

**CHAPTER 3
RECORDS RETENTION**

Authority

P.L. 1920, c.46 (N.J.S.A. 47:2-3), P.L. 1953, c.410 (N.J.S.A. 47:3-26 et al.) and P.L. 1994, c.140 (N.J.S.A. 47:3-26 as amended).

Source and Effective Date

R.2003 d.357, effective September 2, 2003.
See: 35 N.J.R. 2437(a), 35 N.J.R. 4084(a).

Chapter Expiration Date

Chapter 3, Records Retention, expires on September 2, 2008.

Chapter Historical Note

The rules in Chapter 3, Records Management, were formerly codified at N.J.A.C. 6:66. Pursuant to N.J.S.A. 52:146-2, the Bureau of Records Management Services in the Division of the State Library in the Department of State and the Archives Section in the Bureau of Law, Archives and Reference Services in the Division of the State Library, Archives and History in the Department of Education, were transferred to the Division of Archives and Records Management in the Department of State, effective June 24, 1983. See: 15 N.J.R. 818(a).

Pursuant to Executive Order No. 66(1978), Chapter 3, Records Management, expired on May 20, 1986 and was adopted as new rules by R.1986 d.238, effective July 7, 1986. See: 18 N.J.R. 820(b), 18 N.J.R. 1401(b).

Pursuant to Executive Order No. 66(1978), Chapter 3, Records Management, expired on July 7, 1991. In accordance with N.J.A.C. 1:30-4.4(f), the rules proposed for readoption with amendments were adopted as new rules by R.1991 d.452, effective August 19, 1991. See: 23 N.J.R. 1912(b), 23 N.J.R. 2519(a).

Pursuant to Executive Order No. 66(1978), Chapter 3, Records Management, expired on August 19, 1996.

Chapter 3, Records Retention, was adopted as new rules by R.1996 d.590, effective December 16, 1996. See: 28 N.J.R. 3513(a), 28 N.J.R. 5183(a).

Chapter 3, Records Retention, expired on December 16, 2001.

Chapter 3, Records Retention, was adopted as new rules by R.2003 d.357, effective September 2, 2003. See: Source and Effective Date.

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SUBCHAPTER 1. GENERAL PROVISIONS

15:3-1.1 Purpose; scope

(a) Pursuant to P.L. 1920, c.46 (N.J.S.A. 47:2-3 et seq.), P.L. 1953, c.410 (N.J.S.A. 47:3-26 et al.), and P.L. 1994, c.140 (N.J.S.A. 47:3-26 as amended), the Division of Archives and Records Management in the Department of State is charged with the responsibility for establishing the framework for the management of public records of the State of New Jersey in a systematic and comprehensive fashion. State and local government agencies are required to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and to provide prompt and timely access to the same.

(b) This chapter encompasses all public entities at the State, county and local government levels, including subdivisions thereof, any department, division, board, bureau, office, commission, district, or institution, or other instrumentality within or created by the State or political subdivision or combination of political subdivisions; or any school, fire, or water district or other special district or districts; and any independent authority, commission, district, institution, or instrumentality; or special districts, and authorities.

15:3-1.2 Definitions

The words and phrases used in this chapter shall have the meanings as defined in the "Glossary of Records Management Terms," ANSI/ARMA 10-1999 as amended and supplemented, incorporated herein by reference, except the following words and phrases which shall have the designated meanings, unless the context clearly indicates otherwise:

"Accession" means:

1. The transfer of the legal and physical custody of permanent records from an agency to the State Archives or other archives;
2. The records, also called "accessioned records," so transferred; or

3. The physical and recordkeeping process involved in transferring legal and physical custody of such records.

"Agency" or "agencies" means:

1. Generally, an organization that provides some service, a body having the authority to represent another or others, a government bureau or administrative division, or the place of business of the same; or

2. Specifically, any, or all, or any combination of the following public agency or agencies, as defined herein, currently or previously existing or to be established, depending on the context:

i. The Office of the Governor and any of the departments of the Executive Branch of State government, and any division, board, bureau, office, commission, institution, or other instrumentality within or created by such department;

ii. The Legislature of the State, and any office, board, bureau, committee, or commission within or created by the Legislative Branch;

iii. Any independent State authority, commission, district, institution, or instrumentality;

iv. Any political subdivision of the State;

v. Any department, division, board, bureau, office, commission, district, or institution, or other instrumentality within or created by a political subdivision of the State or combination of political subdivisions;

vi. Any school, fire, or water district or other district or districts;

vii. Any independent authority, commission, district, institution, or instrumentality;

viii. Any agency or institution created by a political subdivision, district or other independent authority, or combinations thereof;

ix. Any subordinate office or agency of i through viii above;

x. Any office, officer, official, board, or governing body of i through ix above; or

xi. Any combinations of i through x above.

"Active records or files" means any group of public records maintained in the office of a public agency for conducting daily operations and which is referenced at least once per month.

"Archival records" means:

i. Low relative humidity shall be maintained to protect against fungus growth on tapes, particularly tapes that have been spliced. Growth takes place at spliced sites.

ii. If tapes are transferred from an air conditioned storage area to a normal office or reference area, they shall be given 24 hours to acclimate to the new environment before use.

iii. Tape storage areas shall be kept free of dust and other contaminants.

iv. Creation of changing stress in audiotapes by thermal and hydroscopic cycling will result in print-through, deterioration of sonic content, and changes in timing, as well as loss of oxide coating.

7. Accidental exposure of audiotapes to magnetic fields, especially tapes in long-term storage, may cause erasure of recordings.

i. Tapes shall not be stored on metal shelving or in metal storage equipment or enclosures.

8. Tapes shall be stored in polyethylene bags or their plastic boxes may be retained for storage. Cassette tapes without containers shall be provided with new boxes.

9. Tapes shall be stored vertically on shelves to minimize distortion of the tape.

10. Audiotape equipment shall receive periodic maintenance to minimize possible damage to tapes and maximize playback quality. Major areas of maintenance include:

i. Cleaning magnetic heads, capstan, pinch rollers, tape guides and lifters, scape and flutter filters, and tape tension arms;

ii. Demagnetization of tape heads, as well as other metal parts tape contacts;

iii. Replacement of pinch rollers; and

iv. Maintenance operations normally performed by technical personnel, including:

- (1) Alignment of magnetic heads;
- (2) Adjustment of tape tension;
- (3) Replacement of worn heads; and
- (4) Adjustment of bias and equalization.

15:3-6.6 Exclusions

(a) Nothing in this subchapter shall be deemed to restrict any public agency from promulgating, implementing or employing more restrictive standards, procedures or rules for the storage of records in any media, type or format.

(b) The provisions promulgated under this subchapter notwithstanding, the Division of Archives and Records Management and the State Records Committee may, in accordance with the Administrative Procedure Act, N.J.S.A.

52:14B-1 et seq., promulgate, establish or enact such standards, rules or guidelines for the storage of public records which they may deem necessary for the preservation, security or integrity of any public record or series or group of public records.

SUBCHAPTER 7. NEW JERSEY PUBLIC ARCHIVES AND RECORDS INFRASTRUCTURE SUPPORT (PARIS) GRANTS

Authority

P.L. 2003, c.117, Sections 38 and 39

Source and Effective Date

R.2004 d.477, effective December 20, 2004.
Sec: 36 N.J.R. 4000(a), 36 N.J.R. 5688(a).

15:3-7.1 Purpose

This subchapter constitutes the rules of the New Jersey Public Archives and Records Infrastructure Support (PARIS) grant program for the award of grants on the basis of need and specific competitive evaluative criteria to county and municipal governments for the management, storage and preservation of public records pursuant to the provisions of P.L. 2003, c.117, sections 38 and 39.

15:3-7.2 Definitions

The words and phrases used in this subchapter shall have the same meaning as defined in N.J.A.C. 15:3-1.2, as amended and supplemented, except the following words and phrases which shall have the designated meanings, unless the context clearly indicates otherwise.

“Applicant” means the duly chartered and incorporated county, city, township, town, borough, and village government in New Jersey.

“Approved project period” means the amount of time during which the grant recipient shall complete satisfactorily the approved project to be eligible for the full funding authorized for the project.

“DARM” means the Division of Archives and Records Management in the Department of State as established by the Governor’s Reorganization Plan filed April 25, 1983 as set out under N.J.S.A. 18A:73-26.

“Grant award recipient not in good standing” means a county or municipal government that was awarded a PARIS grant in a previous grant cycle but failed to complete all requirements of the grant.

“Preservation” or “records preservation” means the provision of adequate facilities, processes and procedures to

protect, care for, or maintain records, including conversion of records to another media for migration of data or to ensure long-term preservation, and specific measures to maintain, repair, restore or protect records.

“Project Manager” means the full-time management-level executive or officer designated by the governing body to have the authority and subject matter knowledge to oversee the fulfillment of the grant terms. Pursuant to the provisions of N.J.S.A. 40A:9-133(e)(6), the Municipal Clerk shall serve as project manager for any application for a PARIS grant for a municipality.

“Records storage” means the housing and safekeeping of public records as provided in N.J.A.C. 15:3-6.

“State Records Committee” means the body established by P.L. 1953, c.410, Section 6 et seq. (N.J.S.A. 47:3-20), comprised of the State Treasurer, the Attorney General, the State Auditor, the Director of the Division of Local Government Services in the Department of Community Affairs, and the Director of the Division of Archives and Records Management in the Department of State, or their designee.

15:3-7.3 Eligible applicants

(a) An application shall be eligible for a PARIS grant if the following conditions are satisfied:

1. The applicant meets the definition of the term “applicant” found in this subchapter;
2. The applicant’s project manager has personally attended in its entirety at least one mandatory training session on PARIS grant applications presented by DARM; and
3. The applicant is in good standing under the PARIS grant program.

15:3-7.4 Grant categories eligible for funding

(a) Inventory and planning grants that include the following subcategories are eligible for funding:

1. Records inventory, including government-wide or special focus inventories of active and inactive records;
2. Records retention scheduling, as provided by procedures, guidelines and standards established by the State Records Committee per N.J.A.C. 15:3-2.1(e) through (g); or
3. Records survey and program planning, which provides a governmental entity with helpful information about its records by conducting an intensive inventory of the same. The survey shall result in a strategic plan and the development of records management policies and procedures to form a basic framework for on-going records management.

(b) Active records grants that include the following subcategories are eligible for funding:

1. Files management projects to reorganize files, implement classification systems, and develop written policies and procedures to train staff;
2. Planning projects to develop, test and implement disaster and recovery plans and systems;
3. Projects to index or improve access to any active records;
4. Imaging and document management needs assessment and implementation projects;
5. Needs assessments and implementation projects for electronic records management systems;
6. “e-Government” projects to enhance the ability to transact business over the internet;
7. Business process analysis (BPA) projects for the analysis and improvement of business processes that create or maintain records;
8. The development of needs assessments or implementation of records conversion systems not covered under another category; or
9. Projects that use local government records as teaching tools in the classroom.

(c) Inactive records grants that include the following subcategories are eligible for funding:

1. Planning and design projects to conduct feasibility studies and to develop plans for records storage and an inactive records management program; or
2. Implementation of programs and facilities for the improvement of storage, management and preservation of inactive records.

(d) Historical records grants that include the following subcategories are eligible for funding:

1. Needs assessment and planning;
2. Historical records storage facility improvement projects that support alarm systems, fire detection systems and other environmental controls and monitoring equipment;
3. Improving access to historical records;
4. Records conversion for preservation purposes including microfilming and imaging;
5. Preservation consisting of general maintenance and other practices that inhibit deterioration of records;
6. Outreach and public programs that support the use of historical local government records in informational brochures, local history publications, videos, etc.; or
7. Projects that use local historical records as teaching tools in the classroom.

15:3-7.5 Eligible costs

(a) The following expenses directly related to the project are eligible for grants:

1. Document imaging systems and bar coding equipment;
2. The cost of retaining consultants to make studies or prepare reports, recommendations, or inventories;
3. Registration, accommodations and travel to selected professional conferences, seminars, meetings and courses;
4. Purchase of supplies and materials;
5. Capital expenditures for equipment, including computer equipment;
6. Cost of producing publications directly related to the project;
7. Purchase or construction of facilities or additions to existing structures;
8. Repairs to a building;
9. Standard archival and records center boxes and containers, acid free folders and other specialized archival supplies;
10. Shelving, map cabinets and file cabinets;
11. Vehicles used exclusively in the transportation of records and records storage and retrieval equipment; and
12. Professional consultants and temporary or permanent personnel directly related to the grant project.

15:3-7.6 Ineligible costs

(a) The following expenses are ineligible for grants:

1. On-going expenses such as routine repairs, building maintenance, systems maintenance, etc. beyond the grant period;
2. Hiring a grant writer;
3. Purchase of photocopier, fax machine, telephones and other office equipment;
4. Standard office cabinets and files;
5. Office furniture such as desks, chairs, tables or work stations;
6. Office supplies, including tape measures, calculators and marking pens;
7. Wooden shelving of any kind;
8. Cartons or boxes other than the standard archival and records center boxes or other containers;
9. Administrative or operational costs of the agency receiving funding; and
10. Academic degree programs.

15:3-7.7 Procedures

(a) Annual announcement of grant submission dates shall be published in the New Jersey Register and posted on the DARM website www.njarchives.org.

(b) The following four basic steps shall constitute the PARIS grant application procedure:

1. The applicant's project manager shall attend at least one mandatory training session on PARIS grant applications presented by DARM. This training session will review the grant application forms and guidelines that are available on DARM's website. Times and locations for these training sessions shall be posted on the DARM website.

2. The applicant shall submit an application on forms provided by DARM. The application forms shall be available at the address below and posted on the DARM website. A separate original signed written application and either four copies or an electronic version of the complete application on a compact disc shall be submitted for each project. Applications shall be submitted to:

PARIS Grants Administrator
 Division of Archives and Records Management
 PO Box 307
 Trenton, NJ 08625-0307
 Fax: (609) 530-6121
 Email: paris.grants@sos.state.nj.us
 Delivery: 2300 Stuyvesant Avenue, Ewing Township, Trenton, NJ 08618-3226

3. A notice of receipt for each application shall be sent by DARM to each applicant.

4. Completed applications shall include:

- i. The amount of grant and completion date;
- ii. The project period;
- iii. The project scope;
- iv. Special requirements;
- v. A projected completion date;
- vi. Personnel and budget, including an organizational chart and resumes;
- vii. Governing body authorizations;
- viii. Annual or most recent fiscal action plan; and
- ix. Authorized signature.

(1) The governing body of a county shall designate by resolution the signatory for the grant application. The signatory on the application shall be a full-time management-level executive or officer of the county with appropriate authority and subject matter knowledge to oversee the fulfillment of the grant terms. Pursuant to the provisions of N.J.S.A.

40A:9-133(e)(6), the Municipal Clerk shall serve as signatory for any application for a PARIS grant for a municipality.

(c) Each application shall contain sufficient information to ensure that the State Records Committee is able to conduct an adequate and thorough review. Applications not technically complete at the time of review, established by the State Records Committee, shall not be eligible.

(d) Applications not funded in a given grant cycle may be revised and submitted in a subsequent grant cycle.

(e) Application materials for projects not funded shall be retained by the State Records Committee for one year following announcement of grant awards. Applicants may request return of a copy of their application materials within this one-year period. After one year, the State Records Committee may discard all application materials for non-funded projects.

(f) The designated signatory on the application shall serve as project manager responsible for implementation and reporting for a grant.

15:3-7.8 Awarding of PARIS grants

(a) In each grant cycle, PARIS grants shall be allocated according to a ranking of applications in a given grant cycle, subject to the availability of funds.

(b) The ranking of applications shall be based on criteria established in N.J.A.C. 15:3-7.9.

(c) The State Records Committee reserves the right to award less or more funding than requested.

(d) The State Records Committee may award grants on a conditional or outright basis.

(e) Grant decisions of the State Records Committee are final.

15:3-7.9 Criteria for review and ranking of applications

(a) Within a given grant cycle, applications shall be reviewed and ranked on the basis of need and the following specific competitive evaluative criteria:

1. Soundness of the plan of work, including its timetable;
2. Qualifications or suitability of persons who will be paid with grant funds;
3. Appropriateness of the budget for the planned work;
4. Whether the applicant has satisfied each of the requirements for relevant project categories as identified in these rules and elaborated upon in the application and guidelines for PARIS grants;

5. Potential of the project to develop or enhance the management, storage, or preservation of records, rather than to support such on-going activities;

6. Demonstrated support for, and progress towards, developing a records management, storage or preservation program; and

7. Demonstration that the project will adhere to and meet all relevant standards and guidelines for the management, storage and preservation of the related records in accordance with Title 47 of the New Jersey State statutes and implementing rules.

15:3-7.10 Priority for funding

(a) DARM shall annually publish a notice in the New Jersey Register and post on the DARM website www.njarchives.org a listing of the categories, subcategories, and specific projects that have been targeted for funding in a given grant cycle and an annual timetable for the grant cycle.

(b) DARM shall annually publish a public notice in the New Jersey Register and post on the DARM website a timetable for grant applications in a given grant cycle. The annual timetable shall include:

1. Application submission deadlines;
2. Notification of award dates;
3. Start dates of projects;
4. Completion dates of projects;
5. Interim report due dates, if any; and
6. Final report due dates.

15:3-7.11 Commencement of project and payment

(a) Upon receipt of a grant award, payments shall be made based on the following schedule:

1. Up to 50 percent of total grant awarded after notification of approval of application and budget and receipt by DARM of resolution accepting grant award and executed contracts;
2. Additional funds up to 90 percent of total grant based upon estimates of need for funds to continue project and timely submission of any interim reports; and
3. Remainder of total grant awarded after submission of final report on project within approved project period.

15:3-7.12 Grant amounts and duration

(a) The State Records Committee shall establish minimum and maximum amounts for PARIS grant awards based on the funds available pursuant to P.L. 2003, c.117, sections 38 and 39, and shall post these amounts on the DARM website www.njarchives.org and publish them in a public notice in the New Jersey Register.

(b) Grants shall be for a period of not more than one year: however, applications for multi-year projects will be accepted and awarded on an annual basis, provided adequate progress on the project during the previous year of the grant cycle is demonstrated by the applicant.

15:3-7.13 Termination of grants

(a) Grant award recipients that fail to fulfill the terms of the grant will receive notice that their grant funding will be terminated.

(b) Failure to complete all interim or final reporting or other requirements outlined in the grant award shall result in withholding of grant payments.

(c) Grant award recipients shall have 30 days from the notice of termination to satisfy all terms of the notice of termination or remaining grant payments shall be withheld.

(d) Grant award recipients not in good standing shall be ineligible to apply for other PARIS grants.

the Governor's Reorganization Plan filed April 25, 1983, as set out under N.J.S.A. 18A:73-26.

"Director" means the Director of the Division of Archives and Records Management in the Department of State, who also serves as the Secretary of the State Records Committee.

"Emergency disaster and response efforts" means a response to damage caused by fire, water, man-made or natural phenomena where immediate response is necessary to prevent the irretrievable loss of vital, permanent or archival records.

"Project Manager" means the full-time management-level executive or officer designated by the governing body to have the authority and subject matter knowledge to oversee the fulfillment of the grant terms. Pursuant to the provisions of N.J.S.A. 40A:9-133(e)(6), the Municipal Clerk shall serve as project manager for any application for a PARIS grant for a municipality.

"State Records Committee" means the body established by P.L. 1953, c.410, Section 6 et seq. (N.J.S.A. 47:3-20), comprised of the State Treasurer, the Attorney General, the State Auditor, the Director of the Division of Local Government Services in the Department of Community Affairs, and the Director of the Division of Archives and Records Management in the Department of State, or their designee.

SUBCHAPTER 8. RECORDS DISASTER RECOVERY AND TRIAGE (RECORDS DIRECT) GRANTS

Authority

P.L. 2003, c.117, Sections 38 and 39

Source and Effective Date

R.2004 d.478, effective December 20, 2004.
See: 36 N.J.R. 4003(a), 36 N.J.R. 5691(a).

15:3-8.1 Purpose

This subchapter constitutes the rules of the Records Disaster Recovery and Triage grant program for the award of grants to county and municipal governments where immediate response is necessary to prevent the irretrievable loss of vital, permanent or archival records damaged by man-made or natural phenomena.

15:3-8.2 Definitions

The words and phrases used in this subchapter shall have the same meaning as defined in N.J.A.C. 15:3-1.2, as amended and supplemented, except the following words and phrases which shall have the designated meanings, unless the context clearly indicates otherwise.

"Applicant" means any duly chartered and incorporated county, city, township, town, borough, or village government in New Jersey.

"DARM" means the Division of Archives and Records Management in the Department of State, as established by

15:3-8.3 Eligible applicants

County and municipal governments are eligible to apply for these emergency grants.

15:3-8.4 Eligible costs

(a) Costs attendant to the following shall be eligible for grants:

1. Personnel such as conservation/preservation consultants, clerical workers, and laborers;
2. Purchased services such as freeze-drying, microfilming, freezer storage, transportation and rental; and
3. Supplies, such as acid free boxes, folders, and other enclosures, cleaning materials, plastic milk crates, and storage boxes.

15:3-8.5 Procedures for applying for a grant

(a) Applicants shall immediately contact DARM after damage caused by fire, water, man-made or natural phenomena where immediate response is necessary to prevent the irretrievable loss of vital, permanent or archival records.

(b) A DARM representative will make a site visit to determine the nature and scope of the emergency and the immediate danger to vital, permanent or archival records.

(c) Upon recommendation of DARM staff, the Director of DARM may authorize the immediate disbursement of certain Records DIRECT funds and supplies established by the State Records Committee pursuant to the provisions of N.J.A.C. 15:3-8.9.

(d) The DARM representative may assist the applicant in preparing a Records DIRECT grant application developed by DARM. The application form shall be available at the address below and posted on the DARM website www.njarchives.org.

(e) Applications for Records DIRECT grants must be submitted to DARM within 23 working days of an emergency.

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

(g) An original and either four copies or an electronic version of the completed application on a compact disc shall be submitted to:

Records DIRECT Grants Administrator
Division of Archives and Records Management
PO Box 307
Trenton, NJ 08625-0307
Fax: (609) 530-6121
Email: recordsdirect.grants@sos.state.nj.us
Delivery: 2300 Stuyvesant Avenue, Ewing Township, Trenton, NJ 08618-3226

(h) Completed applications shall include:

1. The amount of grant and completion date;
2. The project period;
3. The project scope;
4. Special requirements;
5. A projected completion date;
6. Personnel and budget, including an organizational chart and resumes;
7. Governing body authorizations;
8. Annual or most recent fiscal action plan; and
9. Authorized signature.

15:3-8.6 Awarding of Records DIRECT grants

(a) The application shall be reviewed and acted upon by the State Records Committee within five working days of receipt.

(b) The State Records Committee reserves the right to award less or more funding than requested.

(c) The State Records Committee will notify the applicant by fax, telephone or e-mail whether the application has been approved or denied. A formal notification letter shall follow.

(d) All grant decisions of the State Records Committee shall be final.

15:3-8.7 Criteria for review

(a) Grant applications shall be reviewed based on the following:

1. Recommendations of DARM staff based on site visit(s) and other information gathered by the same;
2. Recommendations of preservation/conservation consultants, if any;
3. All expenditures shall be fully described and justified as to need, cost and choice of method for responding to the emergency; and
4. Applicants shall account for any associated insurance or other funds received in compensation from any liable parties.

15:3-8.8 Commencement of project and payment

(a) Payment of up to 90 percent of the grant award shall be issued upon receipt by DARM of a resolution of the governing body of the applicant and an executed agreement accepting the award.

(b) The remainder of the total grant shall be awarded after submission of a final report on a form provided by DARM.

(c) Grant award recipients who fail to submit a final report shall be ineligible to apply for other Records DIRECT grants.

15:3-8.9 Grant amounts

(a) The State Records Committee shall establish minimum and maximum amounts for Records DIRECT grant awards based on the funds available pursuant to P.L. 2003, c.117, sections 38 and 39, and shall post these amounts on the DARM website www.njarchives.org and publish them in a public notice in the New Jersey Register.

(b) DARM shall establish and maintain a stock of emergency disaster supplies for distribution to a county or municipality in response to a natural or man-made disaster where immediate response is necessary to prevent the irretrievable loss of vital, permanent or archival records.

(c) DARM shall provide a full accounting to the State Records Committee for supplies and funds expended for each Records DIRECT award.