



Tennessee Historical Records Advisory Board (THRAB) State and National Archival Partnership (SNAP) Regrant 2011-12 Guidelines and Application Instructions

The Tennessee Historical Records Advisory Board (THRAB) has received funding from the National Historical Publications and Records Commission (NHPRC) to administer a State and National Archival Partnership Regrant program for improving the preservation of and access to Tennessee's historical records.

I. Overview of the Grant Program:

Purpose

The main purpose of the SNAP regrant will be to increase funding for Tennessee's historical records, preserving and providing access to Tennessee's historical records, educating and training records custodians, and supporting archival program development and enhancement. Eligible historical records repositories will receive limited grant funds for projects to support basic preservation, arrangement and description, proper storage, and public access to its collections.

Grant Amounts and Requirements

The maximum grant award to any one organization or institution is **\$5,000**.

Requests for amounts **up to \$2500**—no match is required.

Requests for amounts of \$2501 through \$5000—a 25% **in-kind** match is required.

Deadlines and Timetables

October 31, 2011	Deadline for Applications
December 1, 2011	Projects begin
July 31, 2012	Projects end
August 31, 2012	Final project reports are due

Eligibility

Eligible Organizations:

- ✓ **Governmental Organizations** [including public universities, county and municipal records repositories and school districts].
- ✓ **Small and Medium Sized Historical Records Repositories:** A non-profit institution or organization such as a historical society, library, museum, college or university, church, or other similar institution or organization [must prove tax exemption or 501(c)(3) status].
- ✓ **Professional Organizations:** A non-profit organization or institution [must prove tax exemption or 501(c)(3) status] engaged in activities that serve and/or support the Tennessee archival community in education and training and/or services to preserve and/or provide access to Tennessee's historical records.

Ineligible Organizations:

- ✗ For-profit organizations
- ✗ Organizations that do not provide public access to their historical records

Conditions

- ✓ The applicant must demonstrate financial need and that it is prepared to carry out the objective of the proposal within the grant period.
- ✓ The applicant must have custody of historically significant original records.
- ✓ Records treated in the proposed project must be made available for public research.
- ✓ An affected organization must be committed to sound archival practices, as demonstrated through its collection policy or a statement from its governing body indicating its commitment to (1) support the project, and (2) the continuation of the project's purposes beyond the grant period.
- ✓ A person qualified by credentials or training to carry out the objectives of the proposed project must supervise the project. If this requirement is not met at the time the proposal is submitted, or if the purpose of the grant is for education and training, the proposal must include provisions for attending THRAB-sponsored or THRAB-approved training.

II. Funding Priorities and Categories

THRAB has the following basic regrant project funding priorities:

- ✓ Preserving and providing access to Tennessee's historical records
- ✓ Providing education and training for records custodians
- ✓ Developing and enhancing archival programs

Eligible Projects

Needs Assessment and Project Planning

Activities to expand and/or strengthen programs in Tennessee's historical records repositories, especially:

- ✓ Consultant advice and assistance in assessment and action recommendations and policy formation.
- ✓ Development of records management programs, especially inventory and scheduling that have an archival component.

Preservation Work Projects

Including, but not limited to:

- ✓ Conducting preservation planning and/or developing a disaster preparedness plan with the aid of a consultant.
- ✓ Procurement of archival supplies [acid-free boxes, folders, shelving, etc.], equipment, or furnishings that directly help to salvage, stabilize and preserve endangered historical records.

Archival Education and Training

This includes workshops, seminars, and other means of instruction on archives practices and policies. Applicants should make use of appropriate existing instructional materials rather than developing new ones. Preference will be given to education and training proposals that will benefit more than one institution and target staff in the state's smaller repositories.

Access: Arrangement and Description

Identifying, organizing, and improving access to historical records. All projects must demonstrate adherence to [TSLA guidelines](#) and recognized national standards.

Ineligible Projects

- ✗ Outreach and exhibits
- ✗ Collections of commercially produced newspapers, artistic works, or artifacts
- ✗ Historical materials that are privately owned or not open for public access
- ✗ Major capital improvements such as land or structure purchases or renovations
- ✗ Purchase of historical collections or documents

III. Funding Criteria and Policies

Review Criteria

THRAB will review and evaluate all eligible applications received during the specified period described in the guidelines. THRAB may award all or none of the funds requested, offer partial or conditional funding, and encourage revision and/or resubmission. In determining whether an applicant shall receive a grant, THRAB will consider the following factors:

- Will the project identify, preserve and/or make accessible significant Tennessee historical records?
- Will the project increase the archival knowledge and/or skills of archivists and other historical records custodians?
- Will the project institute sound archival practices?
- Are the proposed activities and expenditures appropriate and cost effective?
- Does the submitted proposal adhere to regrant project application requirements and does it contain sufficient information for THRAB decision-making?

Specifically:

Statement of Need: In archival records projects, explain the significance of the records in question and why they need to be preserved and/or processed. For education and training projects, why is it needed and who will it benefit.

Plan of Work: The soundness of the work plan is critical, focused, clearly defined, and achievable.

Participants: The qualifications and/or plans for training project personnel, including resumes.

Budget: Is the budget realistic and accurate? A minimum 25% in-kind matching is required of all applicants.

In-Kind Matching Requirements:

An in-kind match is the contribution of resources without the expenditure of additional funds on the part of the grantee. In-kind matching may include the value of volunteer or staff time or portions of normal operating expenses. Evidence of in-kind funds is required and must be included.

Providing more than the required minimum amounts for in-kind matching will be taken into account in the THRAB application review process:

- ✓ 25% in-kind matching is required of regrant applicants above \$2500 (\$2501 through \$5000).

Eligible Project Expenses:

- ✓ Consultant Fees—Individuals recruited to provide specialized services such as planning, training, program development, and facility assessments. **THRAB reserves the right to approve all consultants and service providers.**
- ✓ Supplies—Materials such as acid-free boxes and folders, shelving or other justified archival supplies essential to the project.
- ✓ Travel expenses—For travel that is essential to achieve project goals. Travel expenses using grant funds cannot be reimbursed at more than the current state government rate (see <http://www.gsa.gov/portal/category/100120> for government travel rates).
- ✓ Personnel—Funding for personnel is limited to the part-time, hourly wages and must be part of a larger and specifically described project (for example, paying for a part-time archivist to work on the arrangement and description of a particular collection).
- ✓ Training and Continuing Education—Registration fees for professional meetings, workshops, and institutes which foster the professional development of the staff of the applying institution.

Ineligible Project Expenses:

- ✗ Operating costs—Indirect costs such as rent, telephones, or other normal operating expenses.
- ✗ Capital improvements—Costs for construction or renovation of any building, the purchase of land, or the rental of space.
- ✗ Collection development—Costs for purchasing materials to be added to collections, such as: books, maps, manuscripts, microfilm, photographs, etc.

Reports

A performance contract is required for each grant awarded. Grantees **must file final narrative and financial reports within 30 days of the end of the grant period detailing the expenditure of funds and any improvement results.** Those that fail to do this become ineligible for future grants and are subject to state and federal audit. **TSLA will reject grant review reports that fail to justify use of funds.** TSLA may inspect the improvements claimed.

Application Instructions

Application Form: Pages 1 and 2

Please provide the requested information in each box of the application form. Note the following definitions:

FEIN: Your Federal Employer Identification Number

Contact Person: The name of the individual most familiar with the grant. THRAB will contact this person concerning any questions, updates on the grant, etc. This is usually the person supervising the work rather than the grants officer.

Authorizing Official: This is the person who is authorized to sign a contract on behalf of your organization (Board President, County Mayor, Treasurer, etc.). This person must sign the application.

Amount Requested: The maximum grant award is \$5000.

Organization In-Kind Match: A 25% in-kind match is required for grant amounts over \$2501. There is no in-kind match requirement for grants under \$2501.

Total Project Costs: Total amount of project costs including grant funds and matching funds

Mission Statement: Brief paragraph on the mission of your organization.

Summary Statement: One paragraph summarizing the nature and purpose of the project proposal.

Application Form: Page 3

Please provide the requested information for sections I through III on separate pages. Each section must address the given questions. You must follow the form and length as stated for each section.

- I. **Organization Description**—no more than one (1) single-spaced page. Provide an organization description by answering the corresponding questions on the application.
- II. **Project Description and Scope of Work**—no more than three (3) double-spaced pages. Your answers should demonstrate to the Board that the project is well-planned and that the goal can be attained within the grant period.
- III. **Budget Summary**—one or two paragraphs. Summarize the elements of the budget form.

Application Form: Page 4—Budget Form

Complete the Project Budget Form providing details of how you arrived at the amounts shown. For example, list personnel, number of hours they will work, and rate of pay. See examples in each category below.

I. Personnel and Salaries

Personnel costs may be grant funds and/or in-kind match. **Funding for personnel is limited to the part-time, hourly wages and must be part of a larger and specifically described project** (for example, paying for a part-time archivist to work on the arrangement and description of a particular collection).

If a person in your organization will work on grant-related tasks that are not already part of their normal duties, you may count that time as your in-kind match. This would include supervision of the project.

Payment for work that is part of an individual’s normal job responsibilities is not eligible for grant funding, nor is it acceptable as match. Show the work of volunteers as in-kind match at the rate of compensation usual for that work. List the name/position and amount of time that will be contributed by project personnel and how the person will be compensated. For example:

Position/ hours/ wages	Grant Funds	In-Kind Match	Total
Project Archivist 15 wks, 10 hrs/wk @ \$15/hr	\$2250	\$0	\$2250
Project Assistant 15 wks, 5 hrs/wk @ \$10/hr	\$750	\$0	\$750
Susie Staffperson, Project Director 5% of \$30,000	\$0	\$1500	\$1500
TOTAL	\$3000	\$1500	\$4500

II. Travel Expenses

Travel expenses may be claimed only for those activities specifically related to your grant project, such as participation in training required for the project. If requesting grant funds, these costs must not exceed the prevailing state government rates for travel (<http://www.gsa.gov/portal/category/100120>). If your organization provides travel support in excess of state rates, show this additional support as cash match. Do not include fees for registration or tuition in this category.

Description of Travel (name, dates, to/from, and reason)	Grant Funds	In-Kind Match	Total
Susie Staffperson, travel dates TBA, 2 nights, from Memphis to Nashville to attend Tennessee Archives Institute	\$150	\$0	\$150
Project Assistant, 10/9-10/13, from Clarksville to Chattanooga, to attend Society of TN Archivists Annual meeting	\$150	\$100	\$250
TOTAL	\$300	\$100	\$400

III. Consultant Fees

Indicate the fees that will be paid to any consultant. If you have not discussed fees with a specific consultant and need an estimate, please contact the THRAB grant staff for suggestions (jami.awalt@tn.gov). Consultants are subject to THRAB approval.

Consultant name/info and services	Grant Funds	In-Kind Match	Total
John Q. Expert, Preservation Hero, smartguy@consultant.com; fee to inspect and report on preservation needs	\$1500	\$0	\$1500

TOTAL	\$300	\$100	\$400
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IV. Supplies

Include consumable supplies and materials to be used in the project (boxes, folders, etc.).

Item	Grant Funds	In-Kind Match	Total
Records Storage Cartons	\$150	\$0	\$150
Acid free file folders, legal sized, 50 pkgs (100 per pkg) @ \$26/pkg	\$1000	\$300	\$1300
TOTAL	\$1150	\$300	\$1450

V. Training and Continuing Education

List the cost of any registration fees for professional meetings, workshops, and institutes which foster the professional development of the staff of the applying institution.

Item	Grant Funds	In-Kind Match	Total
Registration fees for two staff members to attend the Tennessee Archives Institute	\$170	\$0	\$170
TOTAL	\$170	\$0	\$170

Totals

Recap your totals and **make sure your in-kind match meets or exceeds the required matching requirements.**

Deadlines and Submissions

The applications may be filled out online, printed, and returned via U.S. postal mail to the contact below. Additionally, you may fill out the form online, save it as a pdf, and email it with the appropriate attachments to the contact below. You may also fax the completed application to the contact below. Applications must be received in the office (via fax, mail, or email) on or before the close of business (4:30 p.m. CST) **October 31, 2011.**

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