

**Ohio Historical Records Advisory Board
Historical Records Grant Guidelines
2023**

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**Ohio Historical Records Advisory Board
c/o Ohio History Connection State Archives
800 E. 17th Avenue
Columbus, Ohio 43211
(614) 297-2536**

Overview

The Ohio Historical Records Advisory Board (OHRAB) seeks to enrich the culture and protect the rights of Ohioans by fostering activities that identify, preserve and provide access to the State's documentary heritage. It accomplishes these goals by advocating for issues that enhance the collection, preservation and public use of historical records, encouraging organizations to seek funding for appropriate projects, and providing guidance to those organizations. To further its mission OHRAB has created a grant program to help Ohio historical records repositories obtain 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), OHRAB is offering grants to Ohio historical records repositories to develop and/or implement projects to identify, preserve, and provide access to historical records in Ohio.

Grant Amounts and Requirements

- Minimum grant request: \$500
- Maximum grant request: \$5,000
- All grants require a *minimum* one-to-one in-kind and/or cash match

Required Matching Funds

Recipients of grant awards must provide a *minimum* one-to-one (\$1 for \$1) match of grant funds requested. The match may be met through cash and or in-kind contributions. Greater than one-to-one matches are encouraged, but not required.

- Cash match is defined as money the organization spends specifically for the project that will not be reimbursed by grant funds. *Cash match may include staff time.*
- In-kind match is the value of time or services contributed. Indirect expenses (such as rent, telephones, or other normal operating expenses) may not be included as match.

Eligibility and Funding Priorities

- Eligible institutions may be public or private. Although any size institution may apply, preference will be given to institutions with permanently valuable archival materials of 500 cu. ft. or less as well as to institutions that have not previously been awarded an OHRAB grant.

- The archival collections of the applying institution must be available, without charge, to the public on a regularly scheduled basis. This includes all of the archival collections of the institution, not just those records involved with the grant project.
- Projects that focus on under-documented communities and topics, as well as underserved communities, are encouraged.

Eligible Projects

- Access, Arrangement and Description: identifying, organizing, and improving access to historical records.
- Preservation: purchasing archival file folders, archival boxes, dehumidifiers, humidifiers, hygrothermographs, or HEPA vacuum cleaners.
- Website Development: Adding collections to online catalog, developing virtual archives, or creating an on-line database. Websites designed to support access to researchers (e.g., online catalogs, finding aids, and digitized collections, rather than curated web exhibits) will receive preference in funding. (See “Museum Materials” in *Ineligible Expenses* below.)
- Assessment and Strategic Planning: hiring consultants to identify needs and priorities for improving the organization, description, preservation and access to archival collections.

Please note: all projects should produce some type of online content, such as a finding aid, digital images or online report of the project.

Eligible Expenses

- Supplies: Supplies such as acid-free boxes and folders, photo sleeves, etc. Please see the appendix for more information.
- Contracted services: Micrographics, photo reproduction or similar professional services. Please see the appendix for more information on digitization standards.
- Equipment: Costs to purchase technical equipment (microfilming equipment, computers, electronic peripherals, etc.) or shelving essential for the project are eligible costs. Applicants must demonstrate that equipment purchased with grant funds will serve a continuing need beyond the grant period and project. This can be demonstrated by providing a copy of the institution’s long range plan that describes projects requiring such equipment, or by briefly describing future plans for such projects. Please see the appendix for more information.

Ineligible Organizations and Expenses

- In accordance with the policy of the National Historical Publications and Records Commission (NHPRC), institutions that charge a fee to researchers for access to collections (including collections not directly funded by this grant) are ineligible for grant funding. This does not preclude charging fees for additional services, such as making copies of documents, specialized research assistance, or entry fees to a related museum (provided such fees are not required for access to the archives or research collections).
- Additionally, NHPRC policy prohibits grant funding to Federally authorized institutions that are eligible to receive Federal appropriations.
- Per the NHPRC, funding can't be used to preserve and/or digitize newspapers.
- Per the NHPRC, funding can't be used to record oral history interviews not related to Native Americans (but can be used to arrange, describe, catalog, transcribe, preserve, and/or digitize oral history interviews).
- Existing staff salaries and operating costs, including indirect costs, such as rent, telephone, or other normal operating expenses.
- Personnel: Costs for existing staff positions or overtime hours. *Budget proposals may show staff time under cash match. Documented volunteer hours may be used toward cash match at \$29.95/hour (http://independentsector.org/volunteer_time).*
- 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 cash match.*
- Collection development: Costs for purchasing materials to be added to collections, such as books, maps, manuscripts, photographs, etc.
- Museum materials: Costs for preservation or display of artifacts. Use the following distinction to determine whether your proposal concerns records or artifacts. The purpose of a record—to convey information—never changes whether the record is one minute or hundreds of years old. The purpose of an artifact is to convey some aspect about a previous era in and of itself; its original purpose was generally something quite different. Grant funds may not be used to handle records being treated as artifacts (e.g. for display).
- Training: Expenses for training or for staff travel to professional meetings, seminars, and workshops that are not essential to achieve project goals.

- Services: Costs for maintenance agreements for equipment purchased as part of the grant project. *Such expenses may be shown as cash match* for the duration of the project.
- Subscriptions or services provided by the Ohio History Connection: Because of its ongoing relationship with the Ohio History Connection, OHRAB has chosen not to offer grant support for such services in order to avoid the appearance of a conflict of interest – e.g. Ohio Memory. However, subscriptions and services provided by the Ohio History Connection can be used as matching funds.
- Organizations employing members of OHRAB: In order to avoid potential conflict of interest, organizations employing members of the Ohio Historical Records Advisory Board must adhere to the following rules:
 - OHRAB will not consider a grant proposal wherein an OHRAB member is to receive any portion of salary or fees (compensation for services rendered) from the grant in direct expense or used as matching funds.
 - OHRAB will consider a grant proposal, but the affected member will absent themselves from deliberation and votes on the proposal and forego engaging in any activities that could give the appearance of preferential treatment, whenever that member:
 - is directly or indirectly involved in the project,
 - is indirectly connected through employment at the same organization,
 - is an officer (titled or member of a governing board) or serves in a leadership capacity of the association or society submitting the proposal, or
 - was appointed to OHRAB by the association submitting the proposal.

Interns

Interns may be hired for a project either under the grant funding or as part of the matching funds provided by the institution. However, applicants seeking to use students as interns should include in their proposals how the project will provide an educational benefit to the student. Applicants should also include with their proposals either the resume of the intended intern or a job description for the intern to be hired.

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.

Review and Selection Process

Completed applications will be reviewed by an OHRAB committee and grant proposals may be fully funded, partially funded, or rejected. In determining whether an applicant shall receive a grant, some of the criteria that OHRAB will consider are the following:

- Does the project identify, preserve and make accessible records significant to Ohio's history?
- Does the project utilize sound archival practices? Please see the appendix for more information.
- Will the project improve online access to the records?
- Will the results of the project be sustained and will the project lead to further archival initiatives?
- 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 OHRAB decision-making? This includes the technical specifications for digitization projects.
- Is the financial information submitted realistic and accurate?
- In general, is the application meeting the mission, goals, and objectives of the Ohio Historical Records Advisory Board? (See page 2.)

Grant Period (timeline, deadlines)

| | |
|-------------------|--|
| February 1, 2023 | Grant opportunity announced |
| March 31, 2023 | Grant proposals due |
| April 25, 2023 | Awards announced |
| May 1, 2023 | Projects begin |
| August 31, 2023 | Interim reports due to OHRAB |
| December 31, 2023 | Projects end |
| January 31, 2024 | Final reports and financial statements due |

Start and end dates for projects may vary within the parameters listed for a 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 project has received an extension in advance.

Reports

A brief narrative progress report is due on August 31, 2023. Please send the report to:

OHRAB Grant Program,
c/o the Ohio History Connection State Archives,
800 E. 17th Ave., Columbus, OH 43211

Or the report can be submitted by email to: fprevits@ohiohistory.org

The interim report will be posted on OHRAB's website and should include a summary of the project (similar to the Summary Page of the application) and the progress that has been made so far. Please include the following information:

- Estimated percentage of project completed and number of images scanned or collections or cubic feet processed, etc.
- Summary of expenses (have all of the supplies been ordered and arrived, has the software been ordered, etc.).
- Amount of staff and volunteer time spent on the project (include both grant funded time and matching time)
- Is the project on track to be completed by December 31st? If not, what were the delays and what is the estimated end date?
- Examples of publicity on the project. This could be copies of press releases issued by the organization, links to local media coverage or screenshots of social media posts.

Within thirty days after the end of the grant period, a more detailed final report is required. The final report should be sent to:

OHRAB Grant Program,
c/o the Ohio History Connection State Archives,
800 E. 17th Ave., Columbus, OH 43211

Or the report can be submitted by email to: fprevits@ohiohistory.org

Final reports will be posted on OHRAB's website and must contain the following information:

Institution/Organization Name

Project Title

Project Director name, telephone number, and e-mail address

Summary of Project Activities and Accomplishments

- Titles, series titles, dates and cubic footage/number of images scanned/minutes of digitized audio/video of records addressed by your project.
- Copies of catalog entries and other finding aids (these might include screen shots, links, and before and after photos), if applicable.
- Narrative of self-assessment about how the project met the objectives submitted in your application.
- An evaluation of the project's impact (such as increased researcher demand for the records or actions the organization will take to sustain the results of the project).
- Share how your institution will build upon the success of the project through additional initiatives. For example, if you received a grant for an initial digitization project and with the experience from that project your institution will now be digitizing a second collection.
- Quotes from local press coverage and also copies of articles cited.

Failure to provide interim and final grant reports will negatively affect future grant submissions.

Project Expenses

Include an itemized list of expenditures. Also, provide details about in-kind cost match, including the cumulative total, and the amount of cash match on the project. Cost matches greater than one-to-one are encouraged, but not required.

Copies of invoices, checks and/or receipts should also be sent as a separate attachment.

Publicity and Crediting

Regrant recipients should promote their projects through announcements on their websites and/or social media posts. In addition, press releases on the project should be sent to the local media and other interested parties (such as state and local elected officials, local Members of Congress, teachers and local genealogical and historical organizations).

Any published materials, radio or television announcement created by the awardee in recognition of this award must include the following credit: "Supported in part by an award from the Ohio Historical Records Advisory Board, through funding from the National Historical Publications and Records Commission (NHPRC), National Archives and Records Administration."

GRANT APPLICATION INSTRUCTIONS

1. Complete Summary Page (page 13, below)

The purpose of this page is to provide a summary of the grant proposal for OHRAB review.

- **Organization.** List the name of your organization and mailing address
- **Federal Employee Identification Number.** If your agency or entity has a Federal Employee Identification Number (FEIN), or a tax-free number, list it here.
- **Unique Entity Identity Identifier (UEI).** This UEI number is required. More information, including how to apply for a UEI number, is available at <https://sam.gov/content/home>.
- **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. OHRAB requires all grant recipients to provide a minimum one-to-one (\$1 for \$1) match of the grant funds requested. Local match may be either cash or in-kind contributions (Such as the value of staff time, volunteer time, supplies, and services supplied by recipient).
- **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 OHRAB. The director is also responsible for submitting the project’s reports. Please provide all contact information for the director that is requested, as this person will be OHRAB’s primary contact for the project.
- **Authorizing Official.** This is the person authorized to sign a contract on behalf of your repository, for example the Director, Board President, Treasurer, etc. (In some cases this may be the same person as the Project Director). *This person must sign the application.* If you have the capability, you may sign the summary page electronically. You also have the option of printing the summary page and adding your handwritten signature.
- **Title of Project.** The title should be a brief description of what the project proposes to accomplish (e.g., “Reorganization of Courthouse Records Storage Areas,” “Preservation of Municipal Records,” “Description of Land Records in Anywhere Historical Society,” or “Placing a Surname Index to Early Marriage Records on the Historical Society/Archives Website).
- **Starting Date/Ending Date.** List the dates the project will begin and end its work.

- **Summary Statement.** This should be only a brief summary, limited to two or three sentences. The grant application narrative permits applicants to use up to five (5) double-spaced pages for describing the project in detail.

2. Complete Budget Form

Complete Regrant_Budget_Form_fillable_worksheet.xls (either electronically or manually on a printed copy), providing details of how you arrived at the amounts requested. Cost figures should be given in whole dollar amounts (i.e. \$550).

- **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 cost:
 - A salaried employee devotes 10% of her time to a four-month project. Calculate grant-related cost by multiplying 4 months x 1 month's salary x 10%. The resulting figure is listed under "cash match" as part of the agency's cost share.
 - A person is hired full time to work on the project, and paid with grant funds. Calculate this cost as 4 months x 1 month's salary x 100%. The total is listed in the "grant funds" column.
- **Supplies.** Supplies such as acid-free boxes and folders, photo sleeves, etc. Estimated costs should be itemized and listed under "grant funds" or "cash match" as appropriate. **For all grant-funded equipment and supplies, product specifications and vendor price quotations must accompany the application.**
- **Equipment.** Includes technical equipment like microfilming equipment, computers, electronic peripherals, etc., or shelving essential for the project. Estimated costs should be itemized and listed under "grant funds" or "cash match" as appropriate. **For all grant funded equipment and supplies, product specifications and vendor price quotations must accompany the application.**
- **Contracted Services.** Encompasses outsourced services such as micrographics, photo reproduction or similar professional services. Estimated costs should be itemized and listed under "grant funds" or "cash match" as appropriate.
- **Other Eligible Expenses.** Could include expenses like web site development. Estimated costs should be itemized and listed under "grant funds" or "cash match" as appropriate.
- **Total Project Costs.** Here, enter the subtotals for the various project categories listed, using the "grant funds" or "cash match" 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.

- **Acceptance of Partial Funding statement.** A question at the bottom of the budget form asks if you will accept partial funding and still complete some portion of the project as outlined in the application or seek supplemental funding elsewhere. State *Yes* or *No*.

3. Complete Grant Application Narrative

The following sections must be completed on individual pages. Section I must be no more than two (2) pages (double-spaced) in length. Section II must be no more than five (5) pages (double-spaced) in length.

Section I. Organization Description: Provide a brief description of your organization and its facility. Include the size and composition of your staff (number of staff, full-time, part-time, volunteer, paid); hours of operation; your annual budget; and funding sources. Include any additional information that you feel would be helpful to OHRAB's review of your request.

Provide an overall description of your general holdings; for example: subject, types/formats of records, date span, and total cubic footage. Then include a description of the physical condition of the historical records that the grant project will address and state whether or not the historical records are currently available to the public. If your records are not currently available to the public, please explain. Collections/records/archival materials from funded projects must be made available to the public on a regularly scheduled basis.

Section II. Project Description and Scope of Work: Expanding upon your Summary Statement, provide a project description and scope of work by answering all of the following questions appropriate to your proposed project.

1. What is the historical significance of the materials involved? What user groups will utilize these materials? Does the information content of your records exist elsewhere, or in another format?
2. What actions, activities, or steps will you take during your project and when and in what order will they be undertaken?
3. Who will complete these actions or perform these activities? Identify project staff (both grant-funded and cash-match) and provide a summary of their qualifications
4. Identify the results (products) to be produced by this project.
5. What is your organization's ability to implement the project and the project's results? How will the results be sustained and how will you build upon the success of this project through additional initiatives?
6. How will the effectiveness of the project be evaluated? How will the award of this grant change the use of these records? What long-term benefits will be derived?
7. How will you publicize the results to your community and what will you do to build on the project accomplishments in terms of ongoing work or funding?

4. Send the Application

Entries must be received by March 31, 2023. Send completed summary sheet, budget, and narrative in hard copy to: **OHRAB Grant Program, c/o the Ohio History Connection State Archives, 800 E. 17th Ave., Columbus, OH 43211**; or via electronic submission (in Word/Excel or pdf) to fprevits@ohiohistory.org. If you have signed the summary sheet manually you can mail it to the Ohio History Connection or scan the signed page and attach it to your email submission.

**Ohio Historical Records Advisory Board 2023 Grant
Summary Page**

Organization

Funding required for project

Name _____

Grant \$ _____

Address _____

Matching \$ _____

City/Zip _____

Total \$ _____

FEIN # _____

UEI # _____

Project Director

Authorizing Official

Name/Title _____

Name/Title _____

Address _____

Address _____

City/Zip _____

City/Zip _____

Phone () _____ Fax () _____

Phone () _____ Fax () _____

E-mail _____

E-mail _____

Authorizing Official Signature

Sign here! → _____

Project description

Title of Project _____

Starting Date _____ Ending Date _____

Summary Statement *Briefly summarize the nature and purpose of the project you propose for funding. State the programmatic and financial need.*

CHECKLIST

This checklist is designed to assist you in the preparation of your application. Do not submit with your final application

Did you...

1. Read Grant Guidelines (pp. 1-8)? _____
2. Read Grant Application Instructions (pp. 9-12)? _____
3. Complete Grant Summary Page (p. 13)? _____
4. Sign the form (p. 13)? _____
5. Complete Budget Form? _____
6. Attach Grant Application Narrative? _____

Questions? Contact: Stephen Badenhop
Records and Archives Coordinator
Union County Records Center
223 West 6th Street
Marysville, OH 43040
937-645-4177
sbadenhop@unioncountyohio.gov

Appendix

Archival Standards and Best Practices

Grant projects should follow archival standards and best practices.

Archival Equipment and Supplies

The equipment and supplies used in the project should conform to standards for long-term storage. This includes:

- Records should be stored in a temperature and humidity controlled environment
- Records should be stored on metal shelving, not plastic or wooden

The following websites provide more information:

- **Library of Congress: Preservation Supply Specifications**
<http://www.loc.gov/preservation/resources/specifications/index.html>
- **Smithsonian Institution Archives: Storage and Handling** <https://siarchives.si.edu/what-we-do/preservation/storage-handling>,

Digitization and Digital Preservation

This section will provide useful information around best practices for digitization and long-term digital preservation that you can include in the grant proposal. Recommendations of a few resources are provided that will assist in addressing the capture and storage of digital media. Outlining and adhering to high quality standards and best practices for digitization projects will provide an essential framework for successful initiatives.

Digitization benchmarks and best practices

Providing detailed information about the digital capture methods and benchmarks is important to include in the grant application, making sure to note information around the file format selection, resolution, bit-depth and compression information. If you are working with an outside vendor to complete digitization, you can request this information directly from the vendor.

Below are two resources that provide technical guidelines and best practices of digitization projects.

- **Guidelines: Technical Guidelines for Digitizing Cultural Heritage Materials (Still Images), Federal Agencies Digital Guidelines Initiative (FADGI)**
<http://www.digitizationguidelines.gov/guidelines/digitize-technical.html>

- **Technical Guidelines for Digitization Archival Materials for Electronic Access: Creation of Production Master Files**, U.S. National Archives and Records Administration (NARA) <https://www.archives.gov/files/preservation/technical/guidelines.pdf>

Digital Preservation and other resources

A solid digital preservation plan that addresses long-term storage and back-up procedures will improve the durability and longevity of digital collections. This includes a description of general storage information, file fixity and checksum processes, as well as defining action around a potential of file degradation, loss or corruption. An institution could create a digital preservation policy or plan to outline this type of work. If digital collections are on a hosted platform, an applicant can inquire with the host company to provide documentation of digital preservation activities. Below are two helpful websites that provide more information on the topic of digital preservation.

- **Sustainability of Digital Formats: Planning for Library of Congress Collections, Library of Congress** <https://www.loc.gov/preservation/digital/formats/index.html>
- **Digital Preservation at the Library of Congress webpage**, <https://www.loc.gov/preservation/digital/>
- **NISO Framework for Building Good Digital Collections:** <https://www.niso.org/publications/framework-guidance-building-good-digital-collections>

Articles on selecting and assessing digital repository options

- Corbett, H., Ghaphery, J., Work, L. & S. Byrd. “Choosing a Repository Platform: Open Source vs. Hosted Solutions” from *Making Institutional Repositories Work* (Purdue University Press), https://scholarscompass.vcu.edu/libraries_pubs/33/
- Rieger, O. Select for Success: Key Principles in Assessing Repository Models, D-Lib Magazine, Vol.13, No. 7/8, 2007. <http://www.dlib.org/dlib/july07/rieger/07rieger.html>

Definitions

Bit-depth: This is a measurement used in digital capture (image and audio), where the number of bits used to represent each pixel, generally referring to either color depth for graphics or sample rates for audio. The greater the bit depth signifies a higher quality of the digital capture of an image or sound.

Checksum: A value used to verify the integrity of a file or a data transfer. In other words, it is a sum that checks the validity of data and is unique to the digital file.

Compression: The process of encoding or converting an image file in such a way that it consumes less space than the raw digital file. The type of compression reduces the size of an image file without affecting

or degrading its quality to a greater extent, generally referred to as either lossy or lossless. Ideally, the digital files will be lossless.

File fixity: A digital preservation term referring to the property of a digital file being fixed, or unchanged. Fixity checking is the process of verifying that a digital object has not been altered or corrupted, normally by using the checksum to ensure validity.

Resolution: The level of quality that a digital file is captured, usually reflected as DPI (dots per inch) or PPI (pixels per inch) for images.