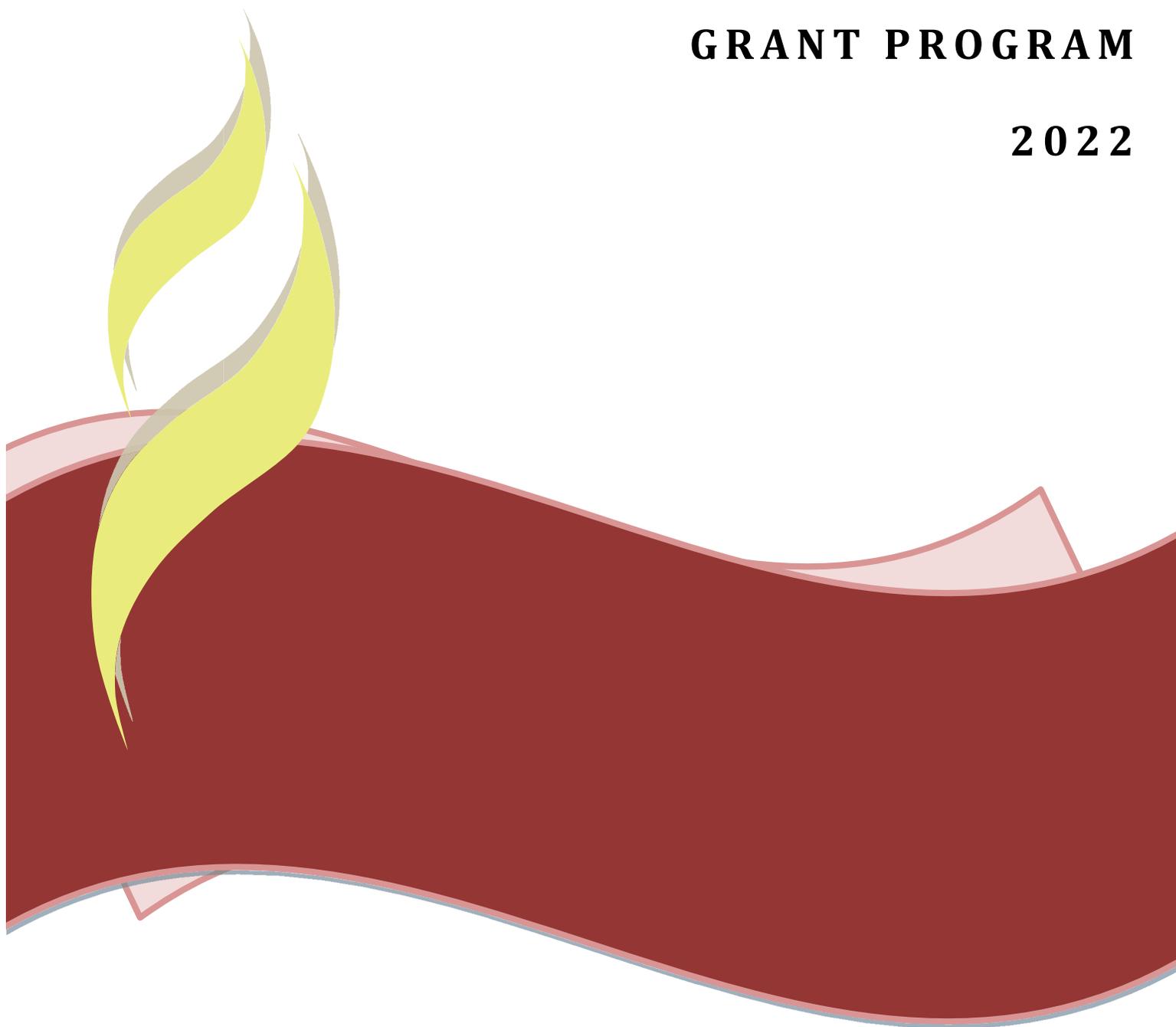# ISHRAB

HISTORICAL RECORDS

GRANT PROGRAM

2022

Illinois State Historical Records Advisory Board

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Illinois State Historical Records Advisory Board
Historical Records Grant Guidelines
Grant Cycle July 1, 2022-June 30, 2023

OVERVIEW

The Illinois State Historical Records Advisory Board (ISHRAB) promotes the identification, preservation, access to, and use of historical records in Illinois. It advocates and encourages professional custodianship and cooperation in the recordkeeping community in order to ensure citizens' access to records and the preservation of their cultural and historical heritage. In order to fulfill its mission to the archival community, the ISHRAB has created a grant program to assist Illinois historical records repositories in obtaining funds for smaller projects that may not qualify for funding under larger grant making agencies. Using funds awarded by the National Historical Publications and Records Commission (NHPRC), the ISHRAB is offering grants to Illinois historical records repositories that demonstrate need, both financially and programmatically, and that show commitment to developing and/or implementing projects that will lead to enhanced online access. These projects may include creating online finding aids; digitizing records and placing the digital content online; making an inventory of records; properly storing records with the goal of preparing them for future online access; or placing information about the records on a blog, wiki page or Facebook.

PLEASE READ THE REQUIREMENTS, RESTRICTIONS, EXPENSE ELIGIBILITY DEFINITIONS AND PROJECT REVIEW CRITERIA CAREFULLY BEFORE APPLYING.

GRANT AMOUNTS AND REQUIREMENTS

- Minimum grant request: $500

- Maximum grant request: $5,000

- Grant recipients are required to meet a minimum 50% cost share.

- Grant recipients will be required to document all project expenditures.

- The grant period is one calendar year from the date of the award. Grant recipients *must* complete work by the formal ending date, unless the project has received an extension in advance.

REQUIRED COST SHARE

Cost sharing is required and the ISHRAB provides no more than 50% of total project costs. An organization's cost share may be met by a cash match, an in-kind match or a combination of the two.

- Cash match is defined as money the organization spends specifically for the project that will not be reimbursed with grant funds.

- In-kind match is defined as the value of a non-cash contribution (e.g., staff time, equipment, supplies, and/or goods and services) that directly benefits the project. For the purposes of this grant, indirect expenses (including rent, telephones or other normal operating expenses) may not be included as match.

ELIGIBILITY AND FUNDING PRIORITIES

- Eligible institutions may be public or private and although any size institution may apply, strong preference will be given to institutions with archival holdings of 500 cubic feet or less and/or two or fewer professional staff.

- The applicant must have custody of historically significant, unique, original records.

- The archival collection must be available to the public on a regularly scheduled basis.

- The 2021 ISHRAB grant award winners are not eligible to apply during this grant cycle.

- Members of the Illinois State Historical Records Advisory Board cannot submit or manage a grant under this re-grant program. If a board member's institution submits an application for a re-grant, the board member will recuse himself or herself from ranking that application and the board will vote on whether that member has to recuse himself or herself from the entire application process of all applications for that cycle.

ELIGIBLE PROJECTS

- <u>Arrangement and Description</u>: Identifying, organizing and improving access to historical records. These projects must include an enhanced or increased online presence.

- <u>Preservation</u>: Conducting preservation planning. This includes storing, refoldering, deacidifying and encapsulating records with a goal of stabilizing these records for eventual online access through digitization or the creation of an online finding aid.

- <u>Digitization Projects</u>: Digitization projects for unique and one-of-a-kind records. If the materials being considered for digitization exist elsewhere online or are available at another institution in any format, they will not be eligible for funding.

- <u>Online Finding Aids/Inventories</u>: Projects which make records and record series information available to the public online. Online access may be achieved through a variety of strategies and digital formats, including PDF documents on websites, wiki pages, research databases or library catalogues.

- <u>Website Development</u>: Website must be developed with the goal of increasing visibility and discovery of the repository's historical records.

ELIGIBLE EXPENSES

- <u>Personnel Costs</u>: Salaries/wages for project staff. Costs for existing part-time staff may be an eligible expense if such staff works on the grant in addition to their regularly scheduled hours.

- <u>Consultant Fees</u>: Individuals recruited to provide specialized services such as planning, training, program development and facility assessments.

- <u>Supplies</u>: Supplies such as acid free boxes and folders, photo sleeves, etc.

- <u>Contracted Services</u>: Digitization, photo reproduction or similar professional services.

- <u>Travel expenses</u>: Only to be used for participation in training or similar activities that are essential to achieving project goals.

- <u>Equipment</u>: Costs to purchase technical equipment (e.g., digitization equipment, computers, electronic peripherals) or records storage systems (e.g., shelving).

INELIGIBLE EXPENSES

- Operating Costs: Indirect costs, such as rent, telephone or other normal operating expenses.

- Personnel: Costs for existing, full-time staff positions or overtime hours. Budget proposals may show staff time under cost share.

- Capital Improvements: Costs for the construction or renovation of any building, the purchase of land or the rental of space. Budget proposals may show building renovation costs under cost share.

- Collection Development: Costs for purchasing materials to be added to collections, such as books, maps, manuscripts, photographs, etc.

- Training: Expenses for training or staff travel to professional meetings, seminars and workshops that are not essential to achieve project goals.

- Equipment: Costs for the purchase of routine equipment such as office furnishings and file cabinets. Budget proposals may show equipment purchase costs under cost share. Equipment must be a component of an overall project.

- Services: Costs for service contracts for equipment purchased as part of the grant project. Such expenses may be shown as cost share.

- Environmental Monitoring Equipment: Costs for purchases of hygrometers, humidifiers, dehumidifiers, etc. may be used as part of a cost share if the equipment is essential to the project.

- Newspaper Projects: Costs to undertake an archival project centered on published newspapers. Projects dealing with organizational newsletters are eligible for funding.

RESTRICTIONS

All purchases made with grant funds must be made during the grant period. Grant funds may not be used to pay for existing supplies or previous work. All grant-funded expenses must be directly associated with the project and incurred during the grant period. Grant funds may not be used to pay existing staff salaries, but may be used as a stipend to pay someone who usually volunteers or who is working beyond his/her regular part-time hours.

REVIEW AND SELECTION PROCESS

All completed applications received by the deadline will be reviewed by the ISHRAB staff for conformity to application requirements, soundness of budget and completeness. Incomplete applications will *not* be extended to the ISHRAB. Only complete applications will be submitted to the ISHRAB for review and evaluation. Grants will be selected on a competitive basis, though strong preference will be given to institutions with archival holdings of 500 cubic feet or less and/or two or fewer professional staff. Grant proposals may be fully funded, partially funded or rejected by the board.

> **TO BE CONSIDERED FOR GRANT FUNDING, THE APPLICATION**
> **MUST ADDRESS THE FOLLOWING QUESTIONS.**

- Will the project make significant Illinois historical records accessible? Be specific on what the project entails.

- Will the project institute sound archival practices? Applicants are encouraged to take advantage of professional development scholarships offered by the ISHRAB to gain foundational knowledge related to the care of historical records. Consult the board's website for additional information: ilsos.gov/departments/archives/ISHRAB/home.html.

- For digitization projects, does the project reflect best practices and standards? Please review the resources listed below for reference. Your application should address the full life cycle of your digital project, even if not all activities are covered by this grant. Applicants are encouraged to take advantage of scholarships offered by the ISHRAB to learn or sharpen skills related to digitization and providing digital access to collections.

  http://www.carli.illinois.edu/sites/files/digital_collections/documentation/guidelines_for_images.pdf
  http://preservationtutorial.library.cornell.edu/contents.html
  http://www.digitizationguidelines.gov/guidelines/FADGI_Still_Image-Tech_Guidelines_2010-08-24.pdf

- Are the proposed activities and expenditures appropriate and cost effective?

- Does the proposal adhere to grant project application requirements and does it contain sufficient information for decision-making by the ISHRAB?

- Does the application meet the mission, goals and objectives of the Illinois State Historical Records Advisory Board as described in the Overview on page 1?

HOSTING YOUR DIGITAL PROJECT

Most Illinois cultural institutions can use the Illinois Digital Archives (http://www.idaillinois.org/) to host digital collections. For an example, please see the "DeWitt County World War I Collection" (http://www.idaillinois.org/digital/collection/p16614coll15/search/) from the Vespasian Warner Public Library District. Illinois Digital Archives is a statewide installation of OCLC's CONTENTdm software made available through the Office of the Secretary of State and the Illinois State Library and is free to Illinois cultural institutions. Contact Illinois State Library staff at **islimg@ilsos.gov**.

REPORTING

Two reports are required.

1. A brief progress report is due at the mid-point of the project.

2. A more detailed final report is required within 30 days after the end of the grant period. All final reports to the ISHRAB must contain the following information:

    - Institution/Organization name.

    - Project title.

    - Project director's name, number and email address.

    - Summary of project activities and accomplishments.

        * Must include titles, series titles, dates and volume of records addressed by your project.

        * Must include URLs for any online projects created.

        * Include a narrative of self-assessment about how the project met the objectives submitted in your application.

- * Include quotes from local press coverage (if applicable) and also include copies of any articles cited.

- * Itemized list of expenditures. Include copies of checks and/or receipts.

- Project cost sharing.

- * Provide details about cost sharing, including the cumulative total and the amount of cash and in-kind matching on the project.

CREDITING

Any published materials, radio or television announcements created by the grantee in recognition of this award must include the following credit:

> Supported in part by an award from the Illinois State Historical Records Advisory Board, through funding from the National Historical Publications and Records Commission, National Archives and Records Administration.

ISHRAB OBLIGATIONS

Obligations of the Illinois State Historical Records Advisory Board to fund this grant program will cease immediately without penalty or further payment being required if the National Historical Publications and Records Commission fails to appropriate or otherwise make available sufficient funds. The ISHRAB staff will monitor the progress of the grants during each grant cycle. A board member or the board coordinator will make at least one visit to each award recipient during the course of their grant period.

GRANT PERIOD (TIMELINE, DEADLINES)

January 24, 2022	The ISHRAB begins accepting grant proposals.
March 18, 2022	Grant proposal deadline. (Applications must be postmarked by this date.)
March - April 2022	Grant applications reviewed by the ISHRAB staff and board.
May 2022	The ISHRAB meets to make funding decisions.

June 2022	Grant awards announced.
July 1, 2022	Grant projects begin.
December 31, 2022	Interim reports due to the ISHRAB.
June 30, 2023	Grant projects end.
July 31, 2023	Final reports and financial statements due from grant projects.

Note: Actual starting and ending dates for individual projects may vary within the parameters listed for a grant cycle. A project may complete its work prior to the formal ending date. It *must be* completed by the formal ending date unless the project has received an extension in advance.

RESPONSIBILITIES OF GRANT RECIPIENTS

- Each applicant must be prepared to provide a one-to-one cost share of the requested grant funds. The cost share may consist of direct financial contributions, a percentage of time devoted to the project by current staff or a combination of the two.

- Grant recipients will be required to document all project expenditures.

- Recipients will be required to file a progress report and a final report as explained in the reporting section of the application guidelines.

GRANT APPLICATION INSTRUCTIONS AND CHECKLIST

The grant application, available at ilsos.gov/departments/archives/ISHRAB/grants.html, consists of six parts (two forms, four narrative sections):

1. The ISHRAB Grant Application Form (page 1 of the application packet).

2. Organization Narrative: description of the organization applying for the grant (pages 2-3 of the application packet).

3. Project Narrative: description of the project and scope of work (pages 4-11 of the application packet).

4. The ISHRAB Grant Budget Form (pages 12-13 of the application packet).

5. Budget Narrative (page 14 of the application packet).

6. Supplementary Materials

The first five parts of the application <u>must</u> be completed for a grant application to be considered and must include the information listed below. Supplementary materials are optional but encouraged. Use this as a checklist to make sure all points are covered.

____1. **ISHRAB GRANT APPLICATION FORM**: The purpose of this page is to provide a brief summary of the grant proposal for review by the ISHRAB members and staff. This form can be found on page 1 of the application packet.

- Organization: List the name of your organization.

- Project Director: This should be the person primarily responsible for directing grant activities; ensuring the project is successfully completed; complying with grant guidelines; supervising project workers; and coordinating with vendors, consultants and the ISHRAB. The director is also responsible for submitting project reports. Please provide all contact information for the director that is requested, as this person will be the ISHRAB's primary contact for the project.

- Description of Grant Project

  * Title of Project: The title should be a concise description of the project and its outcome (e.g., "Creating and Placing Online an Inventory of Courthouse Records," "President's Papers Digitization Project").

  * Starting Date/Ending Date: List the dates the project will begin and end its work.

- Summary Statement: Using the space provided, summarize the nature and purpose of the project you propose for funding, including your organization's programmatic and financial need. The grant application project narrative provides space for describing the project in detail.

- Funding Required for Project: List the budget information for the project, using the "TOTAL GRANT COST" figures compiled at the end of the budget form. Remember that the ISHRAB requires all grant recipients to provide a minimum one-to-one ($1 for $1) match of the grant funds requested. The cost share may be either cash or in-kind contributions (such as the value of staff time, supplies and services the recipient devotes to the project).

- Authorizing Official: This is the person who is authorized to sign a contract on behalf of your organization (director, board president, treasurer, etc.). This person MUST sign the application.

- Federal Employer Identification Number (FEIN): If your organization has a Federal Employer Identification Number (FEIN), or a tax-free number, list it here.

- Data Universal Numbering System (DUNS): If your organization does not have a DUNS number, one may be obtained free of charge from Dun and Bradstreet by calling 866-705-5711 or online at http://fedgov.dnb.com/webform.

____ 2. ORGANIZATION NARRATIVE: Pages 2-3 of application packet.

- Describe your organization. Include the following:
  ____date of establishment.
  ____the size of your facility (in square feet).

_____the size and composition of your staff (number of staff, full-time, part-time, volunteer, paid).

_____hours of operation.

_____indicate your annual budget and sources of funding.

_____audience/patron base/users.

- Describe your holdings:

_____subject, types/formats of records, date span.

_____total volume.

    _____less than 500 cubic feet (how many feet under).

    _____more than 500 cubic feet (how many feet over).

_____physical conditions in which your collections are held (climate control, etc.).

_____accessibility of the historical records or collections to the public.

_____indicate whether a fee is charged for the use of your collection and, if so, why.

_____ 3. **PROJECT NARRATIVE:** Pages 4-11 of application packet. Make sure to address all points and include answers to all of the questions below.

- Project Description: Expanding upon your Summary Statement, describe the project and how it will be executed. Be specific on what the project entails. For example, state if it applies to planning, refoldering, deacidifying, encapsulating, organizing and describing, creating an online finding aid, and/or digitizing documents. If specific equipment is being purchased to complete the project, explain why you are selecting the equipment noted in the budget.

- Significance: Proposals must explain the significance of the records and why they have been identified as needing an online presence.

_____What is the historical significance of the materials involved?

_____What makes this collection unique?

_____Does the information content of your records exist elsewhere or in another format?

_____What is the physical condition of the historical records that the grant will address?

_____Who will use the records? Have they been used in the past and, if so, how?

_____What significance do these records have beyond your institution, community, etc.?

- Outcome

  ____What are the results and/or products to be generated/accomplished by this project? (e.g. By the end of the grant period we expect to have scan 1,000 photographs and make them available on our website.)

  ____What is your organization's ability to implement the project and the project's results?

  ____How will the public be able to use your project?

- Plan of Work and Timeline: The work plan must be focused, clearly defined and achievable. The timeline must be realistic. The board strongly suggests doing a test run, if possible, prior to applying in order to build a realistic timeline. If a test run is not possible, consider reaching out to another organization who has done a similar project for advice.

  ____What actions, activities or steps will you take during your project?

  ____When and in what order will they be undertaken?

  ____If possible, include a workflow or calendar in a supplement to illustrate the timeline and steps.

  ____For digital projects, include digital capture and/or descriptive standards to be utilized.

- Personnel: Identification and qualifications of the project staff.

  ____Identify the members of the project staff and provide a brief summary of these individuals' qualifications and their role in the project. Attach résumés as supplemental materials.

  ____If you plan to hire someone (project archivist, consultant, etc.), what specifically will that person or service do for the project (subjects on which advice is sought, specific tasks to be performed)? If a specific consultant or service will be used, describe their qualifications and include a copy of the proposal in your supplementary material.

- Sustainability

  ____How will the results of the grant be sustained (maintained, supported) after the grant ends?

_____How will you build on the project accomplishments in terms of ongoing work or funding?

_____What long-term benefits will be derived?

_____For digital projects, how will they be preserved for the long-term? (e.g. Master scans will be housed on our internal server, which is backed up nightly, and copies will be stored on an external hard drive in an offsite location)

- Evaluation

_____How will the effectiveness of the project be evaluated? How will you measure success?

_____How will this grant change or improve access and use of your collection?

_____If applicable, how many cubic feet of records will be preserved and made accessible for public use?

_____If applicable, how many digital facsimiles will be made available for public use?

- Promotion

_____How will you publicize the grant awards and the project results within and outside of your community?

_____ 4. **COMPLETING THE BUDGET FORM:**

Review the requirements, descriptions of eligible and ineligible expenses, etc., on pages 2-4 of this manual and adhere to the requirements listed below for each budget item. Check and double-check your figures. Make sure the totals match the numbers on the Grant Application Summary Form. The budget form can be found on pages 12-13 of the application packet.

- 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 "cost sharing" as part of the organization'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 work 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 ISHRAB recommends that volunteer labor be calculated at the current Illinois minimum wage rate per hour. The ISHRAB realizes that some volunteers may be more skilled than others and will allow a compensation rate up to $20 per hour; however, the applicant must provide justification for the increased rate.

- 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 the State of Illinois travel reimbursement policy. A copy of this policy can be obtained from the ISHRAB office.

- Consultants: In the application narrative, explain fully what the consultant is expected to do (subjects on which advice is sought, specific tasks to be performed). 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 rate 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 "cost sharing" 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.

- Supplies, Equipment and Services: Estimated costs should be itemized and listed under "grant funds" or "cost sharing" as appropriate. For all grant-funded equipment and supplies, product description/specifications and vendor prices must be included in the

budget narrative. Copies of vendor quotes, catalog pages or website pages may be attached as supplemental materials.

- Total Project Costs: Enter the subtotals for the various project categories listed, using the "grant funds" or "cost sharing" columns as appropriate. Add up the subtotals to obtain the "TOTAL GRANT COST." <u>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.</u>

_____ 5. **BUDGET NARRATIVE:**

Use the budget narrative on page 14 of the application packet to provide more detail and to justify the cost assumptions for each line item in the budget form. All of the items listed, whether supported by grant funds or your cost share contributions, must be reasonable and necessary to accomplish project objectives. All costs must be incurred during the grant period.

- Salaries and Wages: Include an explanation for how the salary is figured for each person who will work on the project (staff, volunteers and consultants). Provide a justification for the salary and for the number of hours the person who will work on the grant project.

- Travel: Provide a justification for travel and include a more detailed breakdown of per diem, room and board, and/or travel reimbursement costs, as applicable, for each person traveling. The use of grant funds for travel is limited to the maximum amounts authorized by the State of Illinois travel reimbursement policy. A copy of this policy can be obtained from the ISHRAB office.

- Consultants: A full explanation of what the consultant is expected to do should be included in the project narrative. If you did not receive a flat rate, explain how consultant fees were figured.

- Supplies, Equipment and Services: For all grant-funded equipment and supplies, provide product description/specifications and vendor prices. Copies of vendor quotes, catalog pages or website pages may be attached as supplemental materials. Explain why you chose the specific supplies/equipment and how they help accomplish project objectives.

____ 6. SUPPLEMENTARY MATERIALS

Applicants should consider including additional supplementary materials to their grant application. If these materials are available on a website, please provide the URL(s). Reviewers appreciate applications with limited supplemental pages. Supplementary materials are optional and may include the following:

- Résumés of all named staff members (no more than two pages per staff member).
- Position descriptions for staff to be hired with grant funds.
- Detailed work plan charts that supplement the narrative.
- Institution's preservation plan for digital materials.
- Cost estimates from outside vendors.
- Samples from existing finding aid(s) or indexes for selected materials.
- Letters of support.
- Statements of commitment to the project by partners.