

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(c) 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 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.

AMOUNT OF AWARDS & DURATION OF PROJECTS

Grant awards in 2017/2018 will normally be limited to a minimum of \$2,500 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 2017/2018 grant cycle for projects beginning **July 1, 2017**. 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 all types of projects, the minimum is 20 staff/volunteer hours. Funds must be used for project activities carried out before **June 30, 2018**.

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. 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> .

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

- a. *General preservation surveys will no longer be funded directly through this grant program. The Office of Cultural Education has contracted with the Conservation Center for Art and Historic Artifacts (CCAHA) to provide general preservation surveys and preservation workshops. To find out more about how to apply for a survey visit the Conservation/Preservation Program web page at www.nysl.nysed.gov/libdev/cp 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 item-by-item examination of a particular collection, environmental surveys, feasibility studies, and consultancies to determine the extent of an institution's preservation problems. 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.

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. 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 27. The **Microform Guidelines Agreement** is on page 24 of the online 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 ensure 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 ensure 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. **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 <https://www.grammy.org/grammy-foundation/grants>. 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 ensure 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 the Attachment for the "Deposit Agreement and Procedures". Applicants should also make arrangements on their own for long term storage and maintenance of the files to ensure 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 ensure 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 ensure 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 ensure 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 ensure 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 ensure 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 will no longer be used to fund workshops or be used to provide specialized training for staff responsible for the care of eligible research materials. Workshops, consultancies, and other assistance will be available to New York State cultural organizations through a statewide contract with the Conservation Center for Art and Historic Artifacts. Information on these services is available at www.nysl.nysed.gov/libdev/cp.