

GRANTS FOR HISTORICAL RECORDS PRESERVATION

Guidelines Application Instructions Application Form 2015

Funded By



NATIONAL
ARCHIVES

NATIONAL HISTORICAL
PUBLICATIONS
& RECORDS COMMISSION



TABLE OF CONTENTS

2015 Grant Application Guidelines	1
Who is eligible for a grant?	1
What kinds of projects can be funded?	1
Are there any restrictions on grant funds?	2
What are the responsibilities of grant recipients?	2
How do localities apply? How are the awards decided? When must grant projects be completed?	2 - 3
Grant Application Instructions	4
Description of grant project	4
Budget	5
Narrative	6
Local Records Grant Application Form	7 - 10

GRANT PROJECT GUIDELINES

The Alabama State Historical Records Advisory Board (SHRAB), using funds provided by the National Historical Publications and Records Commission (NHPRC), is offering grants for local archives development/capacity building and projects that make unique records accessible. Government Services Division archivists of the Alabama Department of Archives and History (ADAH) serve as SHRAB staff and will advise grant recipients on the implementation of their projects.

Who is Eligible for a Grant?

Any district, county or municipal governmental entity with records responsibilities; non-profit historical entities such as historical associations, genealogical societies, private college libraries or archives; and non-government archives and museums. We especially encourage cooperative efforts in which government agencies and non-profit entities work together to preserve their community's historical records.

What Kinds of Projects Can Be Funded?

For this cycle, the SHRAB will have \$32,500 to allocate statewide. The goal for this round of regrants is to fund two categories of awards: awards of \$1,000-\$2,000 for records preservation and access projects and awards of up to \$5,000 for creating, or substantially improving, sustainable local archives programs. Each application will be evaluated on its merits, and other kinds of proposals remain eligible for grant support. Because the SHRAB has a smaller sum available for this grant cycle, each applicant's financial need, relative to others with similarly fundable proposals, will be a larger factor in award decisions than before.

Examples of eligible projects might include:

- Hiring qualified consultants to plan archival programs; evaluate potential buildings or improve existing ones; create disaster plans; or provide other, relatively long-term assistance that exceeds the time or expertise ADAH staff can offer to a project free of charge while moving forward the development/ sustainability of a local archives.
- Funding archival education for untrained staff or volunteers from new or developing archives that lack a professional archivist.
- Outfitting, or significantly upgrading, new or existing local archival facilities, such as by purchasing environmental monitoring equipment, protecting records from ultraviolet light, or obtaining archival-quality storage equipment and supplies. Such activities have always been funded by SHRAB regrants, but the focus will be on providing basic or critically needed improvements, rather than "convenience" purchases for well-established programs.

The SHRAB will consider other types of projects, so long as they fall under the aegis of historical records preservation/access. If an applicant wishes, SHRAB staff will review a draft proposal

and advise the applicant on making it as competitive as possible. Finally, applicants should note that this grant program seeks to preserve historical records that document localities, although such records may well have wider interest. With only \$32,500 available statewide, each applicant's financial need and access to other funding sources will necessarily be important factors in the board's decision, as will evidence of cost-sharing or other local support.

Are There Any Restrictions on Grant Funds?

Grant funds may not be used as salary for existing staff positions, for any records lacking an Alabama connection, or for any records that will not be available to the public. Although projects to scan or microfilm historical records are eligible for limited support, the amount awarded is unlikely to cover major equipment purchases or large-scale reformatting work.

Travel. In some cases, grant funds may be used to cover project travel costs. For example, an archives might wish to send staff/volunteers to a "Basics of Archives" workshop. To qualify for grant support, projects involving travel must include detailed travel budgets or—if an unexpected need arises during the grant period—must be authorized beforehand by the SHRAB staff.

Equipment, Supplies, Materials, and Services. To qualify for grant funding, all equipment, supplies, and services must be purchased during the grant period and relate directly to the project. Itemized cost estimates from vendors must be included with the application, and supplies and services acquired from vendors must be approved beforehand by the SHRAB staff. Records conservation or reformatting work must meet archival standards (such as ANSI/AIIM standards for silver halide microfilm or digitization). For assistance in identifying standards and locating qualified vendors, consult <http://www.archives.alabama.gov/officials/imagingVendors.pdf> or the SHRAB staff.

What Are the Responsibilities of Grant Recipients?

Each applicant must be prepared to provide a minimum 25% cost-share of the total project budget. The local share may consist of direct financial contributions (such as hiring staff or purchasing equipment); a percentage of staff or volunteer time devoted to the project, based on staff members' hourly pay rates or volunteers' time counted at \$8.00 per hour; or a combination of the two.

Grant recipients will be required to document all project expenditures (both grant funds and cost-sharing) and to file a final financial report. SHRAB staff or other authorized government entities have the right to audit projects. Each grant recipient must also submit a final narrative report, describing how successfully the goals outlined in the project's application were accomplished.

How Are the Awards Decided? When Must Grant Projects Be Completed?

A grant application form and detailed instructions are included in this booklet. Completed applications will be reviewed by SHRAB staff (archivists of the ADAH Government Services Division), evaluated by the SHRAB's grant review committee, and submitted to the entire board for decisions on awards. Grant proposals may be fully funded, partially funded, or rejected by the board. Here is a timetable for the 2013-14 grant cycle:

February 18, 2015:	SHRAB holds planning meeting for fourth regrant cycle.
March, 2015:	SHRAB staff disseminates regrant application information.
April-May, 2015:	SHRAB staff holds five regional regrant application workshops around state
May – July, 2015	SHRAB staff accept/review draft applications.
July 15, 2015:	Final regrant applications due.
July-August 2015:	Review of regrant applications by SHRAB staff and grant review committee.
September, 2015	SHRAB meets to decide upon awards (September).
October 1, 2015:	SHRAB announces regrant awards.
October, 2015:	SHRAB staff members hold training workshop for regrant recipients.
November 1, 2015:	Official Project Start date
May 1, 2016	Final reports due from regrant projects.

Note: Starting and ending dates for individual projects may vary within the boundaries of the grant cycle. A project may complete its work before the formal ending date. It *must* complete work—and submit a final report—by the formal ending date, unless the SHRAB staff has granted the project an extension in advance.

GRANT APPLICATION INSTRUCTIONS

(The Local Records Grant Application form follows these instructions)

Front Page (Summary Information)

The purpose of this page is to provide a quick summary of the grant proposal for review by the SHRAB staff and board members.

Agency/Entity Applying. List the name of your local government agency or historical entity, e.g.: "Kudzu County Probate Office, Town of Bug Tussle, Camellia County Genealogical Society."

Federal Employer Identification Number. If your agency or entity has a Federal Employer Identification Number (FEIN), list it here.

Project Director. This should be the person primarily responsible for directing grant activities; ensuring that the project is successfully completed; complying with grant guidelines; supervising project workers; and coordinating with vendors, consultants, and the SHRAB staff. The director is also responsible for submitting the project's reports. The director might not be the grant's financial administrator (usually the organization's chief financial officer) or the project's authorizing official (usually the head of the entity), but both of them should sign the application form. Please provide all contact information for the director that is requested, as this person will be the SHRAB's primary contact for the project.

Description of Grant Project

Title of Project. The title should be a brief description of what the project proposes to accomplish, e.g.: "Inventory and Reorganization of Courthouse Records Storage Areas," "Municipal Archives Development Project," "Disaster Plan for the Kudzu County Public Library," "Digitizing Historical Newspapers Held by Bug Tussle Historical Society."

Starting Date/Ending Date. List the dates the project will begin and end its work. (Dates for the grant cycle are found above in the application guidelines.)

Description of Grant Project. This should be only a brief summary, confined to the space provided. The grant application narrative (described below) permits applicants to use up to five (5) double-spaced pages for describing the project in detail.

Funding Required for Project. Here, list the summary budget information for the project, using the "TOTAL GRANT COST" figures compiled at the end of the application form. Remember that the SHRAB requires all grant recipients to provide a minimum 25% cost-share of the total project budget. The local match may be either cash or in-kind contributions (such as the value of staff time, supplies, and services the recipient devotes to the project).

Certificate of Authorization. The certificate should be signed by the person who is authorized to speak for the agency's governing body, verifying that information in the application is complete and accurate and that the agency will comply with all terms and conditions of the grant award.

BUDGET FORM

Salaries and Wages. List the names and titles of all persons (staff, volunteers and consultants) who will work on the grant project. Include the salary or wages each will receive during the grant period. Examples of methods for calculating salary are shown below:

- A salaried agency employee who devotes 10% of his/her time to a four-month project would calculate grant-related salary by multiplying 4 x 1 month's salary x 10%. The resulting figure would be listed under "local funds" as part of the agency's cost share.
- A person hired full-time to work on the project, and paid with grant funds, would calculate salary as 4 x 1 month's salary x 100%. The total would be listed in the "grant funds" column.
- Applicants may increase the working hours of existing part-time staff to fulfill grant-related duties and may pay staff with grant funds for extra working hours directly related to the project. However, grant funds may *not* be used to replace local funding for existing full-time positions.
- Volunteers may be used on projects, and the value of their work included as part of the grant recipient's cost share. The SHRAB has directed that volunteer labor may be calculated at the rate of \$8.00 per hour.

Consultants. List the names of any consultants hired for the project. In the application narrative, explain fully what the consultant is expected to do (subjects on which advice is sought, specific tasks to be performed). *Be sure to include the consultant's résumé with the application.* The consultant will be expected to provide the project director with a written report, including detailed recommendations, which should accompany the project's final report. Unless a flat fee can be quoted, calculate payment by multiplying the anticipated daily/hourly rate by the number of days the consultant will work. List this total under "grant funds" or "local funds," as appropriate. Grant funds may be used to pay consultants up to \$300 per day for a maximum of 10 days. Travel expenses may also be included, reimbursed at the rate outlined for travel.

Equipment, Supplies, and Materials/Services. Estimated costs should be itemized and listed under "grant funds" or "local funds" as appropriate. For all grant-funded equipment, supplies, and services, product specifications and vendor price quotations must accompany the application.

Travel. If the project's work plan includes travel, list the anticipated number of trips, the number of people participating, and the estimated cost. Include *per diem*, room and board, and/or the travel reimbursement rate, as applicable. The use of grant funds for travel is limited to the maximum amounts authorized by your locality's travel reimbursement policy. Non-government entities may use the state's *per diem* rates: .575 cents per mile for mileage, \$75 per day for overnight travel (including meals and lodging), \$30 for day trips over 12 hours, and \$11.25 for trips of 6-12 hours.

Summary Budget. Here, enter the subtotals for the various project categories listed, using the "grant funds" or "local funds" columns as appropriate. Add up the subtotals to obtain the "TOTAL GRANT COST." The final figures should be identical to the "Total Cost" figure on page 1 of the

application form. Double-check that all expenditures proposed in the narrative are accounted for in the budget, and that all expenses listed in the budget are described and justified in the narrative.

Financial Administrator of Grant. List the name, title, and contact information for the person who has responsibility for overseeing and documenting expenditures on the grant project. (Normally, this person will be the organization's chief financial officer.) The financial administrator will be responsible for ensuring that all financial terms and conditions of the grant are met and for preparing the project's final financial report.

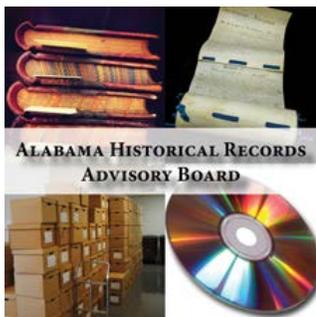
The Grant Application Narrative

The grant application narrative should be typed on 8½ x 11" paper, double-spaced, with numbered pages. It should be no more than five (5) pages long and should be organized as follows:

Statement of the Problem. Describe the records the project intends to preserve: their content, quantity or volume, age, condition, and historical value. What conditions impede access to them or threaten their long-term preservation? Who has legal custody of them? Will that person or agency cooperate in the grant project? How are you, as the grant applicant, qualified to help?

Proposed Project. Describe how the project will solve the problems you have outlined. What are your goals? What specific activities are proposed during the grant period? What short- and long-term benefits will they provide? If the project establishes an on-going program, what evidence can you offer of continued funding once the grant expires?

Plan of Work. The plan of work is all-important. It should set up an orderly process for completing project goals during the grant period and describe specific steps. The duties of all project staff, consultants, and vendors should be outlined in detail. A logical timeline of activities will demonstrate that the project has been well planned and, if funded, can successfully complete its work within the time provided.



SHRAB LOCAL RECORDS PRESERVATION 2015 GRANT APPLICATION

ADAH Use Only
Application #:

Agency/Entity Applying: _____
Federal Employer Identification (FEIN) Number: _____

Project Director:
Name/Title: _____ E-Mail Address: _____

Address: _____ Telephone No.: _____

City/State/Zip: _____ Fax No.: _____

Description of Grant Project:
Title of Project: _____

Starting Date: _____ Ending Date: _____

Summary Description of Project (use only space provided; form has space later for project narrative):

Funding Required for Project:
Grant Funds: _____ Local Funds: _____ Total Cost: _____

CERTIFICATION OF AUTHORIZATION

To the best of my knowledge and belief, all information on this form and in the narrative is accurate and complete. The document has been duly authorized by the applicant's governing body, and the applicant will comply with all terms and conditions of the grant if funds are awarded.

Signature of Authorizing Individual: _____

Name/Title of Authorizing Individual: _____ Date: _____

Send the completed form (including narrative) to:

Government Services Division
Alabama Department of Archives and History
P.O. Box 300100
Montgomery, AL 36130-0100

Or submit form by fax to (334)353-4321, or by e-mail (as a PDF attachment) to: records@archives.alabama.gov. Questions? Contact Tom Turley (334-353-4607), Tracey Berezansky (334-353-4604), or Cole Smith (334-353-4605).

BUDGET FORM

Salaries and Wages:List names/titles of all project staff, volunteers, and consultants; their payment during the project; and the source of the payment (grant or local funding).

Position (name/title if known)	Grant Funds	Local Funds	Total
Subtotals:			

Equipment, Supplies, Materials: List equipment, supplies, and materials to be purchased for the project. Include specifications and vendor price quotations with application.

Item	Grant Funds	Local Funds	Total
Subtotals:			

Services: List costs of any vendor-provided services or activities not shown under other budget categories.

Item	Grant Funds	Local Funds	Total
Subtotals:			

Travel: If travel is part of the project, list anticipated number of trips, number of people participating, and estimated cost. Include per diem, room and board, and travel reimbursement rates, as applicable. (Attach extra page if needed.)

Item	Grant Funds	Local Funds	Total
Subtotals:			

SUMMARY BUDGET:

Add subtotal lines to obtain summary budget figures. (All projects require a 25% cost-share of the total project budget from the grant recipient. Cost-sharing can be either cash or in-kind contributions.)

	Grant Funds	Local Funds	Total
Salaries and Wages			
Equipment, Supplies, Materials			
Services			
Travel			
TOTAL GRANT COST:			

Financial Administrator of Grant:

This person is responsible for actual financial administration of the grant, for ensuring compliance with its terms and conditions, and for preparing financial documentation and reports.

Name/Title: _____ E-Mail Address: _____

Address: _____ Telephone No.: _____

City/State/Zip: _____ Fax No: _____

GRANT APPLICATION NARRATIVE

Review the instructions in the application guidelines before completing this section. The narrative should be no longer than five (5) double-spaced, typewritten pages (8½ x 11" paper) and should be attached to this application form.

If you have any questions about the application process or need assistance during your grant project, please contact Tom Turley or Cole Smith, Government Records Archivists, or Tracey Berezansky, SHRAB Deputy Coordinator, at:

Government Services Division
Alabama Department of Archives and History
P.O. Box 300100
Montgomery, AL 36130-0100

Telephone: 334-353-4607 (Tom), 334-353-4604 (Tracey), 353-4605 (Cole)

Fax: (334) 353-4321

E-mail: Tom.Turley@archives.alabama.gov

Tracey.Berezansky@archives.alabama.gov

Cole.Smith@archives.alabama.gov

SHRAB website: <http://www.archives.alabama.gov/hrb/>



NATIONAL
ARCHIVES

NATIONAL HISTORICAL
PUBLICATIONS
& RECORDS COMMISSION

*Program funded by the National Historical Publications and Records
Commission of the National Archives through their State Partnership
Grant Program*