Library Network (NNYLN) 6721 US Highway 11 Potsdam, NY 13676 (315) 265-1119 (315) 265-1881 (fax) email: john@nnyln.org</p>
<p>Rochester Region (Livingston, Monroe, Ontario, Wayne, Wyoming)</p> <p>Preston Pierce, Regional Archivist Rochester Regional Library Council (RRLC) 390 Packetts Landing, P.O. Box 66160 Fairport, NY 14450 (585) 223-7570 (585) 223-7712 (fax) email: ppierce@rrlc.org</p>	<p>South Central New York Region (Allegany, Broome, Cayuga, Chemung, Chenango, Cortland, Delaware, Otsego, Schuyler, Seneca, Steuben, Tioga, Tompkins, Yates)</p> <p>Stephanie Lehner, Regional Archivist Upstate History Alliance (UHA) 11 Ford Avenue Oneonta, NY 13820 (800) 895-1648 (607) 431-9524 (fax) email: stephanie@upstatehistory.org</p>

<p>Western New York Region (Cattaraugus, Chautauqua, Erie, Genesee, Niagara, Orleans)</p> <p>Heidi Bamford, Regional Archivist Western New York Library Resources Council (WNYLRC) 4455 Genesee Street, P.O. Box 400 Buffalo, NY 14225-0400 (716) 633-0705, ext. 114 (716) 633-1736 (fax) email: hbamford@wnylrc.org</p>	
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REGIONAL LIBRARY AND ARCHIVAL ORGANIZATIONS

<p>Archivists Roundtable of Metropolitan New York Ira Galtman, President Manager American Express Corporate Archives 541 West 21st Street, 7th floor New York, NY 10011 (212) 414-3152 email: Ira.Galtman@prodigy.net http://www.nycarchivists.org</p>	<p>Greater Hudson Heritage Network 2199 Saw Mill River Road Elmsford, NY 10523 (914) 592-6726 (914) 592-6946 (fax) email: director@greaterhudson.org</p>
<p>Mid-Atlantic Regional Archives Conference (MARAC) PO Box 710215 Oak Hill, VA 20171 (703) 476-1807 (703) 476-1806 (fax) email: marac@lamoureux.us</p>	<p>New York Archives Conference Geoffrey P. Williams (Chair) University Archivist/Campus Records Officer University at Albany, SUNY University Archives, LE 356 1400 Washington Avenue Albany, NY 12222 (518) 437-3936 (518) 437-3930 (fax) email: gwilliams@uamail.albany.edu www.nyarchivists.org</p>
<p>New York Library Association (NYLA) 252 Hudson Street Albany, NY 12210 (518) 432-6952 http://nyla.org/</p>	<p>New York State Historical Association Lake Road P. O. Box 800 Cooperstown, NY 13326 (888) 547-1450 email: m.bruce@nysha.org http://www.nysha.org</p>
<p>Upstate History Alliance (UHA) 11 Ford Avenue Oneonta, NY 13820 800-895-1648 (607) 431-9524 (fax) email: info@upstatehistory.org</p>	

NATIONAL LIBRARY AND ARCHIVAL ORGANIZATIONS

<p>American Association of Museums (AAM) 1575 Eye Street, NW Suite 400 Washington, DC 20005 (202) 289-1818 email: servicecentral@aam-us.org www.aam-us.org/</p>	<p>American Association for State and Local History (AASLH) 1717 Church Street Nashville, TN 37203-2991 (615) 320-3203 email: membership@AASLH.org www.aaslh.org</p>
<p>American Institute for Conservation of Historic and Artistic Works 1156 15th Street, NW, Suite 320 Washington, DC 20005-1714 (202) 452-9545 (202) 452-9328 (fax) email: info@conservation-us.org http://www.conservation-us.org/</p>	<p>American Library Association (ALA) 50 East Huron Street Chicago, IL 60611 (800) 545-2433 www.ala.org</p>
<p>National Association of Government Archives & Records Administrators (NAGARA) 90 State Street, Suite 1009 Albany NY 12207 (518) 463-8644 (518) 463-8656 (fax) email: nagara@caphill.com www.nagara.org</p>	<p>Society of American Archivists (SAA) 17 North State Street, Suite 1425 Chicago, IL 60602-3315 (312) 606-0722 (312) 606-0728 (fax) www.archivists.org/</p>

II. SURVEYS - GENERAL PRESERVATION

Formal training programs for conservators and preservation administrators may be a source for survey consultants:

Buffalo State College Art Conservation Department 230 Rockwell Hall 1300 Elmwood Avenue Buffalo, NY 14222-1095 (716) 878-5025 email: artcon@buffalostate.edu www.buffalostate.edu/depts/artconservation	Conservation Program Institute of Fine Arts New York University The Stephen Chan House 14 East 78th Street New York, NY 10021 (212) 772-5800 http://www.nyu.edu/gsas/dept/fineart/
The William and Mary Kilgarlin Center for Preservation of the Cultural Record (Formerly Preservation/Conservation Education Program, GSLIS) University of Texas at Austin 2 University Station D7000 Austin, TX 78712 (512) 471-8290 (512) 471-8285 (fax) email: kilgarlin@ischool.utexas.edu www.ischool.utexas.edu/kilgarlin/about.php	

Other sources of survey consultants may be found by contacting the three historical service agencies (p. 39) and the regional resources listed above, as well as these organizations:

Conservation Center for Art and Historic Artifacts 264 South 23rd Street Philadelphia, PA 19103 (215) 545-0613 email: ccaha@ccaha.org www.ccaha.org	Northeast Document Conservation Center 100 Brickstone Square Andover, MA 01810-1428 (978) 470-1010 email: nedcc@nedcc.org www.nedcc.org
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III. SOURCES OF PRESERVATION SUPPLIES

In addition to commercial suppliers, the three regional historical service agencies listed on page 43 often purchase preservation supplies (acid-free materials) in volume and offer small quantities to members at reasonable rates. Reference and Research Library Resource Systems may provide publications or information about sources of supplies. Any institution already carrying out preservation activities will also know of supply sources.

IV. FUNDING

A number of national, state and local agencies and foundations provide funds for preservation activities. The agency should be contacted directly for information on funding guidelines, priorities and filing deadlines.

<p>Institute of Museum Library Services 1800 M Street NW, 9th Floor Washington, DC 20036-5802 (202) 653-4700 (Discretionary): (202) 653-4601 (fax) (State Programs): (202) 653-4602 (fax) www.imls.gov</p>	<p>The Samuel H. Kress Foundation 174 East 80th Street New York, NY 10075 (212) 861-4993 (212) 628-3146 (fax) www.kressfoundation.org</p>
<p>The Andrew Mellon Foundation 140 East 62nd Street New York, NY 10021 (212) 838-8400 (212) 500-2302 (fax) email: inquiries@mellon.org</p>	<p>National Endowment for the Humanities Office of Preservation, Room 802 1100 Pennsylvania Avenue, NW Washington, DC 20560 (202) 786-0570 (800) NEH-1121 email: info@neh.gov www.neh.gov</p>
<p>National Historical Publications & Records Commission National Archives and Records Administration (NARA) 700 Pennsylvania Avenue NW, Room 111 Washington, DC 20408-0001 (866) 272-6272 www.archives.gov/nhprc/</p>	

V. TECHNICAL ADVICE AND INFORMATION

<p>Conservation Center for Art and Historic Artifacts 264 South 23rd Street Philadelphia, PA 19103 (215) 545-0613 www.ccaha.org</p>	<p>Image Permanence Institute Rochester Institute of Technology 70 Lomb Memorial Drive Rochester, NY 14623-5604 (585) 475-5199 email: ipiwww@rit.edu www.imagepermanenceinstitute.org</p>
<p>International Museum of Photography at George Eastman House Conservation Laboratory 900 East Avenue Rochester, NY 14607 (716) 271-3361 www.eastmanhouse.org</p>	<p>New York State Archives Cultural Education Center Albany, NY 12230 (518) 474-6926 email: sarainfo@mail.nysed.gov www.archives.nysed.gov</p>

<p>New York State Conservation/Preservation Program Division of Library Development 10B41 Cultural Education Center Albany, NY 12230 (518) 474-7890 www.nysl.nysed.gov/libdev/cp</p>	<p>New York State Office of Parks and Recreation Collections Care Center, Bureau of Historic Sites Division for Historic Preservation Peebles Island, PO Box 189 Waterford, NY 12188-0189 (518) 237-8643 http://nysparks.state.ny.us/shpo/</p>
<p>Northeast Document Conservation Center 100 Brickstone Square Andover, MA 01810-1428 (978) 470-1010 www.nedcc.org</p>	<p>Preservation Resources A Division of OCLC Online Computer Library 9 South Commerce Way Bethlehem, PA 18017-8700 (610) 758-8700; (800) 773-7222 (610) 758-9700 (fax) email: presres@oclc.org</p>

For collections assessment surveys, consultant references and conservation supplies:

<p>Greater Hudson Heritage Network 2199 Saw Mill River Road Elmsford, NY 10523 (914) 592-6726 www.greaterhudson.org</p>	<p>Upstate History Alliance (UHA) 11 Ford Avenue Oneonta, NY 13820 (800) 895-1648 (607) 431-9524 (fax) email: info@upstatehistory.org www.upstatehistory.org</p>
<p>Western NY Association of Historical Agencies P.O. Box 39 Getzville, NY 14068 (716) 439-6293 email: wnyaha@yahoo.com www.wnyaha.org</p>	

Preservation program officers at the following comprehensive research libraries may also be contacted for advice:

<p>Binghamton University Jean Green, Head of Special Collections Preservation and University Archives Binghamton, NY 13902-6012 (607) 777-3912 email: jgreen@binghamton.edu</p>	<p>Columbia University Janet Gertz Director for Preservation 101C Butler Library 535 West 114th Street New York, NY 10027 (212) 854-5757 email: gertz@columbia.edu</p>
<p>Cornell University Barbara Berger Eden, Director Cornell University Library Dept. of Preservation & Collections Maintenance B15 Olin Library Ithaca, NY 14853 (607) 255-5291 email: beb1@cornell.edu</p>	<p>Evelyn Frangakis Aaron & Clara Greenhut Rabinowitz Chief Librarian for Preservation—Barbara Goldsmith Preservation Division The New York Public Library Fifth Avenue and 42nd Street New York, NY 10018 (212) 930-0567 email: efrangakis@nypl.org</p>
<p>New York State Library Liza Duncan Principal Librarian Technical Services and Systems Cultural Education Center, 6th Floor Albany, NY 12230 (518) 474-5946 email: lduncan@mail.nysed.gov</p>	<p>New York University Paula DeStefano Head of Preservation Department Elmer Holmes Bobst Library 70 Washington Square South New York, NY 10012 (212) 998-2563 email: paula.destefano@nyu.edu</p>
<p>SUNY Albany Karen Brown Preservation Librarian University Libraries-LE 310 1400 Washington Avenue Albany, NY 12222 (518) 437-3923 email: kebrown@uamail.albany.edu</p>	<p>SUNY at Buffalo Ronald Gaczewski, Preservation Officer Preservation Department B42 Lockwood Library Building Buffalo, NY 14260 (716) 645-6212 Ext. 245 email: rvg@buffalo.edu</p>
<p>SUNY at Stony Brook Richard Feinberg, Preservation Librarian Melville Library Stony Brook, NY 11794-3300 (631) 632-9960 email: rfeinberg@notes.cc.sunysb.edu</p>	<p>Syracuse University Peter D. Verheyen Head of Preservation and Conservation Syracuse University Library Syracuse, NY 13244 (315) 443-9756 email: pdverhey@syr.edu</p>
<p>University of Rochester Richard Peek Division of Rare Books, Special Collections & Preservation Rush Rhees Library Rochester, NY 14627-0055 (585) 275-9335 email: rpeek@library.rochester.edu</p>	

BIBLIOGRAPHY

This bibliography is not comprehensive. Instead, it is a selection of current, available materials that will be useful in introducing general preservation topics to people responsible for library and archival collections.

General Preservation Manuals and Technical Leaflets

American Association of State and Local History. AASLH publishes a Technical Leaflet Series, a Technical Report series, and a NICLOG Technical Leaflet Series and other publications that cover preservation topics such as environmental controls, care, handling and storage and general topics such as collections management, exhibitions and interpretation. Publications such as NIC #105, *Basic Preservation of Local Government Records*; NIC #111, *Environmental Controls*; NIC #110, *Micrographics*; TR #3, *How to Control Environmental Conditions in Historical Agencies and Museums*; and TR #9, *Using, Managing and Preserving the Records of Your Historical Organization* are some of the useful publications available from this organization. **To order contact:** AASLH, 172 Second Avenue N., Suite 202, Nashville, TN 37201, (615) 255-2971.

Association of Research Libraries. Office of Management Studies. Systems and Procedures Exchange Center. Washington, DC. Titles include: *Preservation Guidelines in ARL Libraries*. SPEC Kit # 137. 1987; *Preservation Planning Program. Assisted Self-Study Manual and Resource Notebook*. 1987. **To order contact:** Association of Research Libraries, 1527 New Hampshire Avenue, N.W., Washington, DC, 20036. (202) 232-8656

Boomgaarden, Wesley. "Preservation Planning for the Small Special Library." *Special Libraries* (Summer 1985): 204-11.

Canadian Conservation Institute, Technical Bulletins.
Titles include: TB1, *Relative Humidity; Its Importance, Measurement & Control in Museums*; TB3, *Recommended Environmental Monitors for Museums, Archives and Art Galleries* and others.
To order contact: Richard Bedard, CCI, 1030 Innes Road, Ottawa, Ontario, K1A 0C8 CANADA, (613) 998-3721 (FAX # is the same). Ask for a list of publications.

Canadian Conservation Institute, CCI Notes.
Titles include: N11/1, *Protective Enclosures for Books and Paper Artifacts*; N14/1, *Planning for Disaster Management: Introduction*, among others. **To order contact:** Richard Bedard, CCI, 1030 Innes Road, Ottawa, Ontario, K1A 0C8 CANADA, (613) 998-3721 (FAX # is the same). Ask for a list of publications.

Fox, Lisa. *A Core Collection in Preservation*. ALCTS, ALA. Chicago 1993. 2nd ed.

Morrow, Carolyn Clark. *The Preservation Challenge: A Guide to Conserving Library Materials*. White Plains, N.Y.: Knowledge Industry Publications, 1983. Available on special order from most bookstores and from conservation materials suppliers.

National Association of Government Archives and Records Administrators. *NAGARA GRASP: Guide and Resources for Archival Strategic Preservation Planning*. Funded by the National Historical Publications and Records Commission. Consists of: 1) an interactive computer preservation self-study program, 2) a printed manual with work outlines of preservation projects and 3) a resource compendium -- a compilation of articles and other readings. Anticipated publication Winter 1990. **For more information contact:** Bonnie Curtin, Project Director, Georgia Dept. of Archives and History, 330 Capitol Ave, Atlanta, GA 30334, (404) 651-9272.

New York State Conservation Consultancy. *Conservation Bulletins*.

Titles include: Basic Principles of Storage, Emergency Planning, and Supplies and Suppliers, among others. **To order contact:** NYSCC, 2199 Saw Mill River Road, Elmsford, NY 10523, (914) 592-6726.

Paris, Jan. *Choosing and Working with a Conservator*. Atlanta: SOLINET Preservation Program, Southeastern Library, Network, Inc., 1990. SOLINET, 1438 Peachtree Street, Suite 200, Atlanta, GA 30309-2955, (800-999-8558, FAX 404-892-7879). \$10.00 prepayment.

Ritzenthaler, Mary Lynn. *Preserving Archives and Manuscripts*. SAA Basic Manual Series. Chicago: Society of American Archivists, 1993. **To order contact:** SAA, 600 S. Federal Suite 504, Chicago, IL, 60605, (312) 922-0140. Ask for a list of publications.

Southeastern Library Network, Inc. Preservation Program Information Leaflets.

Titles include: #1, *Environmental Specifications for the Storage of Library and Archival Materials*, April 1985; #2,3, *Some Sources of Conservation/Preservation Supplies and Equipment*, July 1989; #4,3, *Some Sources of Custom Fit Book Boxes*, August 1989; #5, *The Invasion of the Giant Spore*, November 1987. **To order contact:** SOLINET, 1438 W. Peachtree Street, NW Suite 2000, N.E., Atlanta, GA 30309-2955, (404) 892-0943 or 1-(800) 999-8558.

Archival Management

Archives Assessment and Planning Workbook. Edited by Paul H. McCarthy. Chicago: Society of American Archivists, 1989. **To order contact:** SAA, 600 S. Federal, Suite 504, Chicago, IL, 60605, (312) 922-0140.

New York State Archives and Records Administration. (SARA) *Managing Local Government Records*. Albany: New York State Education Department, 1985. **Available free of charge from:** SARA, Cultural Education Center, Albany, NY 12230, (518) 474-6926.

New York State Archives and Records Administration (SARA). Information Leaflet on Records management and archival administration topics. This leaflet, although primarily directed toward local government collections, is useful to many with archival collections. Technical Leaflet #36 *Intrinsic Value of Local Government Archival Records* deals specifically with preservation topics. **Available free of charge from:** SARA, Local Government Records Bureau, Cultural Education Center, Albany, NY 12230, (518) 474-6926.

Disaster Preparedness Planning

Johanna Wellheiser and Jude Scott. *An Ounce of Prevention: Integrated Disaster Planning for Archives, Libraries, and Record Centres*, 2d ed. Lanham, Maryland and London; The Scarecrow Press and Canadian Archives Foundation, 2002.

Contingency Planning. Toronto Area Archivist Group, 1985. **To order contact:** Toronto Area Archivists Group Education Foundation, P.O. Box 97, Station F, Toronto, Ontario CANADA M42L4. Limited supply available.

Hendriks, Klaus B. and Brian Lesser. "Disaster Preparedness and Recovery: Photographic Materials." *American Archivist*, Vol. 46, No. 1, Winter 1983. *American Archivist* is a publication of the Society of American Archivists, 600 S. Federal, Suite 504, Chicago, IL 60605.

New York State Library, Division of Library Development. "Disaster Preparedness Planning Resource Packet," 1988. **To order contact:** the Conservation/Preservation Program Office, New York State Library Division of Library Development, 10B41 Cultural Education Center, Albany, NY 12230, (518) 474-7890. Included in the packet is a self-help guide for writing a disaster Plan, instructions for air drying wet library and archival materials, a copy of "Procedures For Salvage of Water-damaged Library Materials," the information sourcebook "Hell and High Water," a list of statewide disaster planning and recovery volunteers, and other materials.

Waters, Peter. *Procedures for Salvage of Water-Damaged Library Materials*, 2nd edition. Washington, D.C.: Library of Congress, 1979. A copy is included in the New York State Disaster Preparedness Planning Resource Packet available from the New York State Library's Division of Library Development office (518) 474-7890.

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Lull, William P. and M. A. Garrison. "Planning and Design of Museum Storage Environments." *Registrar* 5, no. 2 (Spring 1988): 4-14.

New York State Library, Division of Library Development. "Environmental Control Resource Packet," 1991. **To order contact:** the New York State Library's Division of Library Development, 10B41, Cultural Education Center, Albany, NY 12230, (518) 474-7890.

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Stolow, Nathan. *Procedures and Conservation Standards for Museum Collections in Transit and on Exhibition*. Paris, UNESCO, 1981. **Available from:** the International Council on Archives, 60 rue des Francs-Bourgeois, 75003, Paris, France.

Thomson, Garry. *The Museum Environment*, 2nd edition. London: Butterworths, 1986. Available on special order from most bookstores and conservation materials suppliers.

Reformatting/Microforms

International Micrographics Source Book. Larchmont, NY: Microfilm Publishing Inc., 1989. This is a reference book of micrographic services and equipment. **To order contact:** Microfilm Publishing, Inc., P.O. Box 950, Larchmont, NY 10538, (914) 834-3044.

Microforms in Libraries: A Manual for Evaluation and Management. Chicago: American Library Association, 1985. **To order contact:** ALA, 50 E. Huron St., Chicago, IL 60611, 1 (800) 545-2433.

Preservation Microfilming: A Guide for Librarians and Archivist's 2nd ed. Edited by Lisa Fox. Chicago: American Library Association, 1995. **To order contact:** ALA, 50 East Huron Street, Chicago, IL 60611, 1-(800) 545-2433. Ask for the ALA Publications Checklist also for a complete listing of available ALA current publications.

Microforms in Libraries: A Manual for Evaluation and Management. Chicago: American Library Association, 1985. **To order contact:** ALA, 50 E. Huron St., Chicago, IL 60611, 1 (800) 545-2433.

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Research Libraries Group. RLG Microfilming Handbook: Mountain View, 1992. Research Libraries Group, Inc. To order contact: RLG, 1200 Villa Street, Mountain View, CA 94041-1100, (415) 962-9951. \$75.00 plus \$5.00 shipping /handling; sales tax added to order in certain states.

Reformatting/Non-Microforms

Association of Recorded Sound Collections. *Audio Preservation: A Planning Study*. Silver Springs: Association of Recorded Sound Collections, 1988. This publication was produced as a result of an NEH funded project. Contains a bibliography and glossary of terms. **To order contact:** Elwood McKee, Project Director, 118 Monroe St, Apt. 610, Rockville, MD 20850.

Canadian Conservation Institute. *Care of Black and White Photographic Glass Plate Negatives*. Ottawa: Canadian Conservation Institute, 1986. CCI Notes # 16/2. **To order contact:** Richard Bedard, CCI, 1030 Innes Rd., Ottawa, CANADA K1A 0M8, (613) 998-3721.

Canadian Conservation Institute. *Care of Encased Photographic Images*. Ottawa: Canadian Conservation Institute, 1986. CCI Notes # 16/1. **To order contact:** Richard Bedard, CCI, 1030 Innes Rd., Ottawa, CANADA K1A 0M8, (613) 998-3721.

Eastman Kodak Company. *The Book of Film Care*. Rochester, NY: Eastman Kodak Company, 1983. Publication no. H-23. **To order contact:** Eastman Kodak Company, 2400 Mt. Read Blev., Dept. 454, Rochester, NY 14650.

Eastman Kodak Company. *Copying and Duplicating in Black and White and Color*. Rochester, NY: Eastman Kodak Company, 1984. Publication no M-1. **Available from:** the Image Permanence Institute, Rochester Institute of Technology, RIT City Center, 50 West Main St., Rochester, NY 14614, (716) 475-5199.

Eastman Kodak Company. *Conservation of Photographs*. Rochester, NY: Eastman Kodak Company, 1985. Publication No F-40. **Available from:** the Image Permanence Institute, Rochester Institute of Technology, RIT City Center, 50 West Main St., Rochester, NY 14614, (716) 475-5199.

Hendriks, Klaus B. *The Preservation and Restoration of Photographic Materials in Archives and Libraries: A RAMP Study with guidelines*. Paris: UNESCO, 1984. **Available from:** the International Council on Archives, 60 rue de Francs-Bourgeois, 75003, Paris, France.

Reilly, James M. *Care and Identification of 19th-Century Photographic Prints*. Rochester, NY: Eastman Kodak Co., 1986. Kodak Publication #G-2S. **Available from:** the Image Permanence Institute, Rochester Institute of Technology, RIT City Center, 50 West Main St., Rochester, NY 14614, (716) 475-5199.

Library Binding

Merrill-Oldham, Jane and Paul Parisi. *A Librarian's Guide to the LBI Standard*. Chicago: American Library Association. This is a guide to the Library Binding Institute Standard. **To order Contact:** ALA, 50 E. Huron St., Chicago, IL 60611, 1-(800) 545-2433.

Walker, Gay. "Library Binding as a Conservation Measure." *Collection Management*, Vol. 4 (1/2), The Haworth Press, Inc., Spring/Summer 1982. Also reprinted in *The New Library Scene* (April 1984), vol 3, no. 2.

Reilly, James M. *Storage Guide for Color Photographic Materials*. Caring for color slides, prints, negatives, and movie films. **To order contact:** The New York State Program for the Conservation & Preservation of Library Research Materials, Room 10B41, Cultural Education Center, Albany, NY 12230; Phone (518) 474-7890; FAX (518) 486-5254.

Deposit Agreement and Procedures (2011/2012)

Storage Environment:

The New York State Education Department (NYSED) will provide long term storage of digital audio files created through grants funded by the New York State Program for the Conservation and Preservation of Library Research Materials. The creation of these files will follow the guidelines set out in the “Grammy Foundation ® Basic Methodology for Preservation, Conservation and Archiving Recorded Media”.

Files will be sent to NYSED on a removable hard drive. Files will be transferred to an appropriate server environment, reviewed, inventoried and compared to the metadata that is transferred. Once the files have been verified, they will be transferred to off-line storage on tape for long term storage. NYSED will maintain two copies of all tapes in two separate physical locations. When an institution migrates or modifies any files that have been previously transferred to NYSED, it is the institutions responsibility to transmit a new copy of the file to NYSED who will then delete the old file and follow the same procedures to store the new version of the file. NYSED will not offer migration services to institutions.

Metadata:

Institutions should transfer, in digital form on the original transfer media a complete set of preservation metadata for all transferred files. Preservation metadata should minimally conform to the recommendations made in PREMIS (www.loc.gov/standards/premis/).

Transfer of Files:

Files should be sent to the NYSED via a removable hard drive. If hard drives are mailed, institutions are responsible for acquiring appropriate insurance and documentation to insure that the material has been delivered and protected during shipment.

A signed deposit agreement should accompany the files. See below for the deposit agreement. The hard drive and documentation should be sent to:

Barbara Lilley
Conservation/Preservation Program
New York State Library
10B41 Cultural Education Center
Albany, NY 12230
(518) 486-4864
(blilley@mail.nysed.gov)

NYSED will provide formal, written acknowledgement of the transfer to the depositing institution.

Access and Retrieval of Files:

NYSED will act as a long term storage provider. Institutions are responsible for maintaining their own duplicate copies of any material transferred to NYSED. Should an institution require retrieval of files from NYSED, the institution should contact back-up Barbara Lilley at the address provided above and provide her with the identifiers of the files that are required. NYSED will retrieve and ship the files via removable hard drive to the requesting institution within five business days.

Under no circumstances will institutions files be released to any other person or organization.

Deaccessioning of Files:

Only files that have been migrated to another file format or replaced by the depositing institution will be deaccessioned. NYSED will provide formal, written acknowledgement of the deaccession to the depositing institution.

Documentation of Transfer (2011/2012)

New Transfer

Replacement Files

Name of Institution and subdivision (as appropriate):

Name and contact information of primary contact for transfer:

Brief description of transfer (e.g. Presidential Lecture Recordings):

Date of Transfer:

Number of physical devices (e.g. Hard Drives)

Number of files contained on physical devices (including metadata files):

Number of audio files contained on physical devices.

Special Instructions:

Authorized Signature:

Received by:

Checked by: