



**Alabama  
Historical Records  
Advisory Board**

**GRANTS FOR HISTORICAL  
RECORDS PRESERVATION**

**Guidelines, Application Instructions  
and Application Form  
2013-2014**

**Funded by:  
The National Historical Publications and Records Commission and the Alabama  
Department of Archives and History**

## TABLE OF CONTENTS

2013 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
Grant Application Instructions	4
Description of grant project	4
Budget	5
Narrative	6
Local Records Grant Application Form	7

# GRANT PROJECT GUIDELINES

The Alabama Historical Records Advisory Board (HRAB), using funds provided by the National Historical Publications and Records Commission (NHPRC), is offering grants to “assist local governments and historical repositories in developing comprehensive, accessible, and efficiently managed documents and records preservation programs.” Government Services Division archivists of the Alabama Department of Archives and History (ADAH) serve as HRAB staff and will work with grant recipients to complete their projects.

## Who is Eligible for a Grant?

Any county or municipal government or agency is eligible to apply for a grant, as are non-profit historical entities, such as historical associations, genealogical societies, university libraries or archives, and non-government archives and museums. Circuit courts and their records may also be included in grant projects. 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 HRAB will have only \$30,000 to allocate statewide. While no arbitrary limit will be set upon awards, manageable and cost-effective projects will have an even greater competitive advantage than in previous grant cycles. The HRAB will especially encourage projects that start new records preservation efforts; or acquire, preserve, or make accessible historical records that have been endangered or inaccessible before. Each application will be evaluated on its merits, and other kinds of proposals remain eligible for grant support. Because the HRAB 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 an archival or records management consultant or obtaining archival records/management training.** Although ADAH staff can offer limited on-site assistance free of charge, a consultant can provide long-term, comprehensive guidance in—for example—planning an archival or records management program, creating a disaster plan, conserving endangered collections, assessing existing or potential repositories, improving their records storage capacity or environment, and identifying additional funding sources for preserving records. ADAH can refer regrant applicants to experienced archival consultants; grant funds will cover up to \$300 per day of the consultant’s fee. Although all award recipients will attend a basic archival training workshop (at no cost), they may also use grant funds to cover travel costs and registration for other training opportunities, such as Archival Training Collaborative workshops, if further training would be beneficial to their projects. Grant funds may also be used to host a training workshop.
- **Conducting a records inventory and improving storage space.** Local governments or historical repositories can hire temporary workers (such as students from a nearby college) to inventory neglected records storage areas, supervised by staff. Applying the Local Government Records Commission's records disposition authorities (RDAs), if appropriate, they can dispose of outdated temporary records occupying needed space, thus allowing better access to historical government records that must be preserved. Once disposable records have been removed, grant funds may be used for clearing out non-record clutter; making minor

repairs or renovations; purchasing equipment to control humidity, temperature, mold, and ultraviolet light; and acquiring archival shelving and acid-free boxes and file folders to house historical records. Other equipment eligible for purchase with grant funds includes humidifiers, dehumidifiers, hygrothermographs, and HEPA vacuum cleaners.

- **Cataloging, indexing, or preparing finding aids for historical records.** Grant funds may be used to purchase computers, scanners, and software for cataloging, indexing, and creating finding aides for records that have high historical or genealogical value but are currently not easily accessible for research. Labor on such projects can be counted as part of the agency's cost-share. Most cataloging/ indexing proposals should fall within grant guidelines, but projects that focus on newly acquired or previously unavailable collections will be given priority during this grant cycle.
- **Undertaking limited conservation or reformatting projects.** Examples of such projects might include restoring early minute books, encapsulating fragile documents, scanning historical photographs, or micro-filming/digitizing old newspapers (those not already microfilmed under the Alabama Newspaper Project; a list is available on the ADAH website at: <http://www.archives.alabama.gov/newsmicro/search.cfm>). All items eligible for conservation or reformatting must qualify as historical records and have a local application. Funds available under these grants will not suffice for large reformatting projects. Applicants must describe the methods to be used for conserving/reformatting records in detail, ensuring that they comply with recognized archival practice. Although projects to digitize historical records are eligible for grant support, the HRAB regards digitization primarily as a means of access, not records preservation. Proposals that employ scanning or digital photography are more likely to be funded if they include a plan for preserving original records of historical significance after they are digitized.

The HRAB will consider other types of projects, so long as they fall under the aegis of historical records preservation. If an applicant wishes, HRAB 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 \$30,000 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, a county government developing an archives might wish to visit other county archives. 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 HRAB 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 HRAB 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 the HRAB staff.

## **What Are the Responsibilities of Grant Recipients?**

Each applicant must be prepared to provide a minimum 50% 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. HRAB 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 HRAB staff (archivists of the ADAH Government Services Division), evaluated by the HRAB'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:

<b>February 27, 2013:</b>	HRAB holds planning meeting for third regrant cycle.
<b>March-May, 2013:</b>	HRAB staff disseminates regrant application information statewide and holds preliminary regrant application workshop at ADAH (May).
<b>June 1, 2013:</b>	Third regrant cycle begins.
<b>June-July, 2013:</b>	HRAB staff holds four regional regrant application workshops (early June) and begins accepting/reviewing draft applications.
<b>August 1, 2013:</b>	Final regrant applications due.
<b>August-September 2013:</b>	Review of regrant applications by HRAB staff and grant review committee. HRAB meets to decide upon awards (September).
<b>October 1, 2013:</b>	HRAB announces regrant awards.
<b>October 17, 2013:</b>	ADAH holds training workshop for regrant recipients, after which projects begin work.
<b>May 31, 2014:</b>	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 HRAB 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 HRAB 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 Employee Identification Number.** If your agency or entity has a Federal Employee Identification Number (FEIN), or a tax-free number, 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 HRAB 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 HRAB’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 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 HRAB requires all grant recipients to provide a minimum 50% 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 months 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 months 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 HRAB 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: .565 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.



**HRAB  
LOCAL RECORDS PRESERVATION  
2013 GRANT APPLICATION**

<b>ADAH Use Only</b>
Application #: _____

Agency/Entity Applying: \_\_\_\_\_

Federal Employee 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](mailto:records@archives.alabama.gov).

Questions? Contact Tom Turley or Tracey Berezansky at (334)242-4452.

**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
<b>Subtotals:</b>			

**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
<b>Subtotals:</b>			

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

Item	Grant Funds	Local Funds	Total
<b>Subtotals:</b>			

**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
<b>Subtotals:</b>			

**SUMMARY BUDGET:**

Add subtotal lines to obtain summary budget figures. (All projects require a 50% 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			
<b>TOTAL GRANT COST:</b>			

**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, Local Government Records Archivist, or Tracey Berezansky, HRAB Deputy Coordinator, at:

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

**Telephone:** (334) 353-4607 (Tom) or (334) 353-4604 (Tracey)

**Fax:** (334) 353-4321

**E-mail:** [Tom.Turley@archives.alabama.gov](mailto:Tom.Turley@archives.alabama.gov)

[Tracey.Berezansky@archives.alabama.gov](mailto:Tracey.Berezansky@archives.alabama.gov)

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