

Grants for Historical Records Preservation

Guidelines Application Instructions Application Form 2016

Funded By



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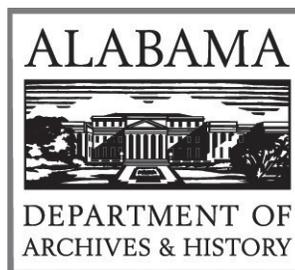


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GRANT PROJECT GUIDELINES

Grant Objectives

The Alabama State Historical Records Advisory Board (SHRAB) provides grant opportunities based on receipt of federal grant funds from the National Historical Publications and Records Commission (NHPRC) for the program. In 2016 the Board has \$34,500 in funds available for regrant opportunities. The SHRAB's objectives for its grant program include:

- Providing start-up funds for the development of local archives programs by community organizations - governmental or non-profits
- Funding projects that help current repositories with local archives expand their archival skills
- Assisting repositories holding local archives in identifying, providing access to, and preserving their collections
- Assisting repositories with local archives to incorporate collection care best practices into their processes
- Developing the capacity of repositories with local archives to be sustainable local historical organizations

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 are the grant categories?

For this cycle, the SHRAB will have \$34,500 to allocate statewide. The goal for this round of regrants is to fund three categories of awards: mini grants of \$1,000-\$2,500 for a wide variety of basic records preservation and access projects; major grants of up to \$5,000 for creating, or substantially improving, sustainable local archives programs; and \$175 StEPs Program enrollment fee reimbursement, open to previous regrant recipients willing to undertake enrollment in the StEPs self-assessment program. 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.

What kinds of projects can be funded?

Examples of eligible mini grants might include:

- Cleaning up a basement/attic/storage areas to make it better suited as an archives
- Creating an inventory of the collections (required if one has not already been created)
- Processing a specific group of materials
- Digitizing a specific group of materials
- Purchasing archival containers, folders, shelving, and other archival supplies for housing materials
- Tinting windows to eliminate harmful UV rays

Examples of eligible major grants might include:

- Hiring consultants to formulate plans for starting an archives, assessing the needs of an existing program, or creating a large-scale collection preservation assessment plan;
- Working to bring large community-relevant collections into archival care, such as collections from major local industries or businesses, collections from a local television station or photographer, or other large collections that document an aspect of the local community's history
- Moving into formal archival description practices through EAD, ArchivesSpace, or other descriptive tools; or training staff/volunteers
- Large-scale digitization programs designed to make more archival material available for public access
- Developing exhibits and other public outreach 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 \$34,500 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.

Send the completed mini and major grants application forms (including narrative) to: SHRAB, 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 Becky Hébert (334-353-5039 or becky.hebert@archives.alabama.gov), Cole Smith (334-353-4605 or coleman.smith@archives.alabama.gov) or Tracey Berezansky (334-353-4604 or tracey.berezansky@archives.alabama.gov).

StEPs program information:

StEPs is the Standards and Excellence Program for History Organizations. It is conducted by the American Association for State and Local History (AASLH). The SHRAB is promoting StEPs as an effective self-study tool for staff and volunteers wishing to contribute to the long-term health of their history organizations. The board hopes to promote participation in StEPs by paying the enrollment fee for selected applicants. The one-time StEPs enrollment fee of \$175 never expires. The SHRAB will reimburse the fee to grantees upon proof of enrollment. To be eligible, an organization must have historical records within its care and must have been a previous recipient of a SHRAB grant award.

Through a workbook, online resources, and an online community, organizations enrolled in StEPs assess their policies and practices and benchmark themselves against nationally recognized standards. The program is divided into six sections that can be addressed in any order. In each section, organizations can identify their current practice as Basic, Good, or Better. Each level has its indicators, allowing organizations to set realistic goals and tackle challenges in small, manageable steps. Learn more at <http://tools.aaslh.org/steps>.

To be enrolled in StEPs, an organization must hold a current AASLH institutional membership. An active institutional membership is required in order to stay eligible for program certificates. Annual dues for a basic institutional membership are \$115. Learn more at: <http://about.aaslh.org/membership>.

The Alabama Department of Archives and History is a statewide facilitator for StEPs. For assistance with your StEPs enrollment grant application, contact John Hardin at (334) 353-5441 or john.hardin@archives.alabama.gov.

Are There Any Grant Requirements?

The mini and major grant opportunities have the following requirements:

- All applicants must provide a 25% match (in-kind or cash) of the total project budget.
- All materials included as part of grant projects must be available for public access on a regular schedule.
- The application must include either an inventory of the collection or a web link to where SHRAB staff may access the inventory. Applicants, if they do not already have an inventory of their collections, must include an inventory as part of their project activities.
- After the awards are announced, funded applicants must send at least one project team member to a training session, held at a time to be determined, at the State Archives.
- StEPs reimbursement grants are only open to previous regrant awardees.

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, 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 2016 grant cycle:

February 23, 2016:	Grant staff hold regrant application workshop in Montgomery. Information on fifth regrant cycle and StEPs opportunity disseminated statewide.
February/April, 2016:	SHRAB staff disseminates regrant application information.
April 29, 2016:	Final applications due.
May-June 2016:	Review of applications by grant staff and SHRAB grant review Committee. SHRAB meets to decide upon awards.
June 30, 2016:	SHRAB announces regrant and StEPs awards.
July 20, 2016:	ADAH holds training workshop for regrant recipients. Regrant projects begin work.
December 31, 2016	StEPS awardees' deadline for filing proof of enrollment.
January 31, 2017:	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.

SHRAB Staff:

Becky Hébert (334-353-5039) or becky.hebert@archives.alabama.gov,
Cole Smith (334-353-4605) or coleman.smith@archives.alabama.gov,
Tracey Berezansky (334-353-4604) or tracey.berezansky@archives.alabama.gov.

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 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 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.