



Getting Ready to Go: Preparing for Funding Opportunities

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Workshop Sponsors:

North Carolina Department of Cultural Resources and the
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National Historical Publications and Records Commission



NATIONAL
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NATIONAL HISTORICAL
PUBLICATIONS
& RECORDS COMMISSION

PURPOSE of this Workshop

This Workshop will give you BASIC
INFORMATION to prepare a
successful Grant



WHAT you will learn (Outcomes)

- The nature of Grants and Grantors
- Institutional Documentation Required
- The Process of Grant Writing
- Sources of Information, Support, Help



The World of Grants

Government agencies, non-profit organizations and foundations sponsor grants for a wide variety of purposes:

- Basic scientific research
- Educational programs for the disadvantaged
- Disaster relief
- Initiatives to enhance nation's art and culture by encouraging new work, or by preserving and providing access to what was created in the past

North Carolina's SMALLER Cultural Heritage Repositories:

- Historical Societies
- Genealogical Societies
- Museums
- Local History Rooms in Public Libraries
- Institutional Repositories (Hospitals, Churches)

Any public or private, non-profit organization holding objects, books, manuscripts, records, photographs, audio-visual media, or ephemera of cultural and/or historical significance.

Principal Sources of Support for Cultural Heritage Projects:

- Government Agencies: NEH, IMLS, NHPRC—Tax \$\$\$
- Non-Profit Organizations: NCPC, BRNHA—Donations, Membership Dues, Grants
- Private Foundations: The Cannon Foundation, Lowes Charitable and Educational Foundation—investment income, corporate profits
- Community Foundations—Donations, Endowments
- Non-Profit Organizations with a Thematic Focus: NARF, NFPP—Donations, Endowments

ALL Grants are Structured Similarly

They ask you for FOUR TYPES of Information:

1. Institutional Information: Who you are
2. Project Narrative: What you want to do
3. Budget: How much MONEY will it cost
4. Supplemental Documents: Policies and Procedures, Resumes, Letters of Support, Legal Forms and Documents

INSTITUTIONAL DOCUMENTATION

Grantors Request this information because they define:

Who you Are, and What you Do!!

Institutional Documentation needs to be created, updated, and maintained.

Two types: Documents governing **Executive Actions**, and documents directing **Collection Management Activities**



Documents Governing EXECUTIVE ACTIONS:

- Mission Statement
- Collection Policy
- Institutional History
- Organization Chart and Contact Information
- Board Minutes/Meeting Minutes
- List of Board Members
- Financial Statements/Audit Reports/Tax Returns
- Publicity Materials: Brochures, Press Releases, Newsletters, Web Site

Documents Directing COLLECTION MANAGEMENT ACTIVITIES:

- Deeds of Gift and Inventories
- Accession Records
- Processing Manuals
- Finding Aids/ Cataloging Records
- Preservation Policies and Procedures
- Disaster Plan



QUALITY MATTERS

- Good Documents = Good Information
- Good Information Contributes to Well Written Grants



Key Institutional Documents:

- Mission Statement
- Collection Policy
- Institutional History
- Deeds of Gift/Inventories
- Accession Records
- Finding Aids
- Preservation Policies and Procedures



MISSION STATEMENT

Broad Statement of Intent

Vary According to the Organization



Collection Policy

Guide to *Acquiring materials*:

- States what you want
- States what you don't want
- Sets terms for Acquisition



Collection Policy Elements:

1. Repository Name
2. Repository Purpose
3. Statement Regarding Access
4. Subject Emphasis
5. Acceptable Formats
6. Acquisition Procedures (Intellectual Property)
7. De-accessioning, Loans, Reproduction



Institutional History

Who, What, When, Where, Why, (How)

Press Release

Many Flavors (depending on the purpose)

Deeds of Gift and Related Inventories

Essential for Collection Access Grants:

- Collection Surveys and Assessments
- Accessioning Projects (and minimal processing)
- Processing Collections/ Writing Finding Aids

Deeds of Gift: Purpose

- Establish Transfer of Legal Ownership from Donor to Repository
- Establish the Conditions of Transfer
- Document Contents of Gift through a written **Inventory**



Deed of Gift: Parts

- Date of Transfer
- Name of Donor
- Name of Repository
- Contact Information
- Title and Summary Description
- Inventory

Deed of Gift: Parts cont'd.

- Transfer of Ownership Statement
- Statement regarding Format Conversions
- Access Restrictions
- Credit Line
- Disposal Criteria and Authority
- Signatures

SAA: A Guide to Deeds of Gift

http://www.archivists.org/publications/deed_of_gift.asp



Accession Records

- Create the First Level of administrative and intellectual control
- Are based on the Deed of Gift and Inventory
- Provide an opportunity to separate materials by format
- Accession Records and Minimal Processing



Accession Records: Content

- Accession Number
- Accession Date
- Collection Title (based on Deed of Gift)
- Access Restrictions (from Deed of Gift)
- Storage Location (or Locations)
- Collection Description and Note on condition (based on Deed of Gift)
- Extent (cubic feet, linear feet)
- Accessioning Staff Member
- Box and Folder List (based on Deed of Gift Inventory)



Donor Records

Donor Records Need to be Maintained!

Donor Records include:

- Donor correspondence
- Certificates of Appraisal
- Deed of Gift and Inventory
- Accession Record



Finding Aids

Finding Aids are the written product of Archival Processing, a sequence of steps that arrange and describe collections of unpublished manuscripts or records.

Finding Aids have three parts:

- Administrative Information
- Notes
- Container List



Finding Aids: Administrative Information

- Repository ID
- Title
- Creator
- Collection #
- Extent
- Restrictions
- Provenance
- Copyright Notice



Finding Aids: Notes

- Abstract
- Biographical Note / Administrative History
- Chronology
- Scope and Content Note
- Arrangement Note
- Controlled Access Terms



Finding Aids: Container List

- Box and Folder List
- Added Folder Descriptions
- Series Descriptions (Interspersed throughout, may contain sub-series descriptions)

Finding Aids: Their Importance

- Well written Finding Aids are the most comprehensive descriptive tool for researchers.
- Well written Finding Aids can provide remote access to collections in different ways:
 1. Published on your web site as PDFs
 2. Marked up in EAD, they become a fully searchable XML document on your web site
 3. Used as the basis for collection level MARC records with URL links to complete document, located through OPAC
- Well written Finding Aids a prerequisite for **Digitization**



Preservation Plans

Two Kinds:

- Plan for Improvement (roadmap)
- Day-to-Day Procedures



Preparing a Grant Application

Topics to be Covered:

- Defining your Project
- Finding a Grantor
- Working with the Grantor's Staff
- Writing your Grant
- Submitting your Grant via [Grants.gov](https://www.grants.gov)
- Sources of Help



Project Definition

Answers to the Following Questions:

- What do you want to do?
- When do you want to do it?
- How much will it cost?
- Do I need a Planning Grant?



Project Definition: Politics

- Getting everyone on board
- Selling your project
- Project Management

Selecting a Granting Source: Research

Tools:

- The Foundation Center

<http://foundationcenter.org>

- The Internet
- Your professional network/listserves

Selecting a Granting Source

Federal Agencies:

- NEH: The National Endowment for the Humanities
- IMLS: Institute for Museum and Library Services
- NHPRC: National Historical Publications and Records Commission



National Endowment for the Humanities www.neh.gov/grants

Eight Divisions and Offices manage programs. Four most Important:

- Division of Preservation and Access
- Division of Public Programs
- Division of Research
- Office of Challenge Grants



NEH Grant Programs Available:

- American Historical and Cultural Organizations: Planning Grants
- American Historical and Cultural Organizations: Implementation Grants
- Challenge Grants (Bricks and Mortar, Exhibits)
- Humanities Collections and Reference Resources
- Preservation Assistance Grants for Smaller Institutions
- Sustaining Cultural Heritage Collections

Institute for Museum and Library Services (IMLS)

Characteristics:

- Well funded compared to NEH and NHPRC
- Source of Library Services and Technology Act (LSTA) funds
- Grant Programs geared toward larger institutions
- Program descriptions more difficult to understand than NEH and NHPRC.



IMLS Programs

<http://www.ims.gov/applicants/search.aspx>

- Conservation Assessment Program
- Museums for America
- Sparks! Ignition grants for Libraries and Museums

National Historical Publications and Records Commission (NHPRC)

- Grant funding arm of NARA: National Archives and Records Administration
- Very small budget: \$5--\$10 million yearly.
50% to Publication Projects
- Records Programs: Three themes:
 1. Documenting Democracy
 2. Digitizing Historical Records
 3. Electronic Records Projects



NHPRC Documenting Democracy: Access to Historical Records Projects

<http://www.archives.gov/nhprc/announcement/access.html>

- Basic Processing
- Detailed Processing
- Documenting Heritage
- Retrospective Conversion of
Descriptive Information

Non Profit, Quasi-government Organizations, and Community Foundations

- North Carolina Preservation Consortium (NCPC)

<http://www.ncpreservation.org/grants.html>

- Blue Ridge National Heritage Area

<http://www.blueridgeheritage.com/sites/default/files/images/Grants/Forms/2012HeritageGrantGuidelines.pdf>

- Community Foundations

<http://www.communityfoundations.org/all.php>



Private Foundations with a NC Focus

- **The Cannon Foundation**
- **The Duke Endowment**
- **The Marion Stedman Covington Foundation**
- **Lowes**
- **Bank of America**
- **Wells Fargo**
- **Duke Power**
- **Other LOCAL Companies**



The Marion Stedman Covington Foundation

<http://www.mscovingtonfoundation.org>

- Background: Marion Stedman
- Foundation Established in 1986
- Focus on Historic Preservation since 2007

Subject or Format Specific Non Profits

- North American Railway Foundation

<http://www.narfoundation.org>

- National Railway Historical Society

<http://www.nrhs.com>

- National Film Preservation Foundation

<http://www.filmpreservation.org/nfpf-grants>

Writing Your Grant

First Steps:

- Read the Grant Application—Carefully
- Develop a Timetable to finish tasks and meet deadlines
- The four grant writing Tasks for Federal Programs
 1. Contact a Program Administrator
 2. Prepare a draft Application (and a second draft?)
 3. Prepare a final version of the Application
 4. Submit Application via Grants.gov



NHPRC: Establishing Contact

<http://www.archives.gov/nhprc/NHPRC/>

- The Program Administrator: Your Best Friend
- Notifying the SHRAB



Writing the First Draft

Refer to: Documenting Democracy, *Application and Submission Information*

Application is divided into **Four Parts:**

- Project Narrative
- Project Summary
- Supplemental Materials
- Project Budget

Project Narrative

Refer to: Documenting Democracy, *Application and Submission Information*

Six Numbered Sections:

- Section 1: Project Overview, Significance, Institutional Info
- Section 2: Work Plan. Methodologies, Marketing
- Section 3: Products, Publicity, Evaluation
- Section 4: Personnel
- Section 5: Performance Objectives
- Section 6: Financial Management of Grant Funds



Project Summary

Contents:

- Purposes and Goals of the Project
- Methods
- Summary of Plan of Work for Grant Period
- Products to be Completed during Grant Period
- Names, Titles, Institutions, Phone Numbers and E-mail Addresses of Project Manager and Key Personnel
- Performance Objectives

Supplemental Material

- Resumes of Key Staff identified in Project Narrative
- Position Descriptions for staff to be hired with Grant Funds
- Your institution's Mission Statement (supplemented with Strategic Plan)
- Your Institutions written Policy and Procedures
 1. Collection Policy
 2. Processing Manual or Written Guidelines
 3. Preservation Policy and Procedures
 4. Reading Room Policies and Procedures



Supplemental Material (cont'd)

- Work Plan graphs and charts to supplement Project Narrative
- Examples of Finding Aids, MARC cataloging records, EAD cataloging records
- Statements of Commitment from Project Partners
- Statement of Support from Professionals and Administrators with a Direct Interest in the Project

But note the **Limit** on the number of pages!!

Budget

- Budget Narrative
- Budget Forms
- Budget Explanations, FAQs, cheat sheets, etc.
- Apply for a Grant:
<http://www.archives.gov/nhprc/apply/>
- Grant Opportunities, Documenting Democracy
<http://www.archives.gov/nhprc/announcement/access.html>



Submitting Your Application

www.Grants.gov

- The Grants.gov website: purpose
- Registration
- Adobe 8.1.3
- Choosing the Grant Program

<http://www.archives.gov/nhprc/apply>

- Filling Out SF-424



Grants.gov: Mandatory Documents for Submission

- Grants.gov Lobbying Form
- Assurances for Non-Construction Programs (424B)
- Attachments: **Must be in PDF Format**



Help is on the Way

The Foundation Center

<http://www.foundationcenter.org>

- Purpose
- Programs
- Local North Carolina Libraries

Questions? Contact Information

PowerPoint Presentation will be available on the SHRAB web page:

<http://www.history.ncdcr.gov/SHRAB/default.htm>

Thank You and Good Luck!

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