

NYS Archives Local Government Records Management Improvement Fund (LGRMIF)

Phase I Record Retention Program: File Inventory with Retention Schedule

VILLAGE OF JOHNSON CITY, NEW YORK

Request for Proposals

for

Records Management Consultant Services

September 19th, 2025

INSTRUCTIONS TO BIDDERS

BACKGROUND

The Village of Johnson City manages and stores the inactive records of several Village departments within its municipal building. Previously, each department has maintained their specific records series individually, with no overall procedure in place for storage, retention or disposition. Many Village staff are unaware of the varying retention periods for each record series, leading to records being stored by Johnson City far longer than necessary. In 2023 Johnson City moved into a new municipal building. During the move, records were loaded onto pallets with little or no organization system and delivered to the new Village Hall. Johnson City has struggled to develop a records management system that will efficiently serve every department since.

The Village of Johnson City aims to improve the management of records during both the active and inactive phases of their life cycle. The primary goal is to generate a records inventory of approximately 24,000 cubic feet of storage space to determine what records currently exist, identify obsolete records, improve organization methods, control records, and chart a course for the future of records management programs.

For this project, the Village seeks a qualified firm to assess active and inactive documents for the Department of Public Works, Planning Department, Fire Department, Code Enforcement Office, and Payroll and Clerks' Offices to generate a Records Inventory and Records Management Plan to prepare for a Phase II Document Conversion and Access project. A more detailed project scope is included on page 4 of this RFP with supplemental guidance attached as Appendix A.

The project will be funded by a 2026 State Archives LGRMIF award.

GENERAL INFORMATION

1. Invitation – The Village of Johnson City is inviting sealed responses from qualified individuals for the NYS ARCHIVES RECORDS RETENTION PHASE I PROGRAM detailed in the accompanying Request for Proposals (RFP). RFPs will be received until **3:00 p.m. local time on Wednesday, October 15, 2025**. Any RFP received after the time and date specified will not be considered.

2. Submittal of RFP– One (1) original, one (1) copy, and one (1) pdf version on a digital medium (e.g. USB thumb drive) of the RFP shall be delivered or mailed with any required data in a sealed envelope addressed to:

Planning Department
Village of Johnson City
60 Lester Avenue
Johnson City, New York 13790

3. Inquiries – Any inquiries or requests for explanation regarding this RFP must be received by 12:00 p.m. local time Wednesday, October 1, 2025. No oral interpretation or clarifications will be given. Prospective responders desiring further information or interpretations must make requests by e-mail. All inquiries together with Village of Johnson City's response will be issued to all prospective responders well in advance of the date for proposal submission. Requests for information should be addressed to:

Allison Button, Community Development Administrator

cdevadmin@villageofjc.com

4. Form of RFP – Responses to the RFP should be prepared in the format set forth in the accompanying documents, including a full description of the responder's experience. A non-responsive or incomplete response will be removed from consideration.

Prior to the opening of responses, the Village may amend through Addenda the RFP specifications to correct errors or omissions or to supply additional information as it becomes available. All Addenda will be provided to all respondents no later than three (3) days prior to the date the qualification statements and cost proposals are due.

5. VILLAGE'S RIGHTS - THE VILLAGE RESERVES THE RIGHT TO NEGOTIATE WITH ANY OR ALL RESPONDERS; TO REJECT ANY OR ALL RFPs, IN WHOLE OR ANY PART THEREOF; TO RE-SOLICIT FOR RFPs; AND TO WAIVE ANY MINOR NON-CONFORMITIES IN ACCORDANCE WITH THE VILLAGE'S DETERMINATION OF ITS OWN BEST INTERESTS.

6. Fees - The response must clearly present the basis for the responder's compensation or fee structure for all services described in the response. If a particular service is "value added" the response shall so state. The fees shall include all ordinary operating expenses incurred by the firm. Extraordinary expenses incurred at the request of and with the consent of the Village will be reimbursed.

8. RFP Longevity - A RFP may be withdrawn at any time prior to the date specified as the closing date for acceptance; however, no responder may withdraw or cancel their response for a period of forty-five (45) days following the closing date for acceptance, nor shall the successful responder withdraw, cancel or modify the response, after having been notified that the RFP has been accepted by the Village, except at the request of the Village or with the Village's written consent.

9. Evaluation of RFP – Responses to the RFP will be judged upon award of the NYS Archives LGRMIF grant and the responder's ability to provide services, which meet the requirements set forth in the accompanying documents. The Village reserves the right to make such investigations as it deems necessary to determine the ability of the responder to provide services meeting a satisfactory level of performance in accordance with the Village's requirements.

10. Interviews –An interview may be arranged at a mutually convenient time and place. A presentation by the responder to the Village may be required prior to the recommendation and consideration of an award.

12. Responders Conditions - Any conditions or expectations on the part of the responder for performance by the Village must be set forth in responder's submittal. The Village is not obliged to consider the responder's post-submittal terms and conditions. *** If any service is not included, or is available for an additional cost, the submittal shall clearly so state. ***

14. Responders Preparation Costs - Any costs incurred by the responder in responding to the Request for Quotes is at the responder's own risk and expense as a cost of doing business. All materials submitted with an RFP shall become property of the Village and will not be returned to the responder. The responder is hereby notified that all submitted materials are subject to disclosure pursuant to the New York State Freedom of Information Law (New York Public Officer's Law section 86 et seq.).

15. Deliverables – Although the specific deliverables are subject to negotiation, the successful responder will be expected to provide the required services as outlined in this proposal should the grant be awarded to the Village.

16. Ex parte contact – Responder shall not contact any other Village officials regarding this RFP other than in accordance with the procedure outlined herein. Any responder that violates the foregoing provision may be disqualified from consideration. Responses shall be based solely on information provided in the RFP and any addenda thereto.

17. Minimum Qualifications – The Village acknowledges that this is a Professional Service and not subject to conventional public bidding. However, the Village has directed this RFP to several pre-selected

candidates/institutions and has placed a Legal Ad in the Binghamton Press and Sun-Bulletin concerning this RFP. The responder must guarantee that the professional business entity has not made a contribution within one calendar year immediately preceding the date of the contract or agreement which exceeded the permitted thresholds set forth in article 14 of the Election Law of the State of New York.

SCOPE OF WORK

This Scope of Work (SOW) constitutes the scope of services sought by the Village of Johnson City. The Services the Responder shall provide include, without limitation:

RECORDS MANAGEMENT CONSULTANT SERVICES

Task 1: Inspect and assess existing records and record storage areas

Task 2: Conduct/Attend Training Sessions with Johnson City's Records Clerks and interested Village Staff on How to Inventory Records and Dispose of Records Which Have Met Their Legal Retention Period

Task 3: Monitor Records Clerk work as they prepare the Records Inventory and Dispose of obsolete Records. Provide regular reporting and project updates to the Village. Make recommendations to adjust the work as required to maintain the accepted schedule.

Task 4: Reorganize remaining records

Task 5: Produce a Needs Assessment and Records Management Plan

Task 6: Generate a Customized Office Records Retention Schedule

Task 7: Assist the Village personnel in assuming operation of all systems, including scheduling of instructional sessions by the contractor as required in contract documents and preparation of records maintenance manuals. Provide all final deliverables stated herein as well as other items pertinent to the project to the Village.

Task 8: Notify the Village of the suspected presence of incomplete work or any failures of contractors to perform work and such other occurrences or conditions as may adversely affect the Project.

1. Release of RFP	September 19th 2025
2. *Pre-bid Site Meeting (If requested)	September 26th 2025
3. Questions and Clarifications Due	October 1st 2025
4. Final Interpretations and Addenda Issued	October 3rd 2025
5. Proposal Due Date	October 15th 2025
6. Governing Body Action	October 21st 2025

The project is anticipated to begin in October 2025.

The awarded contract period is projected to end in June 2026.

Proposed schedule for records management services and close-out should take these stipulations into account.

STANDARD CONTRACT CLAUSES:

The successful Responder will be required to enter into a written agreement for services that incorporates the terms and conditions of this RFP, including the following minimum terms and conditions. The submission of a response to the RFP indicates the Responder agrees to the following terms and conditions for professional services. The Village reserves the right to include additional terms in the final agreement with the successful Responder and to make changes to the following clauses. In any event, the final contract shall be in a form and contain provisions acceptable to counsel for the Village.

1. Compliance with Law and Standard Practices: The Responder shall perform its obligations hereunder in compliance with any and all applicable federal, state and local laws, rules, and regulations, including applicable licensing requirements and applicable Village Board policies as existing and as amended.
2. Statutory Compliance: The Responder covenants and agrees to comply in all respects with all federal, state and local laws and ordinances regarding services for municipal corporations including but not limited to Workers' Compensation and Employers' Liability Insurance, hours of employment, wages, and human rights.
3. Prevailing Wage Law: The Responder will pay prevailing wages and benefits to the extent required by the laws of the State of New York and certify compliance in writing to the Village.
4. MWBE: The Responder covenants and agrees to comply with the New York State Minority and Women-Owned Business Enterprise requirements as set forth by the New York State. It is anticipated that the MBE and WBE goals for this project will be 30% in total.
5. Assignment or Subletting of Contract: The Responder may not assign, transfer, convey, subcontract or otherwise dispose of this Agreement or its responsibility to perform under this Agreement or its right, title or interest in and/or to the same, nor any monies which are or will become due on and payable to it thereunder, nor the power to execute such Agreement to any other person or corporation without the prior express written consent of the Village.
6. Indemnification: To the fullest extent permitted by law, the Responder and Responder's officers, directors, members, partners, agents, employees, and consultants will indemnify, defend with competent counsel and hold harmless the Village, its officers, agents and employees from and against any and all liabilities, claims, damages, judgments or awards and any and all loss or expense (including reasonable attorney's fees) that may arise by reason of liability for damage, injury or death, or for invasion of personal or property rights, of every name and nature, and whether casual or continuing trespass or nuisance, and any other claim for damages arising at law or equity caused or sustained by or because of any omission of duty, negligence or intentional wrongful act on the part of the Responder, its employees or agents, including subcontractors, in connection with the Agreement.
7. Contract Modifications: This Agreement represents the entire and integrated agreement between the Village and the Responder and supersedes all prior negotiations, representations or agreements, either written or oral. This agreement may be amended only by written instrument signed by both the Village and the Responder. All verbal clarifications, changes, or modifications of the scope or details in the work are to be followed up with written verification and agreement by both parties. The Village reserves the right of final interpretation of any clarifications or modifications relative to the Agreement.
8. Severability: If any term or provision of this Agreement is held invalid or unenforceable, the remainder of this Agreement shall not be affected thereby, and every term and provision of this Agreement shall be valid and enforced to the fullest extent permitted by law.
9. Conflict of Interest: The Responder hereby covenants and agrees that no member of the Village Board or other Village officer or employee forbidden by law to be interested in this Agreement will directly or indirectly benefit therefore.
10. Independent Contractors: The Village and the Responder are independent contractors and shall have no other relationship. Neither party shall have or hold itself out as having the right or authority to bind or create liability for the other by its intentional or negligent act or omission, or to make any contract or otherwise assume any obligation or responsibility in the name of or on behalf of the other party.
11. Conflict of Laws; Venue: This Agreement shall be governed by and construed in accordance with the laws of the State of New York. Any litigation or other proceeding arising under this Agreement shall be commenced in a court of appropriate subject matter jurisdiction in the State of New York with venue in Broome County.
12. Insurance: The Agreement shall require compliance with all insurance requirements of the Village. A copy of such requirements is attached to this RFP as an exhibit and such requirements are incorporated by reference.

13. Mandatory Provisions: The following additional provisions will be required in any final contract, and may not be modified, changed, or altered:

- a. The Responder hereby represents to the Village the following: (i) that the Responder is financially solvent, able to pay its debts as they mature and possessed of sufficient working capital to complete the services required hereunder and performs its obligations hereunder; (ii) that Responder is able to furnish any of the plant, tools, materials, supplies, equipment and labor required hereunder and perform all of its obligations hereunder and it has sufficient experience and competence to do so; (iii) that Responder is authorized to do business in New York and is properly licensed by all necessary governmental and public and quasi-public authorities having jurisdiction over it and the services required under this Agreement and the project itself; (iv) that Responder's execution of this Agreement and its performance of it is within its duly authorized powers; and (v) that Responder's duly authorized representative has visited the project and familiarized him/herself with the local conditions under which the services required under this Agreement are to be performed. Responder agrees that the representation in this paragraph shall survive the execution and delivery of this Agreement.
- b. Whenever reasonably requested by the Village during the term of this Agreement, and as part of the Basic Services fee hereunder, the Responder shall attend meetings of the Village Board to advise its Trustees concerning the progress of the Project.
- c. The Responder's services, as defined herein, shall be provided in a manner and quality consistent with the standard of skill, care and diligence normally practiced by records management firms in performing services of a similar nature. Responder acknowledges that the Village is a municipality and, consistent with the standard of care, the Responder shall use reasonable care to ensure its services comply with all applicable laws, regulations, and rules as they pertain to any similar project and to the Responder including, but not limited to, the requirements of Article 5-A of the General Municipal Law. The Responder will consult with the Village or the Village's legal counsel with respect to any questions concerning the applicability or interpretation of such laws and regulations. The Responder shall perform its services as expeditiously as is consistent with the standard of care. The Responder shall render decisions in a timely manner pertaining to issues submitted by the Village and/or Contractors in order to avoid unreasonable delay in the orderly and sequential progress of the Responder's services and/or the Project Work.
- d. The Village shall not be responsible to pay, and the Responder shall not be entitled to receive, compensation for any Additional Services if such services were required due to the fault of the Responder or the Responder's failure to perform in accordance with the terms of this Agreement. For example, if an architectural service was a reasonably foreseeable and necessary service required to complete the project scope, where such service would normally be anticipated by and expected to be performed by the Responder, then such service shall be deemed to have been included as a Basic Service and will be provided by the Responder without additional compensation. Professional services not reasonably foreseeable shall entitle the Responder to additional compensation.
- e. Any adjustments to a project schedule shall be void and of no force and effect until such adjustments are agreed to in writing by the Village and the Responder.
- f. In the event the Responder objects to the Village's directive or substitution, Responder shall immediately notify Village in writing, and the parties shall then reach a mutual understanding before work proceeds.
- g. The Responder shall acknowledge the receipt of each Contractor-generated Request for Information (RFI) submitted in accordance with the Contract Documents as soon as reasonably possible, but no later than seven (7) days after receiving it. The Responder shall issue a written answer for each RFI simultaneously to the Contractor and the Village with the promptness necessary to avoid unnecessary delay or cost to the Project, but in no case more than ten (10) days after the RFI is received by the Responder.

- h. Responder acknowledges and agrees that Village has, shall retain, and may exercise during the term of this Agreement and thereafter, all rights and remedies available to the Village, whether derived from this Agreement, from statute, or otherwise, as a result of or in connection with the Responder's breach of this Agreement.
- i. The Village and Responder shall commence all claims and causes of action, whether in contract, tort, or otherwise, against the other arising out of or related to this Agreement in accordance with the requirements of the method of binding dispute resolution selected in this Agreement within the period specified by applicable law.
- j. The Responder acknowledges and recognizes that the Village, is utilizing Prime Contractors and subcontractors in performing the work, and that each of the aforementioned parties, including Responder, may be responsible for causing delays in or damage to the work. Accordingly, to ease resolution of any disagreement or claim involving the parties, Responder agrees to participate at its own cost and expense in good faith mediation if one of the foregoing parties has a claim arising out of the acts or omissions of Responder and for which Responder may be obligated to indemnify the Village, but for which Village may otherwise bear responsibility.
- k. The Village is tax-exempt and will not pay for or reimburse for any tax where it is exempt, including but not limited to, sales taxes.

14. IRANIAN ENERGY SECTOR DIVESTMENT:

- a. Contractor/Responder hereby represents that said Contractor/Responder is in compliance with New York State General Municipal Law Section 103-g entitled "Iranian Energy Sector Divestment", in that said Contractor/Responder has not:
 - i. Provided goods or services of \$20 Million or more in the energy sector of Iran including but not limited to the provision of oil or liquefied natural gas tankers or products used to construct or maintain pipelines used to transport oil or liquefied natural gas for the energy sector of Iran; or b. Acted as a financial institution and extended \$20 Million or more in credit to another person for forty-five days or more, if that person's intent was to use the credit to provide goods or services in the energy sector in Iran.
- b. Any Contractor/Responder who has undertaken any of the above and is identified on a list created pursuant to Section 165-a (3)(b) of the New York State Finance Law as a person engaging in investment activities in Iran, shall not be deemed a responsible bidder pursuant to Section 103 of the New York State General Municipal Law.
- c. Except as otherwise specifically provided herein, every Contractor/Responder submitting a bid/proposal in response to this Request for Bids/Request for Proposals must certify and affirm the following under penalties of perjury:
 - i. "By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief, that each bidder is not on the list created pursuant to NYS Finance Law Section 165-a (3)(b)." The Village will accept this statement electronically in accordance with the provisions of Section 103 of the General Municipal Law.
- d. Except as otherwise specifically provided herein, any Bid/Proposal that is submitted without having complied with subdivision (a) above, shall not be considered for award. In any case where the Bidder/Responder cannot make the certification as set forth in subdivision (a) above, the Bidder/Responder shall so state and shall furnish with the bid a signed statement setting forth in detail the reasons therefore. The Village reserves its rights, in accordance with General Municipal Law Section 103-g to award the Bid/Proposal to any Bidder/Responder who cannot make the certification, on a case-by-case basis under the following circumstances:

- i. The investment activities in Iran were made before April 12, 2012, the investment activities in Iran have not been expanded or renewed after April 12, 2012, and the Bidder/Responder has adopted, publicized and is implementing a formal plan to cease the investment activities in Iran and to refrain from engaging in any new investments in Iran; or
- ii. The Village of Johnson City has made a determination that the goods or services are necessary for the Village to perform its functions and that, absent such an exemption, the Village would be unable to obtain the goods or services for which the Bid/Proposal is offered. Such determination shall be made by the Village in writing and shall be a public document.

SUBMITTAL CONTENT

The submittal must include the following:

- **Schedule.** A proposed time schedule for the completion of the project.
- **Iran Divestment Act.** Respondent must attach a signed statement on company letterhead that is affirmed as true under penalty of perjury.
- **Signed Gifts Statement.** A signed statement that discloses all gifts given, if any, by the bidding professional business entity to any officer or employee of the Village.
- **Attachments.** Resumes and material helpful to the technical evaluation may also be attached (short project descriptions, brochures).
- Disclose all allegations or claims of substandard work, unethical or illegal practices or debarment or suspension from state- or federally-funded projects, and provide documentation as to the resolution of these matters. Respondent must not be suspended or debarred from participation in state- or federally-funded projects.

ATTACHMENTS

- Specific Proposal Requirements
- Proposal Sheet
- Insurance Requirements
- Election Law Statement
- Gifts Statement
- Non-Collusive Iranian Divestment Certification
- W-9

QUALIFICATIONS AND SELECTION PROCESS

Submittals responsive to the requirements of this RFP will be evaluated and scored in accordance with the Village of Johnson City's internal evaluation criteria.

During or after the review of responses, the Village of Johnson City may submit written questions and requests for clarification, and may conduct interviews.

The Village of Johnson City shall evaluate each respondent in terms of:

Technical Factors	<u>Maximum Points</u>
1. Relevant Experience	15
2. Approach and Methodology	15
3. Staffing Plan	15
4. Consistency with the Retention and Disposition Schedule for New York Local Government Records (LGS-1)	15
5. Reasonable Cost Proposal when Compared to Similar Projects	10
6. M/WBE Utilization Plan	10
7. Ability to Conform to the Village of Johnson City's Deadline Schedule	10
8. Commitment to Comply with all Applicable Federal, State and Local Regulations	10
Total Maximum Points	100

After evaluation of selected Submittals, the Village of Johnson City reserves the right to award without delay. The Village of Johnson City will promptly issue a Letter of Intent to Award with the notion that a Notice to Proceed shall be issued when LGRMIF awards have been announced by New York State and accepted by the Village of Johnson City.

Insurance Requirements:

- Commercial General Liability Insurance with a limit of not less than \$1,000,000 for each occurrence and \$2,000,000 general aggregate. Such liability shall be written on the Insurance Service Office's (ISO) occurrence form CG 00 01, or a substitute form providing equivalent coverages and shall cover liability arising from premises operations, independent contractors, products-completed operations, broad form property damage, personal & advertising injury, owners & contractors protective, cross liability coverage, liability assumed in a contract (including the total liability of another assumed in a contract) and explosion, collapse & underground coverage.
 - 1) If such insurance contains an aggregate limit, it shall apply separately to this location.
 - 2) Umbrella Liability shall be the Maximum Limits available under the policy but no less than \$5,000,000 with the Aggregate limit of at least \$5,000,000. The Umbrella Liability has to provide Primary coverage over all the scheduled underlying policies including the coverage for the Per Project Aggregate and Additional Insureds.
- Where the Project described in the RFP includes the construction of any structure or building, a Builder's Risk Policy or Installation Floater Policy until the Project is completed and accepted in the amount of the total project cost.
- Rigging Floater, Minimum Limit \$500,000 for all Property owned by the Owner and Contractor in the service contractors care, custody & control.
- Workers Compensation, Employers Liability, and Disability Benefits for all Employees including Corporate Officers, Partners and Sole Proprietors. Workers Compensation Policy shall include the U.S. Longshore & Harbor Workers' Compensation Act endorsement.
- Commercial Automobile Liability Insurance with a limit of not less than \$1,000,000 for each accident. Such insurance shall cover liability arising out of any automobile including owned, leased, hired and non-owned automobiles.
- Commercial Property Insurance or Equipment Floater Policy covering at a minimum, the perils insured under the ISO Special Clauses of Loss Form (CP 10 30), or a substitute form providing equivalent coverages, for loss or damage to any owned, borrowed, leased or rented capital equipment, tools, including tools of their agents and employees, staging towers and forms, and property of the Department held in their care, custody and/or control.
- An Owners and Contractors Protective (OCP) will be provided by the Contractor with the Village of Johnson City as the Named Insured. The OCP limit should be \$1,000,000 with an Aggregate Limit of at least \$2,000,000.
- The Village of JC, Architect and Engineer and their Agents, Employees and Representatives or any other party required in the Village of JC contract are to be named as an Additional Insured on a Primary, Non-Contributory basis on all policies or Self-Insurance including Completed Operations with the exception of Workers Compensation or Professional Liability. A certificate of insurance will be provided when the contract is signed. The certificate will provide 10 days of notice of cancellation or non-renewal and copies of endorsements required by this Insurance agreement. The Contractor Waives all rights of Subrogation against the Village of JC and other parties required by any applicable contract documents and will have all policies endorsed setting forth this Waiver of Subrogation.

Appendix A

Inventory and Planning: The First Steps in Records Management

The University of the State of New York
The State Education Department
New York State Archives
Government Records Services

NUMBER

76

Inventory and Planning: The First Steps in Records Management

By
Suzanne Etherington and Ann Marie Przybyla

2003

This booklet replaces the following
State Archives publications:

Publication # 24,
Guidelines for Planning and Conducting a Records Inventory

Publication # 43,
Guidelines for Planning Local Government Records Programs

The University of the State of New York
The State Education Department
New York State Archives
Government Records Services
Albany, New York 12230
<http://www.archives.nysed.gov>

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Table of Contents

Introduction	1
Planning the Inventory	2
Conducting the Inventory	3
Using the Inventory Data	5
Preparing a Records Management Plan	6
For More Information and Assistance	8
Appendix A: Records Inventory Data Worksheet	9
Appendix B: Instructions for Completing the Records Inventory Data Worksheet	11
Appendix C: Sample Completed Records Inventory Data Worksheet	19
Appendix D: Sample Inventory Database Output	21
Appendix E: Sample Office Map	22
Appendix F: Table of Cubic-Foot Equivalents	23
Appendix G: Sample Records Management Plans	24
Long-Range Records Management Plan for Capital City, 2003–2006	24
Annual Records Management Plan for Capital City (2003)	27
Records Management Plan for North Haverbrook Central School District	30
Appendix H: Glossary of Records Inventory and Planning Terms	32

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Introduction

A records inventory is the foundation of sound records management, and is often the first step in establishing a records management program. No matter how you organize your records, an inventory can provide an overview that will help you manage these records in the future. During an inventory you will locate, identify, and describe all records series held by your local government or state agency, whether the records are in electronic, paper, micrographic, or any other format. At the end of an inventory, you will have a good idea of the type and quantity of records created and maintained by your local government or agency, and probably some understanding of how to manage them more efficiently.

After completing the inventory, you should conduct both an appraisal and a needs assessment to help you assemble short- and long-term plans for managing your records. These four components—inventory, records appraisal, needs assessment, and management plan—are essential steps in developing a strong records management program.

This booklet provides local governments and state agencies with advice on how and when to conduct an inventory and how to plan for the development or improvement of a records management program. Although the process of conducting an inventory may be time-consuming, in the end you should see many advantages. An inventory can

- help you manage your records more efficiently
- help local governments and state agencies meet the Freedom of Information Law requirement to maintain a subject matter list of records
- help you “clean house” by forcing staff to identify and discard unnecessary records
- teach you about the records your organization maintains, so you can formulate sound plans to guide and develop your records management program.

Planning the Inventory

Get support

Support from everyone who creates or uses records is critical for a successful inventory, since inventory workers will be in and out of storage and office areas and will probably ask the rest of the staff questions about specific records. If upper management supports an inventory, then securing cooperation from everyone else will be easier. Let staff know the purpose and timetable of the inventory and reassure them that an inventory is not an audit. The records management officer (RMO) should actively oversee the inventory, whether it is carried out by workers hired for the project or by current staff. An organizational chart will help inventory workers determine who to contact across the government or agency, and how departments and their records relate to one another.

Set a schedule

Develop a timetable that clearly assigns responsibility for all activities, estimates the inventory schedule for each area, and allows time to both evaluate the inventory and develop a program plan. The timetable should include clear deadlines, although you may have to adjust the schedule as work progresses. The plan should lay out the schedule of department and unit inventories, with estimates of staff hours necessary to complete each task.

Estimate roughly how long an inventory will take. Most organizations should plan about one hour of inventory for each 1 to 2 cubic feet of records. The larger the number of records involved, the faster the inventory rate should proceed. Most large organizations can easily inventory at a rate of 2 cubic feet per hour, since they will have a number of very large records series that take only a little bit longer to inventory than a small series. (You can quickly inventory even a large series by looking at a set of samples from the series; there is no need to review the whole series.) If your organization has few records (750 cubic feet or less), you will probably have many more smaller series, so you should estimate an inventory rate of 1 cubic foot per hour. Keep in mind that electronic records will usually take longer to inventory because estimates by cubic feet don't work with them. The scope and complexity of this timetable will vary from one organization to another, but you should build in some review dates to monitor progress and adjust the schedule as needed.

Conduct a survey

Before conducting a full inventory, you might consider doing an initial survey of your organization's records situation, beginning with the departments or offices that you think would be most cooperative. Many people use initial surveys to estimate the size of the inventory project and thus plan for it. If this is the case with you, use Appendix F, "Table of Cubic-Foot Equivalents," at the end of this booklet to help you determine the volume of records in file cabinets and other storage equipment. Other organizations might want to hire a consultant to carry out a survey in concert with a detailed analysis of the overall records system, relying on the consultant's needs assessment report in place of a full inventory. If you will hire a consultant to write your plan, see Publication # 44, *Records Management Consultants*, for direction.

Conducting the Inventory

Inform supervisors

A logical first step is to visit individual supervisors to explain the inventory process and how it will benefit each office. Supervisors should understand that inventory workers will need access to all records (including electronic records and those on microfilm) and that they will need to ask questions as they work. The project director should reassure supervisors and staff that the purpose of the inventory is to help them manage their files, not to criticize current filing methods.

Draw a map of the location

Inventory staff should begin by drawing a map of the physical layout of each new area, numbering each piece of records storage equipment (such as filing cabinets and shelves), and noting the location of each records series. For an example of an office map, see Appendix E, "Sample Office Map."

Collect information on each records series

The simplest approach to conducting an inventory is to describe records series, rather than whole individual folders. Using the form provided in Appendix A, “Records Inventory Data Worksheet,” inventory workers should complete one inventory worksheet per records series per location. If there are additional records in another storage area that are part of the same series, complete another worksheet for that location. This will ensure efficient access and retrieval of records after the inventory. For detailed instructions on filling out the worksheet, see Appendix B, “Instructions for Completing the Records Inventory Data Worksheet.” For an example of a completed form, see Appendix C, “Sample Completed Records Inventory Data Worksheet.”

Store inventory data in a database

Since the inventory worksheet collects data in separate fields, you can copy the structure of the form to create an electronic inventory by using any off-the-shelf database software package. Having the inventory information in a database allows you to identify all locations of a fragmented records series. Since an automated database will help you manage your records long after the inventory has been completed, you should consider purchasing database software during the planning phase of the inventory. Contact the State Archives Regional Advisory Officer (RAO) in your region for advice on how to proceed. See Appendix D, “Sample Inventory Database Output,” for one example of how you can evaluate and use your inventory data once you have it in a database.

Using the Inventory Data

After completing the worksheets, you should use the data collected to appraise the records and create a needs assessment. Only by evaluating and using the data you have collected can you guarantee a successful records inventory.

Appraisal

Appraisal involves evaluating the records and determining their administrative, fiscal, legal, historical, and research value. Appraisal will identify

- which records are vital
- which records are archival or have a permanent retention requirement
- which records are candidates for preservation or conservation
- which records are inactive
- which records are confidential
- which records are obsolete and ready for disposal
- annual growth figures that you can use to estimate future space requirements

The appraisal should consider factors unique to your organization, evaluating records in the context of your particular needs. Your RAO is a good resource for help in appraising your records.

Needs assessment

A needs assessment is a list of your organization's records management problems or issues, and it is based on data gathered from the inventory, discussions with supervisors and employees, observations made while conducting the inventory, and issues raised in the appraisal. Consider the following items when determining records management needs:

- Where the use of new electronic recordkeeping systems (such as an imaging system) might improve the creation and use of your records
- Production, use, and storage of duplicate copies of records

-
- Location of unused or under-used filing equipment
 - Which records are infrequently consulted and should be moved out of offices and into a storage area
 - Which records need better filing or indexing systems to make them more accessible
 - Which records are good candidates for microfilming
 - Which records are historical
 - Whether there are storage areas that are unsuitable for records storage

After considering these issues, you can set priorities and determine how to solve the problems identified in your needs assessment. Then you will be ready for the next step—developing a plan.

Preparing a Records Management Plan

What is records management program planning?

You must develop a records management program that meets the current and future needs of your organization. The records inventory, appraisal, and needs assessment are the preliminary work toward a records management plan. A plan is a road map to a destination, or a set of guidelines for getting a job done. But any records management plan must be practical and realistic. Although the length, amount of detail, and exact makeup of a plan will vary, all plans will address three questions:

- What is the present situation with your government's records?
- What do you want to change or develop?
- How will you do this?

A records management plan should examine the current records situation, describe both short-term and long-term goals, and identify what resources might be needed to achieve those goals. Long-term plans usually cover a three- to five-year framework and the broader purposes of the program. Short-term plans, usually covering one year, indicate exactly what the program is expected to accomplish in the near future.

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An organization can prepare a records management plan at just about any point in its existence. It is desirable, but not essential, to have a records ordinance or policy statement as a point of departure for the plan. It may also be useful to have a records advisory board in place when developing and implementing the management plan. You may decide to write the plan in-house or to hire a records management consultant to write it. If hiring a consultant, see Publication # 44, *Records Management Consultants*, for direction.

Why records program planning is important

A sound records management program plan

- provides a basis for responsible management by setting priorities
- provides staff with a common understanding of program goals and permits effective marshalling of resources
- ensures that the program proceeds according to established expectations rather than in reaction to everyday pressures and problems
- furnishes a framework for staff assignments and accountability
- provides a clear way to explain the program to governing bodies and the public
- provides a basis for budget requests

Most plans have three levels:

1. Mission statement
2. Goals
3. Objectives

This does not mean that the planning process must be long or difficult, or that the plan itself must be long and elaborate. In fact, for a plan to be viable, it must be concise, clear, realistic, and practical. Plans should be flexible, and they should meet an organization's needs rather than fit a prescribed pattern. Your Regional Advisory Officer can help you develop or review your plan. For examples of records management plans, see Appendix G, "Sample Records Management Plans."

For More Information and Assistance

The New York State Archives provides direct advice to local governments and state agencies on how to conduct a records inventory and how to plan and develop a records management program. The Archives has regional offices throughout the state, and each office has a records specialist who can visit you and provide technical advice and assistance. Archives services also include publications and workshops on a wide variety of records management topics. For further information, contact your regional office, or

Government Records Services
New York State Archives
State Education Department
9A47 Cultural Education Center
Albany, New York 12230
www.archives.nysed.gov
(518) 474-6926

Appendix A

Records Inventory Data Worksheet

Form is available on the facing page

Records Inventory Data Worksheet

See instructions in Publication #76, *Inventory and Planning*, before completing this form.

1a. GOVERNMENT/AGENCY		1b. DEPARTMENT/UNIT	
2. RECORDS SERIES TITLE			
3. DATE SPAN			
4. RECORDS SERIES DESCRIPTION (Describe content and characteristics of records)			
5. ARRANGEMENT <input type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Alphanumeric <input type="checkbox"/> Other (Specify):			
6a. RETENTION <input type="checkbox"/> Not scheduled <input type="checkbox"/> Permanent <input type="checkbox"/> Appraise for historical value <input type="checkbox"/> Scheduled retention:			
6b. SCHEDULE AND ITEM NUMBER, OR REASON FOR PROPOSED RETENTION			
7. LOCATION			
8. FORMAT <input type="checkbox"/> Paper <input type="checkbox"/> Audiovisual <input type="checkbox"/> Micrographic <input type="checkbox"/> Electronic			
9. TOTAL QUANTITY (In cubic feet <i>or</i> number of items): <input type="checkbox"/> Cubic feet: <input type="checkbox"/> Items: Type of items:			
10. ANNUAL ACCUMULATION (In cubic feet <i>or</i> number of items): <input type="checkbox"/> Cubic feet: <input type="checkbox"/> Items:			
11. FREQUENCY OF USE: <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Seldom <input type="checkbox"/> Never			
12. RESTRICTIONS ON USE			
RECORDS ARE 13. <input type="checkbox"/> IN POOR CONDITION 14. <input type="checkbox"/> VITAL (Essential to operations) 15. <input type="checkbox"/> OFFICIAL COPIES			
16a. NAME OF PERSON COMPLETING FORM		16b. DATE	

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Appendix B

Instructions for Completing the Records Inventory Data Worksheet

Use the Records Inventory Data Worksheet when conducting your inventory to help ensure consistent and complete data collection. Information gathered in the worksheets

- forms the basis for analyzing your needs and developing a records management plan
- can serve as an interim way to locate records
- can be entered into a records management database and locator system

The State Archives requires all local governments with inventory projects funded by the Local Government Records Management Improvement Fund (LGRMIF) to use the Records Inventory Data Worksheet.

As you fill out the data worksheets, keep in mind that someone other than yourself might need and use them in the future. You should therefore avoid using jargon, informal titles, abbreviations, or proper names of current officeholders to describe your records. There are a number of ways to make your inventory more efficient:

- Use pencil to complete the forms, because data can change as you work your way through the records.
- Fill in repetitive fields such as “government/agency” and “department/unit” before photocopying a supply of worksheets for the inventory.
- Do not inventory non-records, such as blank forms, personal papers, and publications from an outside source.
- Do not inventory records that have met their legal retention period. Instead, log information from those records on a disposition authorization form, and discard the records after receiving the necessary approvals.
- If a field on the form limits the amount of detail that you can provide concerning the records, give clarification or more information in the series description (field 4).

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1a. Government/Agency

Give the full and unabbreviated name of the local government or state agency whose records are the subject of the inventory.

Examples:

- Department of Environmental Conservation (*not* EnCon or DEC)
- Fire Island Union Free School District (*not* Fire Is. Schl. Dist.)
- Town of Colonie (*not* Colonie)

1b. Department/Unit

Give the full name of the subdivision that creates, uses, and maintains the records series. Do not use the proper name of an official unless it is the name of the department. Examples:

- County Clerk (*not* Clerk)
- Personnel Office (*not* Personnel)
- Treasurer's Office (*not* Bob Clark's Office)

2. Records Series Title

Determine a specific, descriptive title after looking at the records. You can also use a relevant records retention and disposition schedule to arrive at appropriate records series titles. Titles should denote the subject, function, and/or form of the records. Examples:

- Budget Preparation Files
- Commissioner's Correspondence File
- Construction Photographs
- Consumer Case Files

If the records series has a common or colloquial name, note this name in the series description (field 4).

3. Date Span

Provide the beginning and ending dates of the records series (e.g., 1978–1990). For ongoing series use “9999” as the end date (e.g., 1971–9999) or use the word “current” or “ongoing.” (Using a set number such as “9999” allows you the ability to search and sort on that number if you maintain your data in a database.) Use “ca.” for

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circa, meaning “approximately,” when you cannot determine exact dates (e.g., ca. 1977–ca. 1991). If there are significant gaps in the date span, indicate them in the series description (field 4).

4. Records Series Description

The description helps you match records series to relevant schedule items, determine how long to retain unscheduled records, and appraise records for ongoing historical significance. It should include basic information concerning the contents and purpose of the records series. You can also indicate any gaps in dates, particularly significant items found in the series, or common or colloquial names used to describe the series.

For Electronic Records

Descriptions of electronic recordkeeping systems should indicate names of software and hardware required for access, as well as the data formats of the records. You should also provide a brief description of any electronic or other files that support or run the system, including indexes, data dictionaries, metadata documentation, or other files that may exist in other formats.

Sample Series Descriptions

- Series consists of building permits and supporting materials such as maps, drawings, specifications, and inspection reports. It contains information on construction companies, building locations, building materials, and code violations. The series documents changes to individual residential and commercial properties in the city.
- Tax assessment rolls consisting of handwritten lists with names of property owners, acreage, value of real estate, value of personal property, total value, and total tax. Some rolls may contain a description of property such as “farm lot” or “mill.” All rolls contain description of non-resident lands, usually at the end of the roll. The series provides a record of assessment of resident and non-resident property situated in the town and is used for raising tax revenues to support town government and services.
- Training files include lesson plans, copies of examinations, training schedules, photographs of training classes. Series also includes data on the first training program (1975) for women firefighters.
- Correspondence files, consisting of outgoing correspondence maintained in Microsoft Word 97 and Millennium formats and

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incoming correspondence maintained as 8-bit black-and-white TIFF images, stored on server space and backed up weekly.

- Electronic social services case files are stored in a database that includes digital images (TIFF) of incoming paperwork (for example, copies of birth certificates), along with electronic copies of reports filed by caseworkers. Specific vital information is maintained in the database on each individual, including name, sex, address, and date of birth. The record copy of the full data dictionary that explains the information in each field of the database, and a procedures manual for entering and verifying the accuracy of information, is maintained by the Office of the Commissioner of Social Services. For some files before 1998, there may be additional paper documents maintained in other locations.

5. Arrangement

Indicate how the records are organized (alphabetical, numerical, chronological, or alpha-numeric order). An alpha-numeric arrangement combines alphabetical and numerical systems, using codes such as "HWY-01." If the arrangement is complicated, check "other" and describe. For example:

- Chronologically by year of graduation, then alphabetically by student name
- Numerically by tax parcel map number, then by document type (blueprints, permits, specifications, or variances)

6a. Retention

Use this field to indicate the minimum amount of time that you must retain the records according to a State Archives or other retention and disposition schedule. For advice on using retention schedules, refer to Publication #41, *Retention and Disposition of Records*. Either fill in the specific period of time mandated (such as "6 years after audit") or check "Permanent," as appropriate.

If the series is not in any schedule, check "Not Scheduled." You may also use this line to propose a reasonable retention period. Use this when your local government wishes to keep the series beyond the set retention period, or if you are a state agency dealing with records that you have not scheduled. State agencies should also include information on what causes the records to become inactive.

If you think the records should be evaluated to determine whether they should be kept beyond a mandated retention period, check "Appraise for Historical Value."

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6b. Schedule and Item Number, or Reason for Proposed Retention

Indicate the State Archives or other schedule (such as a schedule for court records issued by the Office of Court Administration), and provide the appropriate item number covering the series at hand. If the records are not scheduled but you proposed a retention in line 6a, explain the rationale behind that retention period.

7. Location

Indicate the location of the records in enough detail to help you and others find them after the inventory is complete. The location can include building, room, cabinet (and drawer), shelf, and box. For example:

- Annex building, Planner's Office, Desk 2, Drawer 1
- Elementary School, Room 125, Cabinet 1, Drawers A–D
- Upstairs vault, Shelf A-1, Box 3

8. Format

Check all formats that apply to the records series. Paper records include loose documents, bound volumes, photographs, architectural drawings, and maps. Audiovisual records can include records stored on audio- and videotapes, compact discs (CDs), phonorecords, and digital video discs (DVDs). Micrographic records can be microfilm rolls or microfiche. Electronic records include word-processed files, databases, electronic spreadsheets, geographic information system (GIS) records, computer-aided design (CAD) records, and e-mail.

9. Total Quantity

This information is important for determining the resources—filing equipment, shelving, boxes, and labor—required to care for your records. Indicate quantity of paper records in cubic feet. See Appendix F, “Table of Cubic-Foot Equivalents,” for information on how to estimate the cubic footage of paper records.

For records in other formats, quantify the volume by number of items, which can include rolls, tapes, CDs, and disks. Quantify records in electronic recordkeeping systems by number of bytes or by number of items (such as CD-ROMs and computer tapes).

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10. Annual Accumulation

Annual accumulation is the volume of records created, received, and retained in the course of a year. Collect this data only for records stored in offices. Indicate the rate—in cubic feet or number of items—at which these records grow every year, using the most recent year or two as a guide. You can use this information for projecting future space needs for inactive records.

11. Frequency of Use

Indicate how often both office staff and others use the records. This information will help you determine whether you should transfer records in office areas to inactive storage, or whether you should make records stored in remote inactive areas more physically accessible.

12. Restrictions on Use

Indicate whether there are any restrictions on who may view records in the records series. Sometimes, a specific law requires you to keep the records confidential. In such cases, you should cite the law or regulation that mandates restrictions. Occasionally you may have to restrict use, because allowing use would cause damage to fragile historical records. However, do not identify a series as restricted or confidential merely because your government or agency routinely requires written requests for access to records.

If you are not sure whether records are restricted, contact the New York State Committee on Open Government by mail at 41 State Street, Albany, NY 12231-0001, by telephone at (518) 474-2518, or by e-mail at opengov@dos.state.ny.us

13. Records are in Poor Condition

If part or all of the records series are damaged, check the box. Examples of damage include tears, stains, folding, mold, mildew, brittleness, and discoloration. This field is useful for identifying records series for microfilming or individual documents that may require the care of a professional conservator. If there is a pattern of damage among records stored in the same area, it may also indicate chronic problems with your storage environment, such as excessive or variable temperature and humidity.

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14. Records are Vital

Check the box if these are vital records, which are those that are essential to the daily operation of your organization. Don't confuse this use of the term "vital records" with "vital statistic" records such as birth, death, and marriage certificates. Examples of vital records are current tax receipts, ongoing contracts, payrolls, and land and student records.

15. Records are Official Copies

Check the box if this particular copy of the records being inventoried is the "official copy." The official copy is usually the clearest, most complete, signed and/or certified copy. Sometimes there are two equally good sets of one records series; in such cases, you may have to designate an official copy if one is not immediately apparent. Retention and disposition schedules require that you retain only the official copy of any record; you may destroy duplicates when no longer needed.

16a. Name of Person Completing Form

Provide the name of the person who inventoried this records series.

16b. Date

Provide the date that the worksheet was completed. This information is useful in determining whether or not the inventory is up to date.

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Sample Completed Records Inventory Data Worksheet

Inventory and Planning: The First Steps in Records Management

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Appendix D

Sample Inventory Database Output

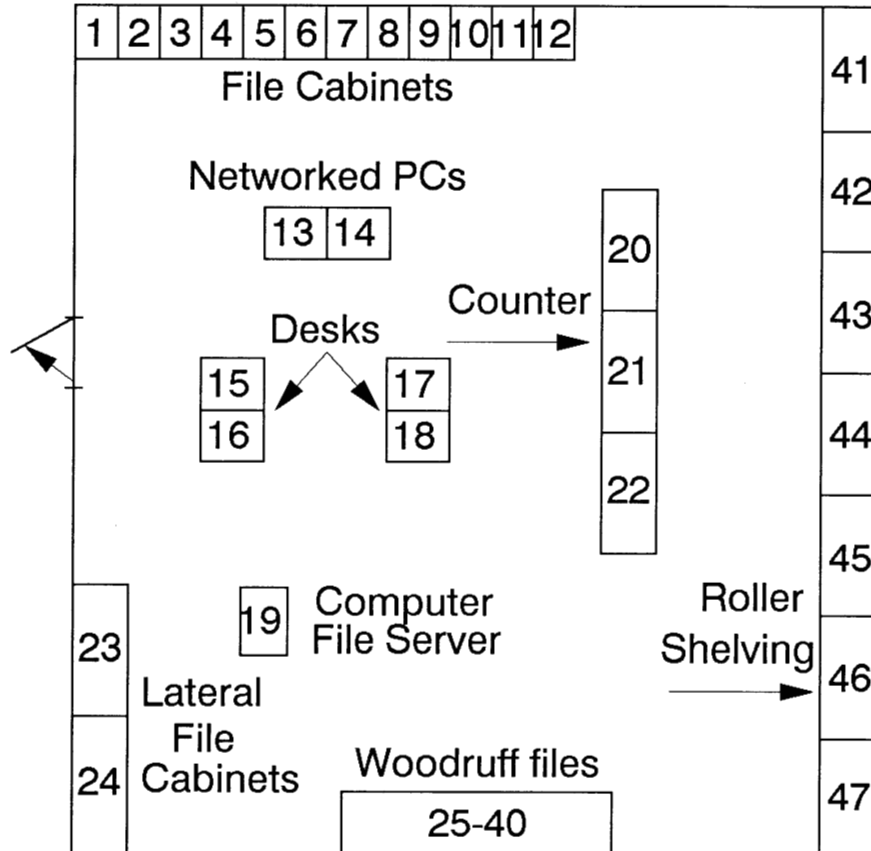
Once you have entered your inventory data into a database, you can view and print out the data in many different ways. This can help you better analyze and use the data. Below is a simple form used by a county to list alphabetically all the records series maintained by one department (the County Clerk's Office). This report gives only the title, the schedule item that proves the required retention period, and the retention period, but it provides an easy way to verify what records the department maintains. Depending on its needs, the county could adjust this report to add new pieces of information (for example, location, quantity, and format).

Listing of Records in the County Clerk's Department

Title:	Administrative file (Records Management)
Schedule item:	LGS-1, General, 53c: correspondence
Retention:	1 year
Title:	Adoptions
Schedule item:	OCA, Civil Court & County Adoptions, 20010
Retention:	PERMANENT
Title:	Affidavits and orders
Schedule item:	OCA, Civil Court Supreme & County: other case files, 20230
Retention:	PERMANENT
Title:	Annual report of the Board of Excise
Schedule item:	LGS-1, General, 74
Retention:	PERMANENT
Title:	Annual reports of corporations
Schedule item:	LGS-1, County Clerk, Miscellaneous, 298
Retention:	PERMANENT
Title:	Application to use records (Records Management)
Schedule item:	LGS-1, Archives/RM, 94a
Retention:	6 years

Appendix E

Sample Office Map



Office:	City Clerk's Office
Building:	City Hall
Address:	123 Main Street Everytown, New York
Room No.:	Rm. 123
Map Drawn By:	Jane Smith
Date:	December 1995

Appendix F

Table of Cubic-Foot Equivalents

File Folder Drawers	cubic feet
Letter	1.5
Letter Lateral	2
Legal	2
Legal Lateral	2.5
Shelf Units	
Letter, 36" long	2.4
Legal, 36" long	3
Records Storage Containers	
Standard (10" × 12" × 15")	1
Tab (.5" × 8" × 14")	0.2
Check (3.5" × 8" × 24")	0.4
Map (6" × 6" × 36")	0.7
Map (6" × 6" × 48")	1
Map (4" × 4" × 48")	0.4
Map or Plan Drawers	
2" × 26" × 38"	1.1
2" × 38" × 50"	2.2
4" × 26" × 38"	2.3
4" × 38" × 50"	4.4
Map or Plan Tube	
2" × 2" × 38"	0.1
2" × 2" × 50"	0.1
4" × 4" × 38"	0.3
4" × 4" × 50"	0.5
Other Situations	
Step 1: Multiply length × width × height (in inches)	
Step 2: Divide by 1,728 = cubic feet	

Appendix G

Sample Records Management Plans

The first two samples form a pair of interrelated short- and long-term plans for the mythical government of Capital City. The last sample is a simple long-term plan for the North Haverbrook Central School District, a small imaginary government.

Long-Range Records Management Plan for Capital City, 2003–2006

In this long-range plan, a medium-sized city that recently completed a records inventory has developed a four-year records management plan. The plan includes a concise mission statement for the city's records management program and five goals, each supported by specific objectives. The plan is general, but provides a good sense of how the city's records management program is progressing.

Introduction

Capital City's records management ordinance, adopted by the city council, authorized and required the development of a records management plan. The city clerk (Capital City's designated Records Management Officer) developed this plan with advice and review by the Records Advisory Board. The mayor and the city council approved the plan on November 4, 2002.

Mission

The Capital City records management program encourages and coordinates the systematic, cost-efficient creation, maintenance, use, and disposition of official city government records.

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Program Goals and Objectives, 2003–2006

Goal I

Systematically dispose of records in accordance with state schedules and local procedures.

- A. Adopt and continually apply State Archives records retention and disposition schedules as they are issued, for the systematic disposition of records.
- B. Develop office schedules (tied to and compatible with State Archives schedules) to guide the retention and disposition of records in all Capital City offices.
- C. Develop and apply policies and procedures for the disposal of obsolete records that ensure approval by the originating office, protect confidential information, and maintain a listing of records destroyed.

Goal II

Develop and operate a program for the management of inactive records.

- A. Identify appropriate space in City Hall for conversion to an inactive records storage area, and renovate the space as needed to ensure secure, cost-effective storage.
- B. Develop policies and procedures for coordinating an inactive records program through the city clerk's office.
- C. Develop and maintain an information locator system to records in the city's inactive records storage area.

Goal III

Develop a program to microfilm appropriate records in accordance with State Archives quality guidelines.

- A. Continue and refine the existing microfilm operation in the Police Department and develop acceptable quality controls and inspection procedures in accordance with State Archives regulations.
- B. Analyze records in the city's departments to identify those best suited for microfilming.

Goal IV

Develop a program to manage the city's electronic records.

- A. Develop policies on the purchase and use of computer equipment.
- B. Develop standards for computer software and systems in city offices.
- C. Develop policies and procedures to ensure the reliability, security, retention, and preservation of electronic records in city departments.

Goal V

Develop a program for the preservation and use of historical records.

- A. In concert with the search for a storage location for inactive records, identify an appropriate space in City Hall for the storage of historical records and an accompanying research area, and renovate space as needed.
- B. Develop a plan to organize, improve access to, and encourage use of the historical records of the city.
- C. Identify preservation problems with the city's historical records and develop a plan for addressing these issues.

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Annual Records Management Plan for Capital City (2003)

This annual workplan is based on the city's long-range records management plan. The annual plan includes several annual goals, each of which supports a specific goal in the city's long-range plan.

Long-Term Goal I

Systematically dispose of records in accordance with state schedules and local procedures.

Annual Goal A

Hold a workshop for records coordinators and other appropriate personnel in the use of retention schedules for the disposition of records.

Annual Goal B

Compare records disposition requests from city departments to the citywide records inventory to determine if departments are disposing of records on schedule.

Annual Goal C

Develop an office schedule for the Office of the City Clerk, based on the results of the 2002 inventory and *Retention and Disposition Schedule for New York Local Government Records (LGS-1)*.

Annual Goal D

Develop procedures for the destruction of records.

1. Discuss with the city counsel's office the city's obligations for ensuring confidentiality during the disposition process.
2. Develop a system of approvals for any records dispositions.
3. With Department of Public Works arrange for periodic, controlled disposal and recycling of city records.

Long-Term Goal II

Develop and operate a program for the management of inactive records.

Annual Goal A

Develop specifications and a proposal for an inactive records storage area.



1. Assemble technical information on records centers.
 - a. Visit the cities of Shelbyville and Springfield to collect information on their records centers and inactive records programs.
 - b. Secure and compile information from the State Archives, the National Fire Protection Association, and other appropriate sources.
2. Develop an estimate of the capacity required for such a facility, based on 2002 records inventory.
3. Develop a proposal for consideration by the city council that includes specifications and estimated costs for the facility.

Long-Term Goal III

Develop a program for microfilming appropriate records in accordance with State Archives quality guidelines.

Annual Goal A

Develop a system for microfilming city records overseen by the city clerk.

1. Develop procedures for identifying priority records for microfilming.
2. Develop procedures for preparing records for filming and for conducting microfilm quality control.
3. Identify a company to provide offsite storage for the master copy of all microfilm.

Annual Goal B

Cooperate with the police department's records coordinator to refine and expand the police department's microfilm program.

1. Assess the existing program, determining if procedures for records preparation, microfilming, and quality control of film meet State Archives guidelines.
2. Identify additional police department records that warrant microfilming.

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Long-Term Goal IV

Develop a program to manage the city's electronic records.

Annual Goal A

Review the 2002 inventory to verify that all major electronic recordkeeping systems were inventoried.

Annual Goal B

Develop, with the Records Advisory Board, a request for proposals to hire a consultant to evaluate the state of electronic records management in the city and to recommend improvements.

Long-Term Goal V

Develop a program for the preservation and use of historical records.

Annual Goal A

In concert with the search for a site for an inactive records storage area, identify an appropriate space in City Hall for the storage of historical records and for a research area.

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Records Management Plan for North Haverbrook Central School District

After conducting a complete inventory, the North Haverbrook Central School District developed the following general plan for developing its records management program over the next five years.

Year 1

Set Up a Records Center

Find an appropriate and ample location

Apply for an inactive records grant from the State Archives

With grant funds, modify the location, set up shelving, and box records

Assign responsibility for maintaining the records center

Year 2

Begin Microfilming Student Records

Consolidate the records of students who graduated six or more years ago

Apply for a microfilming grant from the State Archives

With grant funds, organize, purge and microfilm the records

Set up a future schedule for microfilming records using local funds

Year 3

Overhaul the Payroll and Personnel Systems

Review possible software solutions to replace current systems

Decide whether a needs assessment will be required

Conduct a needs assessment (if necessary) and decide on a solution

Apply for an active records grant from the State Archives

Put the new system in place

Design a way to pay for future improvements

Design a method to maintain the records electronically

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Year 4

Control Historical Records

Identify all the historical records in the district

Apply for a historical records grant to organize the oldest of these

Organize and produce a guide to the district's historical records

Use records in displays and brochures for the district's fiftieth anniversary

Year 5

Use District Records in the Classroom

Introduce teachers to the historical records available in the district

Encourage a group of teachers to apply for an educational uses grant

Complete the grant project

Distribute the resulting materials across the district

Continue to use these records in projects in the school

Appendix H

Glossary of Records Inventory and Planning Terms

active record. a record used frequently (at least once per month per file drawer for paper records)

administrative value. the usefulness of a record to an organization in the conduct of its daily business

alphabetic arrangement. the ordering of a records series by the letters in titles of the files within the series, such as name or subject

alphanumeric arrangement. the ordering of a records series by means of a classification system that uses filing codes consisting of combinations of letters and numbers

annual accumulation. the volume of records created, received, and retained in the course of a year

appraisal. the process of evaluating records based on their value to an organization, particularly when used to determine if the records have permanent historical value

archival record. a record that should be kept permanently because of its administrative, legal, fiscal, or research value; also called “historical record”

arrangement. the act or result of placing records in a particular order

audiovisual record. a record stored on a medium that must be accessed through a machine other than a computer (examples include motion pictures and audiotapes of meetings)

CAD or CADD. See “computer-aided drafting and design (CAD or CADD)”

chronological arrangement. the ordering of a records series by date of the individual records

computer-aided drafting and design (CAD or CADD). any system for computer-aided rather than manual drafting and design that displays data spatially on a predefined coordinate grid system, allowing data from different sources to be connected and referenced by location

confidential record. a record that is not open to the public, often to protect the privacy rights of individuals; sometimes called “restricted record”

conservation. the repair and stabilization of damaged documents

cubic foot. a standard measurement for the volume of records, equaling 1,728 cubic inches

data dictionary. a formal description of the information contained in a database (including format, definition, structure, and usage)

data format. a specific type of computer file, such as a Microsoft Word 97 file or a JPEG image file; sometimes called “file format”

data migration. See “migration”

database. a computer file that stores data structured in a way that allows for easy and specific access to information it contains

.....

date span. the period of time covered by a certain set of records

disposition. the final action performed upon records: either destruction or transfer to an archives

duplicate. (noun) an extra copy of a record

electronic information system. a computer-based system that supports the acquisition, creation, storage, processing, management of, and/or access to information

electronic record.

(definition from ESRA) “information, evidencing any action, transaction, occurrence, event, or other activity, produced or stored by electronic means and capable of being accurately reproduced in forms perceptible by human sensory capabilities”

(simple definition) a record that is in electronic form

electronic recordkeeping system. an electronic information system that supports the collection, organization, and categorization of electronic records

Electronic Signatures and Records Act (ESRA). New York legislation passed in 1999 to ensure that electronic signatures are legally binding in government and to clarify the authority of New York government entities to create and maintain records created by computers in electronic form.

ESRA. See Electronic Signatures and Records Act (ESRA)

field. a location in a database that stores a particular type of data (such as an address field, a city field, a state field, etc.)

file.

(noun) a collection of related records that are treated as a unit, sometimes used synonymously with “records series” and sometimes referring to the contents of one case or file folder

(verb) to arrange documents in a logical sequence, or to place a document in its appropriate location within a set of records

file format. See “data format”

filing system. a pre-defined plan using numbers, letters, or keywords to identify and organize records in a systematic scheme

fiscal value. the usefulness of a record in documenting financial decisions and activities

geographical information system (GIS). a computerized database system used to gather, manipulate, display, and analyze spatial data (including maps, three-dimensional models, and tables)

GIS. See “geographic information system (GIS)”

historical record. a record that should be kept permanently because of its administrative, legal, fiscal, or research value; also called “archival record”

historical value. the value of a record to support historical research

inactive record. a record accessed infrequently (for paper records, less than once per month per file drawer) but that is not yet ready for disposition

inactive storage. the maintenance of inactive records in a storage area separate from an active office

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index. an information guide that identifies the location of specific pieces of information within a document or a set of documents (for example, an index to a set of minutes could list topics and when they were discussed, or an index to personnel files could list the names of people included)

indexing. the process of designing a guide to identify and locate specific pieces of information within the records of an organization

inventory. See “records inventory”

legal value. the usefulness of a record in supporting an organization’s business agreements and ownership rights, and in documenting the rights of citizens

LGRMIF. See “Local Government Records Management Improvement Fund (LGRMIF)”

life cycle. the span of time a record exists, from its creation through its useful life to its final disposition or retention

Local Government Records Management Improvement Fund (LGRMIF). a dedicated fund to improve records management and archival administration in New York State’s local governments, comprised of fees collected by county clerks and the New York City Register for the recording of selected documents

medium (storage). a physical material that can record information, such as magnetic tape, optical disc, paper, or microfilm; also called “storage medium”

metadata. information describing a set of data (such as the subject, date, and recipients of an e-mail record)

microfiche. a sheet of microfilm containing multiple images in a grid pattern

microfilm.

(noun) fine-grain, high-resolution photographic film capable of recording images, especially when referring to such film stored on reels

(verb) to capture images of documents on such film

micrographic record. a document stored as a miniature image on microfilm or microfiche

migration. the periodic transfer of data from one electronic format to another, retaining the integrity of the data and allowing users continuing access to the data in the face of changing technology; sometimes called “data migration”

needs assessment. a process that systematically examines a records management problem, evaluates options, and recommends solutions via a formal report

numerical arrangement. the ordering of a records series by file number

obsolete record. a record that has met its retention period, is no longer useful to the organization, and that may be destroyed

official copy. an original record or a copy of an original record, that is used to meet the minimum retention period for that record; also called “record copy”

official record. a record produced or received in the formal conduct of an organization’s business

paper record. a document that is recorded on paper, such as a memo or map

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phonorecord. a plastic disc with a spiral groove etched over its faces, in which sound is recorded that can be played back by running a stylus in the grooves

preservation. the use of procedures and environmental standards to minimize the deterioration of records

RAO. See “regional advisory officer (RAO)”

record.

(informal definition) information, in any format, that is created by an organization or received in the formal operation of its responsibilities

(legal definition for local governments in New York State) any book, paper, map, photograph, microphotograph or any other information storage device regardless of physical form or characteristic which is the property of the state or any state agency, department, division, board, bureau, commission, county, city, town, village, district or any subdivision thereof by whatever name designated in or on which any entry has been made or is required to be made by law, or which any officer or employee of any said bodies has received or is required to receive for filing

(legal definition for state agencies in New York State, plural) all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the state or by the legislature or the judiciary in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities, or because of the information contained

record copy. See “official copy”

records center carton. a box, usually made of corrugated cardboard, that is designed to hold approximately one cubic foot of legal- or letter-size records and that measures 10” x 12” x 15”

records inventory. the process of locating, identifying, and describing the records maintained by an organization; sometimes called “inventory”

records management. the systematic control of all records in an organization throughout their life cycle

records management officer (RMO). the person responsible for overseeing a records management program for a state agency or local government in New York State

records management plan. a written document that outlines a strategy to implement or improve the records management program of an organization

records management program. a coordinated set of policies, procedures, and activities that manage an organization’s recorded information

records retention. See “retention”

records retention and disposition schedule. a list of records series titles that indicates the length of time to maintain each series; also called a “records schedule” or a “retention schedule”

records schedule. See “records retention and disposition schedule”

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records series. a group of related records (such as minutes of a board, payrolls, and purchase orders) that are normally used and filed as a unit and that normally have the same retention requirements

records survey. a review that gathers basic information about the quantity, type, function, location and arrangement of records in an organization

reference frequency. the rate at which people use a set of records

regional advisory officer (RAO). a representative of the New York State Archives who provides records management advice to local governments and state agencies in a particular region of the state

research value. the usefulness of a record in supporting historical and other research

restricted record. See “confidential record”

retention. the act of keeping records for the time required, given their administrative, fiscal, legal, or historical value and use; also called “records retention”

retention period. the amount of time a record must be kept to meet administrative, fiscal, legal, historical or use requirements

retention schedule. See “records retention and disposition schedule”

RMO. See “records management officer (RMO)”

schedule.

(noun) See “records retention and disposition schedule”

(verb) to determine and formalize the retention period for a records series

schedule item. an entry in a records schedule that describes and gives the retention period for certain records

security. the protection of records by controlling which users can access which documents and for what purpose

series. See “records series”

series description. written information about a logical grouping of records, including title, date span, quantity, arrangement, and an explanation of content

State Archives. the New York State Archives, which provides records management and archives services to local governments and state agencies

Storage medium. See “medium”

survey. See “records survey”

vital record.

(records management definition) a record essential for protection of the financial well-being of an organization, its legal rights, and the rights of its citizens or employees; a record without which an organization cannot carry out its business

(birth, death and marriage definition) a birth, death, or marriage record maintained by the official registrar of a New York State local government or by the New York State Department of Health

Appendix B:

- Proposal Sheet
- Iran Energy Sector Divestment Certification
- Statement of Non-Collusion
- W-9

Village of Johnson City
PROPOSAL SHEET

PROFESSIONAL DESIGN/ENGINEERING AND CONSTRUCTION MANAGEMENT SERVICES:

_____ (fill in what is being done)

COMPANY NAME: _____

ADDRESS: _____

DATE: _____

TELEPHONE NO. _____ FAX NO. _____

1. Hereinafter the Bidder, do hereby declare that they have carefully examined the REQUEST FOR PROPOSALS related to the project hereinafter described.

2. The Bidder hereby agrees to _____, pursuant to the specifications, and such _____ shall be _____.

\$ _____
(Write in Numbers)

(Write in Words)

- A. The Bidder declares that he/she is a qualified firm for the project being bid.
- B. The Bidder further declares that the price stated above is to cover all expenses of every kind incidental to the design/engineering and construction management of said project.
- C. The Bidder further declares that he /she will execute the statement of Non-Collusion attached to and forming part of this bid.
- D. The Bidder further declares that he /she will execute the Iranian Energy Sector Divestment Certification attached to and forming part of this bid.
- E. The Bidder further agrees that he/she will execute and return the required form of contract and supply all required bonds and insurance within ten (10) days after the notice

of award is mailed to the Bidder. If he/ she fails to do so, the Board shall have the power to rescind said award. The Request for Proposals, Proposal, Specifications, Iranian Energy Sector Divestment Certification and Non-Collusion Statement will together form a part of said contract.

- F. The undersigned declares that the only persons interested in this proposal are as stated.
- G. The Village reserves the right to reject any or all bids.

NAME OF BIDDER

(SEAL)

BY:

PRINT NAME OF OFFICER AND TITLE

SIGNATURE OF OFFICER

Iranian Energy Sector Divestment Certification:

Please be advised that, The Iran Divestment Act of 2012 (effective April 12, 2012) is codified at State Finance Law("SFL") 165-a and General Municipal Law ("GML") Section 103-9. The Iran Divestment Act, with certain exceptions, prohibits the Municipality from entering into contracts with persons engaged in investment activities in the energy sector of Iran. Each bidder is required to certify at the time it submits its bid that it is not on a list of entities engaged in investment activities in Iran created by the Commissioner of the NYS Office of General Services pursuant to the State Finance Law.

Each bidder must hereby represent that said bidder is in compliance with New York State General Municipal Law Section 103-g entitled "Iranian Energy Sector Divestment". The bidder must affirm that, pursuant to Iranian Energy Sector Divestment Law, that bidder has not invested more than \$20 million in the Iranian energy sector.

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies and in the case of a joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief, that each bidder is not on the list created pursuant to NYS Finance Law Section 165-a(3)(b).

The bidder shall submit a signed, notarized and dated Iranian Energy Sector Divestment Certification with its bid. Said certificate is a requirement of Section 103-g of the General Municipal Law. The Certification starts below.

A bid shall not be considered for award nor shall any award be made where the bidder fails to submit a signed and verified bidder's certification.

Certification Pursuant to Section 103-g of General Municipal Law **IRANIAN ENERGY SECTOR DIVESTMENT**

1. Bidder hereby represents that said bidder is in compliance with New York State General Municipal Law Section 103-g entitled "Iranian Energy Sector Divestment", in that said Bidder has not:

- a) Provided goods or services of \$20 million or more in the energy sector of Iran including but not limited to the provision of oil or liquefied natural gas tankers or products used to construct or maintain pipelines used to transport oil or liquefied natural gas for the energy sector of Iran; or
- b) Acted as a financial institution and extended \$20 million or more in credit to another person for forty-five (45) days or more, if that person's intent was to use the credit to provide goods or services in the energy sector in Iran.

2. Any Bidder who has undertaken any of the above and is identified on a list created pursuant to Section 165-a (3) (b) of the New York State Finance Law as a person engaging in investment activities in Iran, shall not be deemed a responsible bidder pursuant to Section 103 of the New York State General Municipal Law.

3. Except as otherwise specifically provided herein, every contractor submitting a bid in response to this request for bids must certify and affirm the following under penalties of perjury:

- a) "By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each bidder is not on the list created pursuant to paragraph (b) of subdivision 3 of section 165-a of the state finance law"

4. Except as otherwise specifically provided herein, any bid that is submitted without having complied with subdivision (a) above, shall not be considered for award. In any case where the bidder cannot make the certification as set forth in subdivision (a) above, the bidder shall so state and shall furnish with the bid a signed statement setting forth in detail the reasons therefore. The Municipality reserves its rights, in accordance with General Municipal Law Section 103-g to award the bid to any bidder who cannot make the certification, on a case-by-case basis under the following circumstances:

a) The investment activities in Iran were made before April 12, 2012, the investment activities in Iran have not been expanded or renewed after April 12, 2012 and the bidder has adopted, publicized and is implementing a formal plan to cease the investment activities in Iran and to refrain from engaging in any new investments in Iran; or

b) The Municipality has made a determination that the goods or services are necessary for the Municipality to perform its functions and that, absent such an exemption, the Municipality would be unable to obtain the goods or services for which the bid is offered. Such determination shall be made by the Municipality in writing and shall be a public document.

BIDDER'S CERTIFICATION:

☐ By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each bidder is not on the list created pursuant to paragraph (b) of subdivision 3 of section 165-a of the state finance law.

☐ I am unable to certify that my name and the name of the bidder does not appear on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law. I have attached a signed statement setting forth, in detail, why I cannot so certify.

Signature Title

Company Name

Date

STATE OF NEW YORK)
COUNTY OF _____) ss:

On the _____ day of _____ in the year _____ before me, the undersigned, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies) and that by his/her/their signature(s) on the instrument, the individual(s) or the person upon behalf of which the individual(s) acted, executed the instrument.

Notary Public

Dated:

Request for Taxpayer Identification Number and Certification

Give Form to the
requester. Do not
send to the IRS.

► Go to www.irs.gov/FormW9 for instructions and the latest information.

Print or type. See Specific Instructions on page 3.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes. <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► _____ Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) ►	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ (Applies to accounts maintained outside the U.S.)
	5 Address (number, street, and apt. or suite no.) See instructions.	Requester's name and address (optional)
	6 City, state, and ZIP code	
	7 List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number									
				-				-	
or									
Employer identification number									
				-					

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person ►	Date ►
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

Note: If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note: ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)J—

A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note: You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note: See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.SSA.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/Businesses and clicking on Employer Identification Number (EIN) under Starting a Business. Go to www.irs.gov/Forms to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to www.irs.gov/OrderForms to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note: Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.

You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor ²
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ¹
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ¹
6. Sole proprietorship or disregarded entity owned by an individual	The owner ³
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor ⁴
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity ⁴
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.

***Note:** The grantor also must provide a Form W-9 to trustee of trust.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at spam@uce.gov or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5027.

Visit www.irs.gov/IdentityTheft to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.