

Introduction

Congratulations on your new archives grant! We at the Tennessee State Library & Archives look forward to seeing what wonderful things you will accomplish at your institution. This document has been created to help you navigate the grant process. This handbook is designed to address the most commonly encountered issues, problems, and questions, however, every organization is unique, so feel free to contact the archives grant manager with specific questions.

Types of Archives Grants

The Archives Development Program at TSLA provides two annual grants. These grants include:

Archives Development Program (ADP) Direct Grants

Direct Grants run from October 1 to May 31 and are funded by state funds. These grants are available to official county or municipal archives or a not-for-profit organization that has an official, legal authorization to maintain the records generated by a county or municipality. The funds may be used for the care and preservation of county or municipal records, or for projects that improve public accessibility to the records. Applicants must have an active Public Records Commission that has met at least twice during the county's fiscal year. These grants do not require matching funds. The maximum award is \$5,000 per grant cycle.

National Historical Publications and Records Commission State Board Programming Grants

State Board Programming Grants are funded by an annual federal award from the National Historical Publications and Records Commission, A Division of the National Archives. The federal funds are awarded to the Tennessee Historical Records Advisory Board and administered by the Tennessee State Library & Archives. The grants run from October 1 to May 31 and are available to any government entity or not-for-profit organization that holds permanent, historically valuable archival collections. They do not require matching funds. The maximum award is \$5,000 per grant cycle. Applicants may ask for digitization equipment, part-time or contracted scanning services or commits to digitization in their application. Everyone is required to create a fee-free, web based, digital product. In addition, awards may be used for training or contracted archival services.

Award Letter

The Award Letter is the first communication that you will receive notifying you that you have successfully received a grant award. The original award letter will be mailed to your authorizing official. In the case of county archives, the letter most often goes to the county mayor. In other instances, it may go to a board president, university president, or the organization's chief operating officer. Normally, a scanned copy of the award letter is emailed to the organization's archivist or grant project manager.

Grant Acknowledgement Form

The Grant Acknowledgement Form confirms the amount of your award and requires a signature that your organization is accepting the grant. The lower portion of the form must also be

completed as it pertains to your banking information, FEIN number, Edison ID number and other crucial information. The Grant Acknowledgment Form should be returned to the Archives Grant Manager within two weeks of receipt. If you wish to decline the grant offer, please notify the Archives Grant Manager by email.

Contracts

For each grant, there will be a corresponding contract. This is the legally binding document between your organization and the Library and Archives and allows us to process grant payments. It is recommended that you read the grant contract in its entirety in order to fully understand the requirements and your responsibilities.

While the contract as a whole is important, there are several sections to which you should pay particular attention:

Contract Term Dates

Each grant has a different start and end date. Your grant contract will specify in several locations the start and end of your grant cycle, specifically on the front summary page, in Section B, and also in Attachment 1. In the example below, the grant starts on October 1st, and ends on April 30th of the following year. Purchases or contracted services which occur before the Begin Date or after the End Date will not be eligible, reimbursable, grant expenditures. These dates may not be extended under any circumstances.

 GOVERNMENTAL GRANT CONTRACT (cost reimbursement grant contract with a federal or Tennessee local governmental entity or their agents and instrumentalities)			
Begin Date	End Date	Agency Tracking #	Edison ID
10/01/2017	04/30/2018	30501-00118-02	

Example of the begin date and end date on a contract

Scope of Service

The scope of service (Section A) defines what the grant is and defines what can and cannot be purchased. The wording may not be specific, in order to allow recipients some flexibility in purchasing. It is recommended that you contact the grant manager before making purchases to ensure that they are eligible expenses.

Term of Contract

Section B defines the length of the contract and restates the Contract Term Dates. In this section, the start date and then the number of months the grant will be active are specified. The example below reflects a longer grant contract of sixty months.

B. TERM OF CONTRACT:

This Grant Contract shall be effective on September 1, 2017 ("Effective Date") and extend for a period of sixty (60) months after the Effective Date ("Term"). The State shall have no obligation to the Grantee for fulfillment of the Scope outside the Term.

Example of the Term of Contract

Payment Terms and Conditions

Section C is a crucial part of the contract as it specifies the amount of the grant, explains the process by which an organization invoices the grantor and explains the contracted grant budget (Attachment 1 of the Grant Contract).

Sub Section C.5 provides grantees with the details to be included on any invoice submitted to TSLA for reimbursement. Grantees should pay particular attention to this section as reimbursement claims will not be processed until a grant compliant invoice has been submitted to the Archives Grant Manager.

Sub Section C.6 explains the Budget Line-item (Attachment 1 of the contract). Archives grants do not allow for grantees to deviate from the contracted budget categories unless extraordinary circumstances exist. Recipients may appeal in writing to the grant manager to request budget category changes. Recipients may deviate from the contracted grant budget categories only after receiving written authorization to do so from the grant manager.

ADP Direct Grants and NHPRC State Board Programing Grants do not require any matching funds.

Signatures

Contracts from the Library & Archives are mailed to the authorizing official listed on the grantee's application. Once the contract is received, review it and sign the original contract. Please mail the entire original contract to the Archives Grant Manager as soon as possible. Please do not fold or staple the original contract. It is highly recommended that grantees utilize a mailing service that allows for tracking. For contracts to public libraries, library staff cannot sign the contract. The signatory should be the library board chair, vice-chair or someone with fiscal authority, or the city/county mayor or financial officer. In the case of ADP Direct Grants to county archives, the signatory should be the county executive or his/her designee. Contracts with not-for-profit organizations should be signed by the individual that serves as the legal representative of that organization and can legally enter into contracts (i.e. board president, C.E.O. or C.F.O.).

Grant Budget

Each contract includes a grant budget as Attachment 1. The grant budget specifies how the award may be spent. Grantees may not deviate from the grant categories without prior written permission from the grant manager (see Payment Terms and Conditions).

GRANT BUDGET				
NHPRC State Board Programming Grant				
The Grant Budget line-item amounts below shall be applicable only to expense incurred during the following				
Applicable Period:				
BEGIN: November 1, 2018		END: May 31, 2019		
POLICY 03 Object Line-item Reference	EXPENSE OBJECT LINE-ITEM CATEGORY ¹	GRANT CONTRACT	GRANTEE PARTICIPATION	TOTAL PROJECT
1. 2	Salaries, Benefits & Taxes	0.00	0.00	0.00
4, 15	Professional Fee, Grant & Award ²	\$1,500.00	0.00	\$1,500.00
5, 6, 7, 8, 9, 10	Supplies, Telephone, Postage & Shipping, Occupancy, Equipment Rental & Maintenance, Printing & Publications	\$500.00	0.00	\$500.00
11. 12	Travel, Conferences & Meetings	0.00	0.00	0.00
13	Interest ²	0.00	0.00	0.00
14	Insurance	0.00	0.00	0.00
16	Specific Assistance To Individuals	0.00	0.00	0.00
17	Depreciation ²	0.00	0.00	0.00
18	Other Non-Personnel ²	0.00	0.00	0.00
20	Capital Purchase ²	0.00	0.00	0.00
22	Indirect Cost	0.00	0.00	0.00
24	In-Kind Expense	0.00	0.00	0.00
25	GRAND TOTAL	\$2,000.00	0.00	\$2,000.00

In the example above, the grantee received an award totaling \$2,000.00. Of that total, \$1,500.00 was for Professional Fee, Grant & Award for contracted services (such as a contract archivist, outside contracted training, or a contracted company to provide digitization) and \$500.00 under Supplies, Telephone, Postage & Shipping, Occupancy, Equipment Rental & Maintenance, Printing & Publications. In this instance, the grantee's application requested \$500.00 for archival supplies (i.e. folders, boxes, polyester sleeves). Although the contract budget category has many other things listed in this box, it does not mean that those items are necessarily eligible for reimbursement. The grant guidelines (not included in the grant contract) determine what expenses are eligible and ineligible. For example, although telephone is listed in this grant budget category, the grant guidelines

specifically prohibit applicants from using grant funds for any utility expenses. Therefore, expenses related to telephones would not be allowed.

The totals for each column limits the amount you may be reimbursed. If you are unsure of how you may spend your grant award, you should contact the grant manager.

Grant Monitoring

Periodically, the Archives Development Staff will make grant monitoring visits. On some occasions, these visits may also include members of the Tennessee Historical Records Advisory Board. These visits are not always an indication that anything is awry with your grant, your reports, or your work. In most instances, the ADP staff and THRAB are simply spot-checking to ensure that everything is proceeding as described in your grant application. Site visits for monitoring are required of roughly 20% of NHPRC State Board Programming Grant recipients. On the rarest of occasions, staff may schedule a monitoring visit due to issues with expenditures or reporting.

Reimbursement Procedures

All grant awards are reimbursement based. You will not receive a “lump sum” payment at the beginning of the grant cycle. The funds will be dispersed to you as you provide eligible invoices and supporting documentation to the grant manager. Only items eligible within the grant guidelines and found to be in compliance with your grant application will receive reimbursement.

There are three parts to your reimbursement claim: (1) The ADP or State Board Programming Grant Reimbursement Form (2) An Invoice to TSLA for the amount to be reimbursed as specified in Section C.5 of the grant contract and (3) supporting documentation in the form of invoices from vendors reflecting a zero balance, receipts, cancelled checks reflecting that the vendor(s) received payment, time sheets for contracted archivists, and other documentation as needed.

Unacceptable documentation could include: online shopping carts, purchase orders or requests, shipping lists, undated invoices, handwritten invoices, and price quotes.

Reimbursement claims may be submitted once a month after the contract is executed. Please do not submit reimbursement claims less than \$125. For the last month of the grant cycle, the recipient may file multiple reimbursement claims and for any amount.

Reimbursement claims may be submitted electronically or via traditional mail to the Archives Development Grant Manager.

Publicity

Publicity connected to the NHPRC State Board Programming Grants is required and must credit the National Historical Publications and Records Commission, a Division of the National Archives and the Tennessee Historical Records Advisory Board. For example: “This project was made possible in part by a grant from the National Historical Publications and Records Commission, and administered by the Tennessee State Library and Archives and the Tennessee Historical Records Advisory Board.” The NHPRC logo and the THRAB logo may also be used. These logos are available by request from the Grant Manager.

The Archives Development Direct Grants contain only state funds and the following acknowledgement should be used: “Funding for this project was provided by the Tennessee General Assembly to the office of the Secretary of State, and administered by the Tennessee State Library and Archives.”

Reports

Both the ADP Direct Grant and the NHPRC State Board Programming Grants require two reports. Both reports may be submitted electronically or by traditional mail.

- (1) **The Interim Report** is a brief narrative (no more than two pages) that provides the grant manager with a status update on your project. The Interim Report should either confirm that you will complete your project and spend all of the funds OR it should provide indication that you have experienced difficulties and therefore may not spend the entirety of your award. The Interim Report is normally due about midway through the grant cycle. There is not a form for the Interim Report. The due date is included in your award letter.
- (2) **The Final Report** consists of three parts (1) Financial Reconciliation Report Form (2) Final Report Form and (3) Final Narrative Report.

The Financial Reconciliation Report Form recaps your spending and reflects the amount of grant funds left unspent. Ideally, the final number would be a zero. This form must be signed by someone within your organization that either has responsibility for the grant or someone who handles the fiscal portion of your organization.

The Final Report Form provides statistical data related to your grant project. Only work completed as part of your grant project should be included.

The Final Narrative Report is a brief (no more than two pages) summation of your grant project. It should detail successes, failures, and difficulties. If appropriate, it is recommended that you also submit before and after photographs as part of your report. Photographs should be limited to approximately five and should be in a digital format.

Communication

The recipient organization should have a designated project manager that oversees the funded activity and serves as the main point of contact. The project manager should have a viable email

address which is checked on a daily basis. Email is the preferred method for communicating on all grant related matters. Reminders about due dates, reimbursement claims, and other information pertinent to your grant project will be sent out by TSLA in the form of emails.

Record Retention

By the end of your grant, you should have a lot of documentation about your grant: a copy of your contract and copies of all invoices, reports, and correspondence, etc. A common question is how long does the grant recipient need to keep the documentation? The answer depends on the source of the grant funds.

State Funds

If your grant was funded using state funds only, you should keep your documentation 5 years after the end date of your contract. So if you have a contract that ends on 6/30/2019, then you can destroy your documentation any time after 6/30/2024.

Federal Funds

If your grant award was federally funded, you should keep your documentation at least 5 years after THRAB/TSLA files its final report with NHPRC. While your NHPRC State Board Programming Grant contract may end on May 31, 2019, TSLA will not file its final report to NHPRC until the end of October 31, 2019. Therefore a grantee may not destroy their grant records until after October 31, 2024.

Questions?

Archives Grants are managed by the Archives Development Office of the Tennessee State Library & Archives. The current grant manager is Sara Baxter with Nathaniel Taylor assisting. Mrs. Baxter may be reached at 615-741-2083 or by email at sara.baxter@tn.gov. Mr. Taylor may be reached at 615-253-8713 or by email at nathaniel.l.taylor@tn.gov.

Appendices

Current Guidelines for ADP Direct Grants
Current Guidelines for NHPRC State Board Programming Grants
Sample Award Letter
Sample Grant Acknowledgement Form
Sample Financial Reconciliation Report Form
Sample Final Grant Report Form