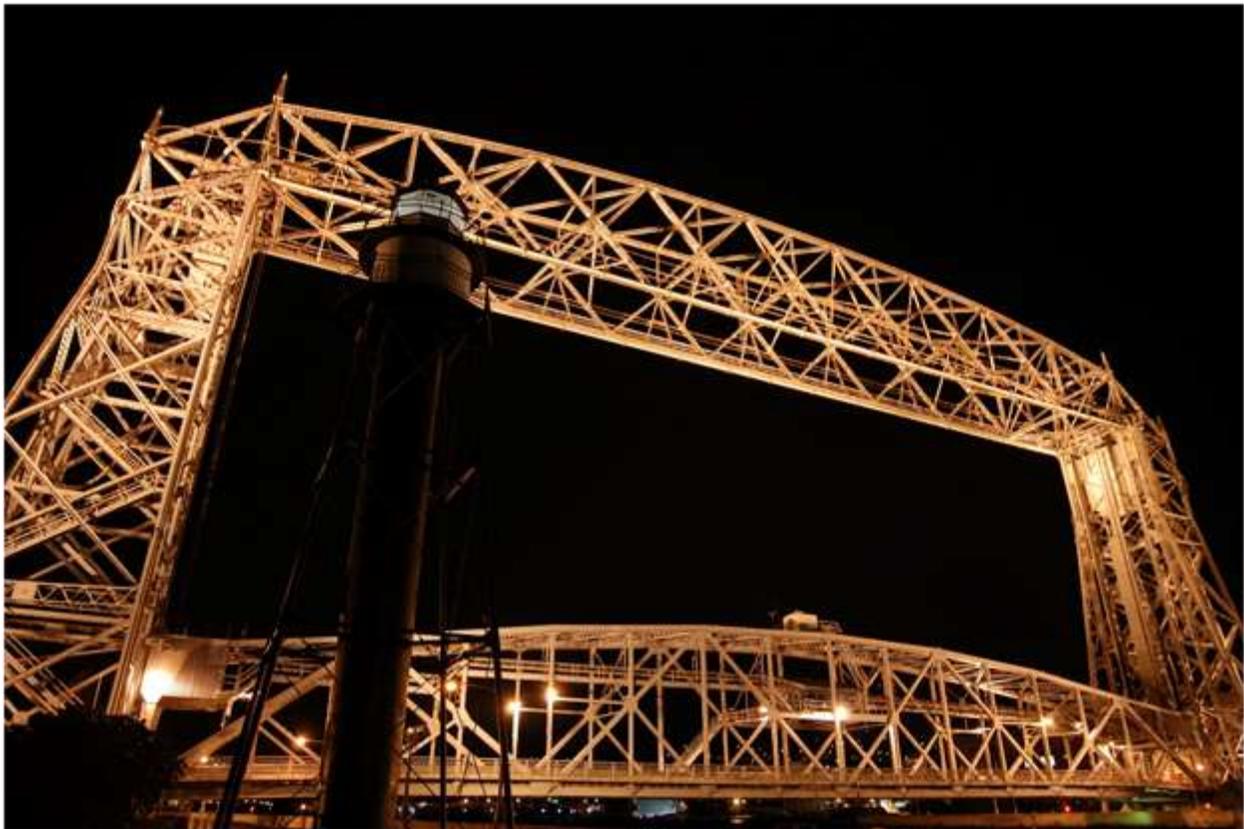


Minnesota Historical & Cultural Heritage Grants MANUAL FOR FISCAL YEARS 2018-2019

VERSION 5.1

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□□□ GENERAL INFORMATION

INTRODUCTION

The Grants Office consists of a small administrative team plus a network of MNHS staff and outside peer reviewers. All grants staff are committed to assisting applicants throughout the grant application process, acting as advisors and coaching applicants to produce competitive applications. For assistance, please contact the Grants Office at 651-259-3497 or grants@mnhs.org.

This manual establishes the requirements for the Minnesota Historical and Cultural Heritage Grants (MHCHG) program administered through the Grants Office located in the Heritage Preservation Department at the Minnesota Historical Society and funded by the Clean Water, Land and Legacy Amendment to the Minnesota Constitution.

The Arts and Cultural Heritage appropriation specifies funding for:

History programs and projects operated or conducted by or through local, county, regional or other historical or cultural organizations; or for activities to preserve significant historic and cultural resources.

The program's goals are to preserve and enhance access to Minnesota's cultural and historical resources and to support statewide public access to history and historic preservation projects.

What does it mean to provide statewide public access to Minnesota's cultural and historical resources? You and your colleagues around the state are involved in saving resources (historic preservation), sharing resources (history), and/or exploring resources (research) about the great State of Minnesota. Because of the Minnesota Historical and Cultural Heritage Grants program, historians and preservationists have various opportunities to work on **projects that preserve Minnesota's stories.**

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REVIEW PROCESS & CRITERIA

GRANTEE

Keep reading to learn more about the rules (federal, state, and Grants Office requirements), projects (what type of work is covered by the grant funding), and process (grant application).

This manual includes administrative policies required by:

- The Constitutional Amendment article XI, section 15,
- State session law
- Minnesota Department of Administration's Office of Grants Management grant management policies
- Programmatic requirements based on previous grant mechanism, best practice, and applicable Standards. Programmatic requirements are developed or adjusted based on continuous learning, research, and emergent knowledge.
- Guidance is sought from the Historic Resources Advisory Committee (HRAC).

ELIGIBILITY

To apply to this grant program, your organization must meet two eligibility requirements. First, your organization (the grant applicant) needs to be eligible; and second, the project needs to be eligible. Both the applicant and project must be eligible prior to submitting a large grant pre-application or a small grant application.

ELIGIBLE APPLICANTS

The applicant is the entity that applies to receive grant funds for the project described in the grant application. Once the grant is approved and funded, then the applicant becomes the grantee (see Grantee Responsibilities on page 18).

The applicant must reside in the State of Minnesota.

The applicant must be the owner of the resource (i.e. building, structure, artifact, etc.) or have legal documentation stating the limits of their rights and responsibilities over the resource. If the owner of the resource is an eligible applicant, that organization must apply for the grant.

The four groups of eligible applicants:

- Nonprofit 501(c)(3) organizations
 - Organizations must be IRS compliant ([check your status with Guidestar](#)) when requesting an account and/or submitting an application (including pre-application).
- State and local government units

- Federally-recognized tribes
- Educational institutions

NONPROFIT 501(C)(3):

Nonprofit/nongovernmental organizations recognized by the Internal Revenue Service as 501(c)(3) are eligible applicants. The Minnesota Historical Society's grant records must document each applicant's eligibility for the grant program. It is the sole responsibility of the applicant to prove it is eligible. Failure to provide sufficient documentation of 501(c)(3) status will render a nonprofit applicant ineligible.

Note that only those churches, synagogues, mosques, etc. (hereafter 'churches'), recognized with formal 501(c)(3) status by the Internal Revenue Service (IRS) are considered eligible applicants.

Some churches may be subordinate to a central church, such as a council, diocese, or a synod. The IRS allows for Group Exemptions in IRS Publication 4573. According to this publication, any church acting as a central organization must possess 501(c)(3) status. Any church wishing to apply for Minnesota Historical & Cultural Heritage Grants as a subordinate organization must:

- Submit a copy of the Group Exemption letter.
- Provide the Federal Employer Identification Number of the central organization, and, if available, the Federal Employer Identification Number of the subordinate (applicant) organization.
- If the group exemption points to another document listing the organization as an official subordinate organization, a copy of that document must also be included. For example, the Group Exemption for the United States Conference of Catholic Bishops (covering all Roman Catholic Churches) points to enumeration in the *Official Catholic Directory*. A copy of the page in the directory showing the organization must be included.

STATE AND LOCAL GOVERNMENT UNITS:

Any subunit of government in the State of Minnesota is an eligible applicant, including but not limited to state agencies, state or local commissions, municipal governments, school districts, and other governmental agencies.

FEDERALLY RECOGNIZED TRIBES:

Any of the 11 federally-recognized tribes or their subunits in Minnesota are considered eligible applicants. See the [Minnesota Secretary of State's](#) website for a list of eligible tribes.

EDUCATIONAL INSTITUTIONS:

Accredited educational institutions meeting the definition of educational institutions in the Internal Revenue Code are eligible. IRC Title 26, 170(b)(1)(A)(ii): an educational organization which normally maintains a regular faculty and curriculum and normally has a regularly enrolled body of pupils or students in attendance at the place where its educational activities are regularly carried on. (Title I (20 U.S.C. 1001 et seq.) as amended.) Documentation of accreditation may be required.

COOPERATIVE PROJECTS

Cooperative projects involve two or more participants working on activities to preserve significant historic and cultural resources.

Qualifying for a Cooperative Project

- While one of the participants has a central or large role in managing the project, all participants must contribute in substantive way to accomplish the project activities. These contributions and obligations should involve two or more forms, such as financial support, contributed time and labor, professional or technical expertise, access to facilities or equipment, use of intellectual property, and/or access to resources.
- The Lead Participant is the grant applicant and must be eligible as defined under Eligible Applicants and agree to provide administrative services and oversight to, and assume legal and financial responsibility for, the terms of the grant. The Project Director and Authorized Officer must be an employee or board member from the **Lead Participant's organization**
- The contributions and obligations of each participant must be defined in a formal, written Memorandum of Understanding (MOU). If funds are awarded, all participants will be required to sign the MOU which will be sent to the Lead Participant with the grant agreement. The Grants Office will generate the MOU from answers provided in the application. The MOU provides documentation that demonstrates the participants have agreed to coordinate the responsibility to carry out the project activities and will abide by grant requirements. The MOU will be in effect for the lifecycle of the grant.
- Any product produced from a cooperative project must remain available to the public. This should be explained in Enduring Value and Sustainability sections of the application.
- For construction work, a demonstration of control of the property through a deed or valid lease must be included with the application and the property owner must sign a Letter of Agreement that governs the use of the property for 5-20 years, depending on the amount awarded by the grant. Similarly, the owner of the item or collection must also demonstrate ownership and responsibility.

ADVICE ON COMPLETING THE APPLICATION FOR A COOPERATIVE PROJECT

The following information must be included in the grant application:

- Is this a cooperative project? Select Yes. A drop down will appear with the following questions:
 - Participants: Name and contact information of participants(s) involved
 - Purpose: What is the purpose, goal, and/or common mission of the cooperative project? Why is this cooperative project important to all participants?
 - Roles and Responsibilities: Clearly describe and outline the agreed upon roles and responsibilities of each participant to ensure project success. The roles and responsibilities should align with the grant application.
 - Benefits: How will the public access the results of the cooperative project? How will each participant benefit from the cooperative project?
 - Reporting: How will the effectiveness and adherence to the terms between the participants be reviewed? How will it be evaluated? Describe who will be responsible for collecting, collating, and submitting information as it pertains to the project activities.
 - Funding: Clearly describe any grant funds, the amount and budget category (personnel, contracted services, etc.) that will be provided to non-lead participant(s). If grant funds will not be provided to non-lead participants(s), state that.

Restrictions for a Cooperative Project

- Vendors, consultants, fiscal agents (sponsors), and contractors are ineligible participants.
- Individuals, for-profit corporations & organizations, federal agencies are inappropriate participants.
- The Minnesota Historical and Cultural Heritage structured grant application cannot be used to apply for a cooperative project.

ELIGIBLE PROJECTS

Grantees generally have 12 months to complete project work. Therefore, the project must be ready to begin once the grant is awarded. This includes **applicable permissions from the grantee's board or governing entity**. In addition, the applicant must have legal authority to implement any portion of the project affecting real property or collections not under their ownership or control.

Eligible projects fall into two main project categories: community history projects and historic preservation projects. Keep in mind that these are guidelines, not a catalog of all possible projects. Some projects might appear to fit under more than one category. If your planned project does not appear to fit into one of these categories or if you are unsure which category should be applied to your project, call or e-mail the Grants Office before applying. Final product(s) must be held by a Minnesota-based organization or institution and be available to the public.

ORAL HISTORY:

- Gathering interviews with recent immigrants
- Military experiences of community members
- Local controversies
- Business developments
- Natural disasters
- Community life
- Civic accomplishments
- Work for the public good
- Language preservation
- Transcription

RESEARCH & WRITING:

- Gathering research materials to lay the groundwork for solid history.
- Drafting text for exhibits, books, websites, scripts for films, and more
- Editing to improve writing for greater accessibility
- Graphic design and layout

INTERPRETIVE PROGRAMS & PUBLIC EDUCATION:

- Exhibits
- Films
- Historical markers
- Audio-visual presentations
- Web development
- Interactive Technology
- Alternate formats
- Heritage Tourism

PUBLICATIONS:

- Traditional publications

- Non-traditional publications such as adding content to existing websites

COLLECTIONS CARE & MANAGEMENT:

- Archives
- General collections
- Collections inventory
- Registration (cataloging)
- Collections storage/rehousing
- Conservation treatment
- Infestation control

MUSEUM & ARCHIVES ENVIRONMENTS:

- Install and monitor temperature and humidity controls
- Particulates (dust) control
- Measure and install lighting controls
- Install security systems and protocols
- Physical accessibility to comply with the Americans with Disabilities Act
- Pest control and integrated pest management (IPM)
- Architectural/Engineering drawings and specifications for HVAC upgrade
- HVAC installation using Architectural/Engineering drawings and specifications

DIGITAL CONVERSION & REPRODUCTION:

- Conversion of video, film, negatives, audio, and paper-based formats into archival and access-based digital formats
- Digital collections storage/rehousing/backup
- Digital asset management tool
- Microfilming
- Photograph reproduction
- Reformatting deteriorating or ephemeral media
- Creating descriptive metadata or creating edited transcriptions of digitized materials
- Researching copyright status of collection material prior to being digitally converted
- Creating descriptive metadata or creating edited transcriptions of digitized materials
- Researching copyright status of collection material prior to being digitally converted

STRUCTURED GRANT OPTIONS:

- Historical Organization Self-Assessment Using StEPs
- Acquire Primary Resources on Microfilm

- Microfilm Reader/Printer/Scanner
- Minnesota Bookshelf: museum administration, history, & historic preservation
- Minnesota Encyclopedia (MNopedia) Entries
- General Conservation Assessment & Long-Range Preservation Plan
- Develop a Disaster Plan
- Evaluation of Building Mechanical (HVAC) Systems
- Planning for Redesign of Museum Lighting
- National Register Property Evaluation
- Scholarship to National Conference Hosted in Minnesota

NATIONAL REGISTER & LOCAL DESIGNATION:

- National Register nomination for an individual property or landscape
- National Register nomination for a historic district or boundary expansion
- Multiple Property Documentation Form
- National Register nomination of an archaeological site or district, working from evaluation studies or other previous documentation
- Research and preparation of a Local Designation report (applicable only to communities with a Historic Preservation Commission whose ordinance allows for local designation)

HISTORIC PRESERVATION PLANNING:

- Develop a historic context study through analysis of the community's history
- Prepare a preservation plan for an archaeological historic district
- Developing design guidelines for a locally designated or National Register listed historic district
- Create or revise a local preservation ordinance
- Develop a preservation plan for a community or write a historic preservation chapter for a city's comprehensive plan

HISTORIC PRESERVATION SURVEY, IDENTIFICATION, & EVALUATION

- Reconnaissance Survey (Phase I) for historic and architectural properties
- Phase I survey of an archaeological site
- Resurvey of areas where most recent survey or evaluation reports are more than ten (10) years old or where additional information warrants resurvey
- **Intensive Survey/Phase II** for the evaluation of individual properties, historic districts, archaeological sites, or landscapes for listing in the National Register

HISTORIC PROPERTIES:

- Pre-development—Research Phase: work for a building that has been determined eligible for listing or is listed in the National Register
- Pre-development—Working Drawings/Architectural Plans and Specifications for National Register-listed building
- Preparation of a Historic Structure Report for a building that has been determined eligible for listing or is listed in the National Register.
- Completion of a reuse study for a building that has been determined eligible for listing or is listed in the National Register
- Development—Construction Work: Exterior building preservation work on a National Register-listed building
- Development—Construction Work: Interior systems work on a National Register-listed building
- Development—Construction Work: Work to make a building ADA accessible (installing a ramp, elevator, lift, or accessible restroom) on a National Register-listed building
- Development—Construction Work: Restoration of a historic landscape on a National Register-listed property or landscape
- Damage assessment of erosion at an archaeological site listed in the National Register
- Conservation and/or stabilization of an archaeological site listed in the National Register
- Acquisition of a building threatened by imminent loss and listed in the National Register of Historic Places

INELIGIBLE APPLICANTS AND PROJECTS

INELIGIBLE APPLICANTS

- Individuals
- For-profit corporations & organizations
- Federal agencies
- Fiscal agents (sponsors)
- All others not falling under "eligible applicants"

INELIGIBLE PROJECTS

Eligible applicants are ineligible to apply for further grants if the applicant has outstanding, overdue final reports or products on any previous Minnesota Historical Society grant and/or owes grant funds back to the grants program that have not been received by the Grants Office.

Eligible applicants are ineligible to apply for a project that is based on a previously-funded phased, planning, or foundational project (e.g., research, architectural drawings) if that funded project is still active. The final report for the already-funded phased, planning, or foundational project must be reviewed and closed by the Grants Office before an application for the next phase or implementation of that project can be submitted. Examples include, but are not limited to, architectural drawings in preparation for construction work, research and writing in preparation for an exhibit or marker installation or publication of a book, HVAC or building conditions assessment in preparation for architectural or mechanical drawings, a lighting or security assessment in preparation for a system upgrade.

Eligible applicants are ineligible to apply for projects that are segmented. Segmentation refers to breaking a project into smaller pieces/actions to avoid review or to create smaller grant requests simply to be eligible for different pools of funding. For example, the project goal is to repair the wood siding on a barn. The project is broken into four segments, one for each side so that the project will be eligible for small grant funds. This would be classified as segmentation and would not be eligible. In this case, the applicant should apply for the full project through a large grant round. Segmentation can also occur when an applicant does not explain the project fully in order to avoid a full project review.

TWO FUNDING TIERS

The type of project determines the size of the grant, the application procedure you must follow, and the review process for your application. Match is not required but is encouraged, particularly for larger grants. A pre-application is **required** for large grant applications in the Minnesota Historical & Cultural Heritage Grants program. Prior grant applications and past grant awards do not substitute for a “pre-application.” This provides an initial screening to ensure your organization and the proposed project are eligible to receive a grant.

Recommendation: Carefully consider each step and the cost of each step. Once costs are determined, that is the right time to pursue funding.

SMALL GRANTS & STRUCTURED GRANTS (\$10,000 OR LESS)

The small grants are awarded quarterly on the second Friday of the month in January, April, July and October. These grants primarily fund projects that can be completed within 12 months. Small grants award notifications are sent 8 weeks after the application deadline. While there is no formal pre-application process for small grants, [Grants Office staff](#) are available to discuss your project both before and as you prepare your application. If not funded, you will receive feedback about your application to strengthen it for reapplication in another grant cycle.

STRUCTURED GRANTS

Structured grants, a simplified small grant option, are tailored to specific grant projects, such as developing a disaster plan for a small repository, acquiring microfilm, or conducting a museum self-assessment. All structured grants are small grants and follow the small grants process listed above; however, the applicant must use the appropriate short form structured grant application rather than the standard Minnesota Historical & Cultural Heritage Grants application form.

LARGE GRANTS (OVER \$10,000)

Large grants are more competitive than small grants, and undergo a rigorous application and review process. Grants at this level are administered in accordance with negotiated terms of a grant agreement appropriate to the project needs. Large grants typically fund projects that can be completed within 6-18 months. There is one grant round (pre-application and final application) offered each fiscal year. The application process for large grants will take approximately 5 months, with award notifications sent out approximately 12 weeks after the final application deadline.

FUNDRAISING & MATCH

A funding match is not required at any level in the Minnesota Historical & Cultural Heritage Grants program. Match, however, is always encouraged; in fact, it is listed as an additional criterion for evaluating grant applications. Demonstrated match is one indicator of local buy-in and commitment to a project. A match also demonstrates a community's investment in seeing a project through to completion. The presence of a local match for larger grants can be a measure of your organization's capacity to carry out your project and of your project's long-term sustainability. Having match can be a tiebreaker in particularly competitive grants rounds.

Recommendation: If your organization plans to conduct a fundraiser as match for the project, the fundraising effort should be substantially completed prior to application. Your organization should have the match in-hand at the time of application. Fundraising illustrates an organization's, and a community's, support of and engagement in a project. Successful grant applicants begin fundraising efforts well in advance of applying for a grant and can quantify the funds collected to date at the time of application. The Minnesota Historical & Cultural Heritage Grants program offers applicants a way to bridge the gap between fundraising achieved to-date and actual project budget.

PROJECT EXPENSES

The Constitutional Amendment and Legislative Appropriation language specifically state that grant funds may NOT be used to substitute for traditional funding sources your organization received in the past. The appropriation language also requires Minnesota Historical Society to administer the program under “existing grants mechanisms,” which means expenses considered ineligible under other Society grants programs are typically ineligible under the Minnesota Historical & Cultural Heritage Grants program.

WHAT IS FUNDED

Eligible costs include, but are not limited to:

- Subjects that directly connect to Minnesota history or cultural heritage
- Direct costs that are integral to completing the grant project (these must be justified in the grant application's budget)
- Equipment purchases directly needed to carry out project objectives (e.g., recording device for an oral history project)
- Standard federal GSA rates for mileage and hotel. Per diem for meal costs are reimbursed at \$11 breakfast, \$12 lunch, and \$23 dinner (2017 rates). Out-of-state travel needs must be justified in the application.
- See category descriptions for additional costs related to specific projects. All costs must be clearly listed and justified in the grant application.

WHAT IS NOT FUNDED

Any ineligible costs included in an application will be removed from consideration as part of the approved budget. Ineligible costs include, but are not limited to:

- Subjects that do not have direct connections to Minnesota history or cultural heritage
- Tuition expenses
- Work not meeting professional standards appropriate to the project category
- Indirect costs (sometimes referred to as administrative or overhead costs)
- General organizational operating costs
- Maintenance or deferred maintenance expenses (e.g., painting, woodwork refinishing, or other small-scale upkeep work of an aesthetic nature)
- Paying current full time staff (see Appendix D)
- Equipment purchases except when necessary and reasonable to carry out project objectives
- Expenditures incurred before the beginning date or after the ending date set for the project by the Minnesota Historical Society. These dates will be stated within the executed grant contract.
- Project activities begun before the beginning date of the project, or completed after the end date of the project. These dates will be stated within the executed grant contracts.
- Indirect cost rates or percentages, including those allowed under certain federal grants programs
- Costs and projects related to compliance or mitigation with state and federal laws related to historic preservation (e.g., Section 106 of the National Historic Preservation Act, the Minnesota Historic Sites Act, the Minnesota Field Archaeology Act, etc.)
- Costs to prepare applications for the state and federal tax incentive programs
- Funding for re-granting programs operated by an applicant or others. All projects awarded must directly benefit the public through the grantee, who is held responsible to the Minnesota Historical Society for the use of funds. Applicants should instead consider a cooperative project.
- Grant writing and grant administration fees, including writing and submitting condition reports, milestones, and/or the final report
- Any item not listed in the approved budget (unless written permission is received from Grants Office prior to expenditures)
- Creation of new monuments, sculptures, murals, or other works of art
- Projects to remodel or modernize the interior of historic properties, unless the cost is related to interior building systems (e.g., HVAC, electrical, or plumbing) or ADA accessibility routes

or restrooms that make historical public spaces accessible to all (installing a ramp, elevator, lift, or accessible restroom)

- Reproducing markers and other materials without revising texts for modern audiences
- Landscaping/site work costs, unless the project entails the preservation or restoration of a historic landscape, or the site work is an integral part of an archaeological investigation
- Cost of moving a building, structure, or monument
- Planning for and execution of new construction or additions to buildings
- Conversion of materials into unacceptable Digital Data Formats
- Digitization of newspapers
- Excavation of archaeological sites for mitigation
- Ongoing costs of internet hosting service
- Ongoing program costs related to the grant project. These should be factored into the **grantee's long-term** plan and budget for project sustainability.
- Extended service warranties or ongoing annual service contracts
- Development of web presence that serves only as a brochure or web-based store for the organization
- **Grant line items for work that occurs outside the grant period (for example, grant funds can't pay retainers to hold consultants until a future phase)**
- Salvage oral history (interviewing all older people only for their random memories)
- Royalties paid to authors from the sale of publications
- Legal fees
- Projects with scopes of work similar to those previously funded through MNHS grant programs, unless justification is provided and approved
- Digitization of newspapers

APPLYING FOR A GRANT

All the Grants Office grant programs are accessed and managed through an online grants portal system located at <http://mnhs.fluxx.io>. The grants portal provides access to everything needed in administering a grant from the Minnesota Historical Society, from the application stage through reporting on the completion of a project.

The Grants Office only accepts grant applications (proposals), required attachments, and documentation submitted through the grant portal.

Instructions for applications are in the grants portal.

REQUESTING AN ACCOUNT

To submit a grant application, you must request an account through the online [grants portal](#). The Grants Office reviews your request within 2 business days.

PROJECTS INVOLVING CULTURALLY SENSITIVE OBJECTS

Many museums have examples of “culturally sensitive objects” in their collections. If a proposed project will involve such items, the applicant must consult with culturally affiliated or descendant communities about the project, and the intended use or treatment of the materials. Examples of culturally sensitive objects include artifacts or texts used in a spiritual ceremony or other ritual. Other examples include the Quran for followers of Islam, a family altar (XWM KAB) or shaman’s altar in Hmong culture, the Torah for followers of Judaism, human remains, burial offerings or other items within the purview of the Native American Graves Protection and Repatriation Act (<http://www.cr.nps.gov/nagpra/>).

Culturally Sensitive Objects are not categorically excluded from Minnesota Historical & Cultural Heritage Grants, but in such a case the applicant must demonstrate that they have consulted about the proposed project with culturally affiliated communities, or describe how they will do so during the project. Please note that this requirement for consultation about culturally sensitive objects applies to items from all cultural origins.

It is important to remember that most objects in ethnographic or archaeological collections are not “culturally sensitive.” Furthermore, it is important for the history of all cultural groups to be appropriately represented in exhibits and museum collections across the state. Applicants should consider the nature and origins of items related to the proposed project, and determine whether they would meet a common-sense definition of culturally sensitive objects. If needed, MNHS staff can provide advice to applicants about whether objects would be considered culturally sensitive.

REQUIRED ATTACHMENTS

All required attachments must be uploaded to your application in the grants portal by end of day on the deadline date. It is strongly encouraged to include the required attachments with the pre-application. Material sent by any other means cannot be accepted or considered. If required attachments are not included with the final application, the request is ineligible for funding.

NONGOVERNMENTAL ORGANIZATIONS APPLYING FOR \$25,000+

The State of Minnesota Grants Policy ([# 08-06](#)) requires a review of the financial stability of nongovernmental organizations applying for grants of more than \$25,000. To comply with this requirement, applicant organizations must submit an acceptable financial record (listed below) as part

of their application materials. Any items of significant concern must then be discussed and resolved to the satisfaction of Grants Office staff before a grant can be awarded.

Failure to supply an acceptable financial record with your application will result in disqualification. Whichever record you submit must be the most recent available and no more than three years old. If your organization is too new to have any of these records, you may need to delay application until sufficient organizational history has accumulated. You could also seek an eligible entity to serve as a sponsor for your project.

Acceptable Records

- Form 990
- Form 990-EZ
- Certified Financial Audit
- Year End Financial Report

Records That Cannot Be Accepted

- Form 990-N (no financials are part of this document)
- Budget (this is a future projection, rather than showing past performance)
- Bank Statement (current moment snapshot of financial picture)
- Balance Sheet (current moment snapshot of financial picture)

ADDITIONAL REQUIREMENTS

See project guidelines for additional requirements for each category.

SUPPORTING DOCUMENTATION

Phasing plan for more involved projects. The phasing plan must detail the timing, scope, and estimated costs of all phases of the entire project.

PHASED PROJECTS

Many projects lend themselves well to phasing. Breaking a project into discrete parts is often easier to administer for smaller applicants. However, serial applications for artificial phasing to fit the requirements of a small grant and to avoid heightened competition of large grant reviews (segmenting) are inappropriate and will not be funded.

Phases are sequential steps, where the prior phase must be completed before starting the next phase. Individual phases are usually comprised of one or more closely related activities with a common outcome.

For phased projects, provide a phasing plan detailing the timing, scope, and estimated costs of all phases of the project. If all phases of a single project are expected to exceed the small grant limits, the applicant should consider applying for a larger grant amount to accomplish the entire project under a single grant. For rehabilitation projects receiving funding for multiple phases in the Historic Properties category, the term of the final Letter of Agreement Governing Use of Historic Site will be based on the cost of all grant funds received for the project, not for each individual phase.

A phasing plan can be adjusted if new information or knowledge is uncovered during one of the phases that justifies reconsideration of the entire plan. Prior phases of the project must be completed, and if funded by the Grants office must be closed out, before applying for the next phase.

In the application, describe why it is appropriate to apply for a discrete portion/phase rather than the entire project and explain each phase of your project in detail. In the work plan section of the application, applicants must clearly articulate any phasing of their project, along with the rationale for choosing this approach. Failure to include a rationale may result in the reviewers assigning a lower priority to the proposal. If preferred, this information could be stated in a separate document that is uploaded with the application.

Phasing a project is one way that your organization can easily manage their project, verify that the organization/project is ready for the next phase, and ensure that the final product is successful.

Common phases for project include: a needs-assessment phase; budgeting, pre-planning, & research phase; and project execution & completion phase. For a preservation example, an organization applies for funds to create a building Conditions Assessment that identified building needs. After completion of the Assessment Phase the organization intends to apply for funding to pay for the Architectural Design Services and, after that Design Phase has been completed they will apply for funds to complete the actual construction work. For a history example, an organization's **overall plan** is to do a short historical documentary based around interviews. The project could be broken up into **three phases**: "Phase 1: (1st grant application) Conduct oral history interviews of 10 narrators. We will film the interviews to be used in a documentary. Final product will be transcripts. Phase 2: (2nd grant application) Identify and research the subjects uncovered by the oral history. Search for and log additional footage that can support the subject. Final product will be research report, annotated bibliography, footage logs and a draft script. Phase 3: (Final application) Video production. Final product **will be completed video.**"

NOTE: If a portion of a multi-phased or large project is carried out with Legacy grant assistance, the entire project is considered subject to grant review. Portions of a project cannot be withdrawn because they are being funded by a different/additional source.

In addition, serial applications for artificial phasing to fit small grants and to avoid heightened competition of large reviews by the Historical Resources Advisory Committee are inappropriate.

COMBINING GRANT FUNDING WITH OTHER FINANCIAL SOURCES

As indicated previously, providing match for a project is an additional consideration as part of the grant review. However, keep in mind that the scope of review for a project is not limited to the portion of the work proposed to be funded with grant dollars. All activity related to the grant-funded portion of the project is subject to review by Grants Office staff. For purposes of the Historic Properties category, the project scope includes all work to be performed in conjunction with the rehabilitation. The Grants Office review encompasses the entire building **and the building's site and environment, including** any buildings under the same ownership that were functionally related historically. Any new construction and site improvements occurring in conjunction with the rehabilitation are considered part of the project, subject to review. This review meets the requirements with the Grants Office only. This review is not a commentary on the construction procedures proposed or the viability of the project. Additionally, this review does not fulfill review requirements pursuant to Minnesota State Statute 138, Section 106 of the National Historic Preservation Act, or local review authority. Similarly, the required Letter of Agreement Governing Use of Historic Site covers the entire building and site, not just the portion of the building that was rehabilitated using grant funding.

Applicants in the Historic Properties category should carefully consider whether to apply for any grant funding for rehabilitation work associated with other financial incentives, including other grant programs and the state and federal tax credit programs. The Grants Office recommends applicants consult with a tax attorney to determine the tax implications of comingling financial incentives from multiple programs.

ACQUISITION OF REAL PROPERTY

Acquisition of real property (historic property or collection) is an eligible grant activity only if the property or collection is threatened by imminent loss or destruction. The historic property or collection **must be of exceptional significance to the applicant's mission. One or more of the** following scenarios must be true in order for the grants program to consider an application under this category.

Imminent loss or destruction for historic properties:

- imminent structural or environmental risks (such as fire, flood, collapse, erosion, vandalism, or relic collecting)
- request for rezoning with intent to sell the property for redevelopment
- proposed disposal of the property through public sale with intent to demolish
- property is under a demolition order or has been declared a public nuisance
- a demolition permit has already been requested or granted

Imminent loss or destruction for museum collections:

- imminent material risks (such as fire, flood, or collapse)
- object(s) would be prevented or no longer be in the public access
- objects are in danger of being separated from a distinct collection which would negatively impact their historic integrity.

For all acquisitions:

- The applicant must seek to acquire the property through donation prior to applying for an acquisition grant.
- The applicant must identify previous failed attempts to fund the acquisition, including grants sought and fundraising efforts.
- The cost for acquisition should be based on the fair market value of the property, documented through two independent appraisals completed by qualified appraisers within six months of the grant application. If the cost for acquisition is less than fair market value, the grantee must submit a signed statement by the current owner stating their knowledge of the fair market value (include actual value in the statement), their satisfaction with the agreed upon price, and their reason(s) for accepting a lower price. See Appraiser Qualification Tip Sheet.
- Grantees shall avoid real or apparent organizational conflicts of interests with appraisers.
- The applicant must attest that there is an independent relationship between the seller and the applicant (i.e., there will be no actual or perceived conflict of interest or concerns about unjust enrichment between the parties).
- Costs incurred for interest on borrowed capital are not allowable costs.
- The applicant must demonstrate their ability to immediately stabilize the resource (if needed).
- The applicant must describe their long-term plans for conservation, preservation, and/or interpretation.
- Applicant must have a purchase agreement with the seller disclosing terms to submit with the application.

For historic property acquisitions:

- The applicant must explore donation of a conservation easement from the current owner to the applicant prior to applying for an acquisition grant. A conservation easement will provide protection to the property without the need for acquisition.
- Acquisition of historic properties previously receiving Minnesota Historical Society grant assistance is not allowed during the term of any standing Letters of Agreement Governing Use of Historic Sites.
- The applicant must acquire full title to the property. The Minnesota Historical Society must not be included within the chain of title.
- The acquisition must include the entire National Register boundary of the property. Deviations from the National Register boundary must be justified in the application.
- A historic property may not be acquired with the intent of moving the built resource.
- The acquired property must be publicly accessible for the term of the Letter of Agreement. Physical access to a historic property may be waived if access will incur substantial risk of harm, theft, or destruction of the resource. In these instances, an alternative means of accessing the significance of the resource must be developed.

For acquisition of museum collections:

- The applicant must demonstrate how the object(s) meet adopted museum collections policy, and where applicable, how acquisition is part of a museum collections plan. The museum collections policy must include a clause on deaccession.
- Acquisition of an object previously acquired by another institution using Minnesota Historical Society grant assistance is not allowed.

The object must be publicly accessible for a minimum number of years following acquisition, to be determined by the amount of the grant. Physical access to the object may be waived if access will incur substantial risk of harm, theft, or destruction of the object. In these instances, an alternative means of accessing the significance of the resource must be developed.

REVIEW PROCESS & CRITERIA

The Minnesota Historical & Cultural Heritage Grants Program is a competitive process involving application review by Grants Office staff, peer reviewers, the Historic Resources Advisory Committee (HRAC), and the Minnesota Historical Society's Executive Council.

REVIEW PROCESS

Small/Structured Grants: Once the deadline passes, applications are reviewed by one or more Grants Office staff members with expertise related to the project category and administrative policy. Those that are ready will be recommended directly to the Society's Executive Council for action, and

those requiring revision or those that are ineligible will be returned to applicants with constructive feedback from the reviewers. The Grants Office encourages unsuccessful applicants to reapply for an eligible project during a future grant round. Notifications of the Executive Council's decision are sent approximately 8 weeks after application deadline.

Large Grants: Once the deadline passes, pre-applications are reviewed by one or more Grants Office staff members with expertise related to the project category and administrative policy. Constructive feedback is provided to the applicant to strengthen the final application. Final applications are reviewed by Grants Office staff and other Minnesota Historical Society subject area experts. For grant applications requesting funding of \$100,000 or greater, an additional peer review is conducted by a qualified professional unaffiliated with Minnesota Historical Society. Final Applications, along with staff and peer reviewer comments, are provided to the Historic Resources Advisory Committee (HRAC) for consideration at a public meeting.

Based on their evaluation and the review criteria, the HRAC recommends approval or denial of each application and forwards their recommendations to Minnesota Historical Society Executive Council for final action. You will be notified of their decision in writing. In some cases, special conditions may be required on approved projects; the conditions will be outlined in your grant contract. Once awarded, large grants are subject to increased fiscal oversight and ongoing monitoring by Grants Office staff.

Notification of the HRAC's and Executive Council's decisions are sent out approximately 12 weeks after final application deadline.

Please Note: Approval of an application by Grants Office staff or the HRAC does not constitute formal comment on a project under either the state or federal rehabilitation tax credit review process and does not fulfill review requirements pursuant to Minnesota state statute 138 or section 106 of the National Historic Preservation Act.

REVIEW CRITERIA

The review criteria are drawn from Minnesota Statutes, language in the appropriation and sound practices in administering grant programs with public funds. *Notes about the criteria can be found within the Definitions section.*

Grant Office staff reviews are based on whether your proposal:

- *Is complete*
- *Meets eligibility requirements*
- *Is a project*

- *Supplements, not substitutes for, traditional funding sources*
- *Follows appropriate professional standards*
- *Meets the financial reporting requirements of MS 16B for Grants Management*
- *Has a realistic budget*
- *Can be completed on time, within the required time frame*
- *Produces measurable outcomes*

HRAC evaluation is based on whether your proposal:

- Follows appropriate professional standards
- Fills a demonstrated need
- Creates a publicly-accessible product of enduring value
- Has a realistic budget
- Can be completed on time, within the required time frame
- Produces measurable outcomes
- Incorporates public benefit and access
- Is sustainable

Additional Considerations by HRAC are:

- **The applicant's demonstrated capacity** to complete the project
- Significance of the resource
- Partnerships
- Match
- Pre-planning work completed
- Follow through of prior planning recommendations
- Statewide distribution of projects in applicant pool
- Number of open grants for a given applicant
- Number of previous grant awards to a given applicant

In general, applicants in good standing concerning all previous Minnesota Historical Society grants awarded may have more than one open grant at any given time. Consideration will be given to the capacity of the applicant, including the number and amount of grants currently open from all Minnesota Historical Society grant programs, past grant performance, and the financial capacity of the applicant. Additional consideration is given to how closely the project proposal follows the organization's **current planning documents, plans, assessments, and reports**. **Applicants within a parent-subordinate organizational structure where the parent organization must be the applicant of record (e.g., schools or departments within a university system), will be considered based on the capacity of the subordinate level (e.g., the school or department rather than the university system).**

GRANTEE'S RESPONSIBILITIES

After a grant award has been approved, your authorized officer/representative(s)/property owner must sign a grant agreement (contract) outlining the terms and conditions of the award. The document specifies an authorized project start date, end date, approved project budget, and approved scope of work, where appropriate. In some cases, the dates, budget, and scope of work will differ from those presented in the application. It is important that the project director reads the grant contract carefully to understand any conditions placed on the grant award.

The grantee must abide by the following regulations:

- The Grantee must agree to abide by the requirements of MS [16B.98](#) for Grants Management.
- Changes to approved projects must be in writing and require approval from the Minnesota Historical Society.
- All publicity releases, informational brochures, public reports, publications, and other public information relating to approved projects must acknowledge assistance from the Arts & Cultural Heritage Fund. Acknowledgement language is included in the grant agreement.
- The Legacy Logo identifies projects funded by the Clean Water, Land and Legacy Amendment. Recipients of funds from the outdoor heritage fund, parks and trails fund, clean water fund, or the arts & cultural heritage fund should:
 - display the Legacy Logo on Legacy-funded construction projects
 - display the Legacy Logo on printed, online, and other materials funded with money from one or more of the funds
 - use this acknowledgment for restoration/preservation (building) projects: "*This project has been financed in part with funds provided by the State of Minnesota from the Arts and Cultural Heritage Fund through the Minnesota Historical Society.*" Post a project identification sign in a prominent location while work is in progress on a historic property. All publicity releases, informational brochures, and public reports relating to an approved grant project shall contain an acknowledgment as follows: *This publication was made possible in part by the people of Minnesota through a grant funded by an appropriation to the Minnesota Historical Society from the Minnesota Arts and Cultural Heritage Fund. Any views, findings, opinions, conclusions or recommendations expressed in this publication are those of the authors and do not necessarily represent those of the State of Minnesota, the Minnesota Historical Society, or the Minnesota Historic Resources Advisory Committee.*
- The Grants Office staff requires a post-award conference call after each grant round. This Q&A session will be provided to project directors and will cover a broad overview of the grant agreement, milestone/condition reports, project products, and final report requirements. This session will be mandatory for grantees that have conditions on their grants or that have had past performance issues with an MNHS grant.
- A final report must be submitted via the grants portal within 30 days following the assigned end date for the project. The report should describe all project activities and measurable

outcomes, and must include a financial report providing complete documentation of expenditures of both grant funds and match, if applicable.

- Invoices or receipts, or the final AIA form (for construction projects) must be uploaded with all large grant final reports and with small grant final reports by request from the Grants Office. The budget table and financial documentation must match.
- **If match is not documented in the final report but was included in the application's proposed budget, the grantee will not receive credit for that match and justification must be made for the lack of match.**
- You must agree to hold harmless the Minnesota Historical Society and the State of Minnesota for any action, complaint, discriminatory proceedings or litigation of any kind whatsoever, in conjunction with the funded project. You must further agree to conform to the provisions of MS [181.59](#), which prohibits discrimination in hiring and/or contracting of labor because of race, creed, or color.
- For construction projects in the Historic Properties category, the property owner must agree to sign a Letter of Agreement Governing Use of Historic Site, assuming responsibility to maintain the historic property in a satisfactory manner for a specified number of years after the grant-funded project is completed.
 - Grants up to \$25,000 require a 5-year letter of agreement
 - Grants of \$25,001 to \$50,000 require a 10-year letter of agreement
 - Grants of \$50,001 to \$100,000 require a 15-year letter of agreement
 - Grants over \$100,000 require a 20-year letter of agreement
- For projects that include construction work prevailing wage rules apply per [Minn. Stat. §§177.41](#) through [177.44](#). Consequently, the bid request must state the project is subject to *prevailing wage*. These rules require that the wages of laborers and workers should be comparable to wages paid for similar work in the general community. (See Appendix J for more details.)
- Grantees and their contractors, vendors, and consultants are expected to act in an ethical and transparent manner in relation to all aspects of Minnesota Historical Society grant programs. All work and materials should be of good quality and long-lasting. All work should be of highest standards and exemplify good professionalism.
- Grantees must abide by the Office of Grants Management 08-01 Conflict of Interest for State Grant-Making Policy (http://www.mn.gov/admin/images/grants_policy_08-01.pdf). **This policy takes precedence over an organization's conflict of interest policy.**
- Grantees are responsible for the settlement and satisfaction of all contractual and administrative issues related to contracts entered into with vendors, contractors, or consultants. This includes disputes, claims, protests of award, source evaluation, or other matters of a contractual nature.

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- Grantee must ensure that final product(s) are held by a Minnesota-based organization or institution and are publicly accessible.
- Grantee will hire professionals such as architects, consultants, engineers, historical researchers, etc. who possess the ability to perform successfully.

GRANT CANCELLATION

Minnesota Historical Society has the right to withhold, cancel, or revoke in whole or in part awarded grants if a grantee or applicant:

- cancels, suspends, or significantly changes the scope and activities of a funded project
- fails to comply with the terms of the grant manual, contract, or agreement
- owes an overdue final report for a previously-received grant
- fails to complete the project in a timely manner
- demonstrates inadequate financial management or oversight

Grantees that fail to respond to repeated requests to return signed agreements or contracts or fail to respond to repeated requests for required information will be given a 30-day notice prior to revocation of the grant award, in whole or in part, or cancellation of the grant agreement. Grantees that breach the terms of the grant agreement will be given proposed remedies to ensure successful completion of the project. These remedies may include revocation of portions of the grant award.

□□□ GUIDELINES: HISTORY PROJECTS

1. ORAL HISTORY

Grants in this category are intended to assist with recording, transcribing, and preserving oral history interviews—focused conversations between a trained interviewer and one or more narrators, capturing information about historical events that can be preserved and made broadly accessible.

APPLICABLE STANDARDS

- [Best Practices for Oral History](#)
- [Minnesota Historical Society Oral History Guidelines](#)
- [Minnesota Historical Society Transcribing, Editing, and Processing Guidelines](#)

ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

- Gathering interviews with recent immigrants: oral history offers the opportunity to include in our **public memory** the stories of “new settlers” and to welcome them to the broader community. Projects documenting how immigrants chose to settle in Minnesota and their experiences since arrival are encouraged.
- Military experiences of community members: sacrifice for country both at home and abroad is a common experience of enduring value.
- Local controversies: whatever the issue—school consolidation, flood control, town mergers—it is important to capture the perspectives of leaders on all sides of intense public discussions.
- Business developments: a record of economic activity, often underrepresented in reference

IN THIS SECTION

ORAL HISTORY

RESEARCH & WRITING

INTERPRETIVE PROGRAMS

STRUCTURED: MNOPEdia

COLLECTIONS CARE

STRUCTURED:
PRESERVATION PLAN

STRUCTURED: STEPS

MUSEUM AND ARCHIVES
ENVIRONMENTS

STRUCTURED: HVAC
ASSESSMENT

STRUCTURED: PLANNING
FOR MUSEUM LIGHTING

STRUCTURED: DISASTER
PLAN

DIGITAL CONVERSION

ACQUIRE MICROFILM

ACQUIRE MICROFILM
READER/PRINTER
MINNESOTA BOOKSHELF

STRUCTURED:
CONFERENCE
SCHOLARSHIP

collections, is critical to understanding any community.

- Natural disasters: in what ways do disasters such as floods, lightning strikes, or tornadoes shape a community?
- **Community life: what are residents' memories of growing up in the community?** Keep in mind that this should focus on a specific topic, as “salvage oral history” is not eligible for grant funding.
- Civic accomplishments: stories about the significance of place might include demonstrations of local ingenuity or community pride from winning a state title in sports.
- Work for the public good: important contributions to community life are often overlooked in such areas as public safety (fire, police, and other first responders), public service, and philanthropy.
- Language preservation: languages in danger of extinction in Native and immigrant cultures must be captured and nurtured for future use.
- Transcription: many oral history projects undertaken in the past were not transcribed. Bringing those projects into compliance with modern standards is a high priority.

WHAT IS NOT FUNDED

In addition to items described as not fundable under General Information, the following items are ineligible:

- Salvage oral history (interviewing all older people only for their random memories)
- Migrating oral histories to modern formats: see the Digital Conversion & Reproduction category

REQUIRED DOCUMENTATION & APPLICATION ATTACHMENTS

In addition to items listed under General Information, the following documentation is required:

- List of narrators, or selection criteria for choosing narrators
- Interviewer training and qualifications
- List of questions or topics to be addressed
- Details of transcription (transcription is mandatory)
- Sample oral history agreement form to be used with interviews
- Sample inventory form capturing data about the interviews

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: ORAL HISTORY

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

- Oral history projects must focus on specific topics related to Minnesota history, not general experiences. Include a detailed outline of the subject area to be covered in the interviews, including a preliminary draft of the questions to be asked. The result of this project should be transcriptions presenting significant historical information with potential for present and future use.
- Oral history projects must include the use of basic forms such as an oral history agreement form that gives you the right to make the transcripts and recordings available for public use at some specified time, and an inventory form that provides a record of the vital information of the interview. These forms, as well as training in conducting an oral history, may be requested from the Minnesota Historical Society Oral History Office.
- If possible, state the name of each person to be interviewed, including a brief sentence on why this person is qualified to participate.
- Specify what equipment you expect to use to record the interviews, and the source of the equipment.

Need and Rationale

- Explain how the project will complement, but not duplicate, existing reference materials on the subject.
- Why is oral history the proper method for documenting this aspect of history? Will this oral history project allow you to reach out to new audiences?
- Transcription-only projects: describe the value of the interviews and the extent to which the interviews focus on Minnesota history.

Work Plan and Timetable

- Summarize both the research that has been done and research you plan to do for the project. This section should demonstrate knowledge of the appropriate primary and secondary sources for the project.
- Explain how the selection of interviewees was made. Keep in mind that a manageable number of interviews is usually fewer than 20 (for small grants, preferably 10-15).
- Transcribe all oral history interviews into print manuscripts as soon as possible. When developing the work plan, remember that each hour of interview requires approximately eight hours of transcribing time.

Project Personnel

- If a professional interviewer or transcriptionist will be hired, what qualifications will you require
- If the interviewer or transcriptionist will be training staff or volunteers to complete the oral history project, discuss the type of training they will provide.

Enduring Value

- A duplicate copy of each recording and transcript must be made; the copies will be for transcribing and for public use. Describe how and where the original recordings and transcriptions will be stored to ensure their preservation. In what format will the originals be stored?
- The final product for oral history projects will be copies of transcripts of each interview.

Sustainability

Describe the storage areas where the completed oral history tapes, sound files, and/or videotapes and transcripts will be preserved. Include information about security, storage containers, and storage climate.

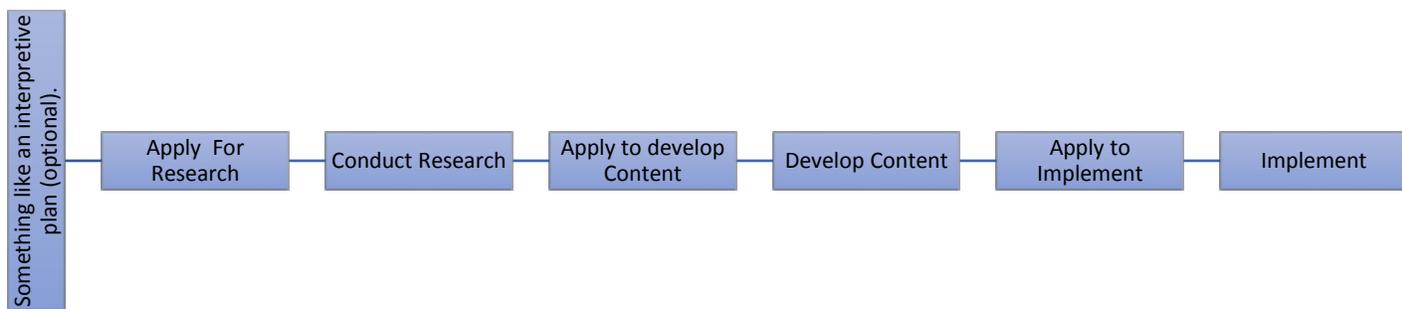
Evaluation Metrics

Describe your plans for present and future access to the oral histories, including information on any restrictions. Explain how and when the public will access the interviews.

2. RESEARCH & WRITING

Historical research is a longstanding tradition which precedes the production of historical products like publications, exhibits, films, signage and heritage tourism. These aim to accurately reveal the importance of the past to audiences. The search for and production of high quality historical research can be quite challenging and the grants program funds efforts by eligible organizations to work in this area.

Usually grantees intend to use research to build toward a final form such as a book, exhibit, film, or outdoor signage. In those cases, grantees will start with a research project that can act as a foundation for producing the document (or film, etc.). So, most projects will require at least two phases: research and writing (or other production). After the writing phase is completed, grantees might take the research into a third phase, implementation. Implementation phases occur in the following grant categories: Interpretive Programs & Public Education and Publications. Since a research project can lead to an implementation project, relevant standards for the implementation categories will apply to final products of the research and writing project.



Potential phases for an Exhibit, Film, Publication or Signage project.

Final products for a research grant are a research report and an annotated bibliography. For those project phases after research that will begin or complete the writing of a manuscript, script, or text, the results of that project will be the final product for that phase. The expected writing product will be based on what is proposed in the application (e.g., If a writing phase proposes to write the first two chapters of a book, those two chapters will be the final product of the phase).

For the research report:

First, gather and analyze available historical resources and produce a report or similar product that answers the questions of "What do we have?" and "What does that mean?" The report should

include an annotated bibliography along with a summary addressing the following questions (focusing on those most relevant to the project), and a set of recommendations as to how best to convey research discoveries to the public.

Questions to address in the research report:

- What are the significant, important questions that can be investigated and that contribute to the knowledge base? How does the research question and study design update or complement existing historical research?
- How did the research test questions against relevant literature or theory?
- Which methods best addressed the research questions of interest?
- How did you ensure that the study design, methods, and procedures were sufficiently transparent to provide an independent, balanced, and objective approach to the research?
- Did you consider alternative explanations for any findings?
- What was the possible impact of systemic bias?
- What is the plan to submit research to a peer review process?

APPLICABLE STANDARDS AND BEST PRACTICES

- [Guidelines for Historical Research and Writing](#)
- [Secretary of the Interior's Standards for Historical Documentation](#)
- [Statement on Peer Review of Historical Research](#)
- [Guidelines for Historical Projects](#)

ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

- Gathering research materials to lay the groundwork for solid history.
- Drafting text for exhibits, books, websites, scripts for films, and more
- Editing to improve writing for greater accessibility
- Graphic design and layout

WHAT IS NOT FUNDED

In addition to items described as not fundable under General Information, the following items are ineligible:

- Conference funding or attendance (see Interpretive Programs & Public Education or Structured Grant: Scholarship to National Conference Hosted in MN)
- Implementation of research projects (refer to guidelines under other applicable categories)

REQUIRED DOCUMENTATION & APPLICATION ATTACHMENTS

In addition to items listed under General Information, the following documentation is required:

- Writing: two critical reviews (thoughtful analyses) of historical quality of proposed content by qualified, non-biased **individuals**. **These aren't required when research starts, but they are required for any phase that uses a manuscript or equivalent.**

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: RESEARCH AND WRITING

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Budget

- Itemize salary, travel expenses, copy costs, materials (paper, toner, etc.), and paying reasonable honoraria for review of proposed text.

Project Description

- Describe your research plan in the application.
- Describe the central question to be investigated. How does it draw on or respond to existing literature?
- Explain the study design, methods, and procedures (describe any relevant comparisons or variables). Is your research plan transparent? Does it ensure balance and objectivity?
- How will you evaluate alternative explanations for any findings?
- How will you ensure broad and inclusive viewpoints?
- How will you approach new information uncovered after the research is fundamentally complete?

Need and Rationale

- Research or writing: describe how the research may revise existing knowledge and/or how the research will complement existing knowledge (the gaps the research might fill, or an update to previous works).
- Editing: describe the current condition of the draft text. (Are there multiple authors and therefore multiple voices? Determine and describe the appropriate reading level for the audience.)
- Design: Describe how a proper design format will make for a usable publication or other format.

Work Plan and Timetable

- Include a timetable for research and writing.
- Research: Supply a detailed work plan indicating how long each activity is expected to take.
- Describe the sources to be consulted, including their location, and explain your choices.
- **Editing:** Describe the approach of the editor (does the editor allow the author's voice to remain intact?). Be sure to show sufficient time for the grantee to approve or modify edits.
- Design: Within the detail of activity, be sure to show adequate time for the grantee to comment and respond to suggestions and proposals made by the design vendor.

Project Personnel

- If researchers, authors, designers, and/or editors are to be hired, what qualifications will you require?
- Describe the critical review process. It is the responsibility of the applicant to ensure that all publications are critically evaluated for historical honesty, fairness, and accuracy. Reviewers who write critical reviews must be knowledgeable about the content of the publication and have no vested interest (stake) in the publication. Reviewers are not usually elected officials or **community boosters, but rather local historians in the grantee's community or from** neighboring communities, professors in appropriate fields at higher education institutions, and others.
- A critical review letter should analyze the research product to judge whether it answers the questions of "What do we have?" and "What does that mean?" Further, it should also judge if the research product reflects the research.
- The result of the critical review process will be at least two letters that provide thoughtful analyses of the historical quality of the proposed product. These letters should not be letters of support; instead, they should constitute critical review of the manuscript by a knowledgeable authority. See Appendix E for examples of these letters.

Enduring Value

- Research: How will the result of the project enable future researchers?
- Editing: Is the text free of jargon, acronyms, and trendy phrases?
- Design: How timeless is the design? Will it become dated quickly? The design should not call attention to itself.
- What product will be developed during this project? How/where will it be publicly available?
- Describe where the physical copy of the research, texts, or designs will reside, and how the public will have continuing access to it.
- Research: the final research product should be a report in three parts: (1) a written narrative summarizing the main findings of the research and the contribution to existing historical resources; (2) an annotated bibliography of every resource consulted; and (3) a prioritized list of recommended uses of the research.

- Writing: draft text, an outline or overview of the intended final product, and copies of any critical reviews.
- Editing: a final markup showing the work of the editor.
- Design: a copy of draft design with commentary from the designer about choices made for the design.

Sustainability

- Describe how the organization will carry on the work started by the project.

Evaluation Metrics

- Research: How will you know that research is complete?
- Editing: How will you know the reading level is appropriate for your audience?
- Design: How will you know the product meets professional design standards?

3. INTERPRETIVE PROGRAMS & PUBLIC EDUCATION

Interpretation is the meaningful communication of a story that adds context to historical chronologies and objects. This process attempts to present explanations and connections within our history and cultural heritage to visitors, through contact with objects, artifacts, landscapes, and sites, in person or with technologies.

It is distinguished from research in that research attempts to gather all relevant information and interpretation is a public representation of the results of research. Beyond just accepting existing facts, interpretation is a way of thinking and problem solving. Interpretation builds on previous arguments about that history (found through the research) but makes its own argument that furthers the knowledge of that historical question.

Interpretive Programs and Public Education grants make Minnesota history accessible through a variety of media, including digital technology. Interpretive Programs & Public Education projects often have two phases—research and implementation. Research projects begin in the Research and Writing category. If your research is complete, read more in this chapter about how to use your research to develop a public teaching tool.

Public Education offers an opportunity for the grantee to provide instruction for or assistance with the development and promotion of an understanding of Minnesota history that will be of benefit to the public. The grants program will support these kinds of projects if project materials (papers, recordings, and other documents) will be preserved in a repository accessible to the public. Public Education projects must demonstrate:

- Association with Minnesota history
- How the public will benefit
- The importance of promoting education on a specific Minnesota history topic
- How public education will further a Minnesota history legacy

Using technology to communicate history, including development of website and/or web capabilities, online indexes/databases of government records, city directories, cemetery records, etc., helps enhance access to Minnesota history.

Interactive technology aims to facilitate interaction by means of collaborative processes between people and technology. Interactive design must be user-centered. Interactive design consists of six main components: user control, responsiveness, real-time interactions, connectedness, personalization, and playfulness. Interactive technologies include the use of (but are not limited to)

touch screens, touch tables, smart phones, and interactive exhibits. Mobile application development is like web application development and has its roots in more traditional software development. One critical difference, however, is that mobile applications (apps) often are written specifically to take advantage of the unique features a specific mobile device offers. For instance, a gaming app might be written to take advantage of the iPhone's accelerometer.

Because these kinds of projects are a representation of more extensive materials, written drafts of intended narratives need to be reviewed prior to application for fairness, honesty, and accurateness by two knowledgeable persons with no conflict of interest in the project. These reviews are to be thoughtful analyses of the historical quality of the proposed narratives. These analytical evaluations are not letters of support that merely endorse the project, but rather statements evaluating sources, methods, and conclusions. The responsibility for obtaining critical reviews rests on the applicant and implementation proposals lacking review will be regarded as incomplete (see Appendix E).

Further, all applications for Interpretive Programs & Public Education must include an assurance that any publications or exhibits carry the standard disclaimer:

This [exhibit, publication, website, brochure, etc.] was made possible in part by the people of Minnesota through a grant funded by an appropriation to the Minnesota Historical Society from the Minnesota Arts & Cultural Heritage Fund. Any views, findings, opinions, conclusions or recommendations expressed in this [exhibit, publication, website, brochure, etc.] are those of the authors and do not necessarily represent those of the State of Minnesota, the Minnesota Historical Society, or the Minnesota Historic Resources Advisory Committee.

APPLICABLE STANDARDS

Interpretive and Education Standards

- [National Association for Interpretation Standards and Practices](#)
- [Minnesota Department of Education Standards, Curriculum and Instruction](#)
- [Secretary of the Interior's Standards for Archaeology and Historic Preservation](#)

Web Development Standards

- Minnesota Historical Society's [Web Standards Guide](#)
- Minnesota Historical Society's [Web Design Best Practices Checklist](#)
- [Digital Formats](#)

Mobile Development Standards and Interactive Technology Standards

- When available, use open source technologies over proprietary technologies.
- When available, build on existing technologies rather than building new applications.

The following were written for website developers, but include pointers for what to include in web design contracts that are good for applicants to review:

- [Web Site Development and Maintenance Work Plan \(PDF\)](#)
- [5 Things to Include in Your Web Design Contracts](#)

For projects requiring construction (such as constructing, wiring, or plumbing an exhibit, for example), prevailing wage rules may apply. See Appendix J for more information and to determine applicability to your project.

ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

Exhibits:

- Interpretive exhibits telling compelling stories from the community
- Vignettes (e.g., a historical family room)
- Local collections (local art, dolls, etc.)

Films: writing the script, editing document, production, post-production, distribution

Historical markers: single markers or marker systems in a variety of materials. More than simple labels, markers must communicate a story (i.e., provide interpretation).

Audio-visual presentation

- Tour brochures
- Hosting or planning a new Minnesota history-based conference, program, or workshop
- Develop a Minnesota history-based public educational kit/curriculum for a community, school, or organization

Web Development:

- Development of website and/or web capabilities that enhances Minnesota history
- Online indexes/databases of government records, city directories, cemetery records, etc.
- Development of video or audio podcasts that include Minnesota history topics, historic tours, and oral histories
- Development of mobile/web apps

Interactive Technology such as:

- Kiosks/touch screens
- Augmented reality technology

- Game-based learning development (video games, alternate reality games, crowdsourcing games, etc.)

Alternate formats: Make your existing interpretive programs ADA-compliant by providing content through multiple sensory channels (e.g., visual, tactile, audio description, etc.), by updating interpretive signage to include Braille, or by providing alternative options for access (e.g., creating a display to interpret an inaccessible space).

Heritage Tourism:

- Heritage Tourism plans
- Wayfinding for historic resources
- Signage program for historic district
- Walking and mobile tours, docent training and related podcast
- Geocaching

WHAT IS NOT FUNDED

In addition to items described as not fundable under General Information, the following items are ineligible:

- Purchase of equipment only
- Any conferences or workshops unrelated to Minnesota history
- Any ongoing/regular (annual) conferences or workshops unless the proposal will fund new conference or workshop material that focuses solely on Minnesota history
- Development of educational materials unrelated to Minnesota history
- Costs of attending a Minnesota history-based conference, workshop or film festival. (See Structured Option: Scholarship to National Conference Hosted in Minnesota.)
- Creation of new monuments, sculptures, or murals. If you wish to create new art that conveys historical messages, you may pursue Legacy funding through the [State Arts Board](#) or your [regional arts council](#).
- Reproducing markers and other materials without taking the opportunity to revise texts for modern audiences
- Conversion of material into [unacceptable digital web data formats](#)
- Ongoing costs of a hosting service
- Posting of items if copyright is not clearly held by the applicant
- Development of Web/Library 2.0 capabilities that are not related to Minnesota history
- Simple label signs without interpretive content
- Community events

REQUIRED DOCUMENTATION & APPLICATION ATTACHMENTS

In addition to items listed under General Information, the following documentation is required:

- For implementation projects: two thoughtful analyses of historical quality of proposed content (critical review)
- For film production, post-research writing phase: research report including annotated bibliography, annotated film log and outline
- For film post-production and distribution: Script and editing document
- For markers: copy of the text, material specifications for the marker, assurance that there will be at least three parking spaces out of the roadway to access the marker
- For brochures: sample copy of draft text and/or mockup of the proposed brochure that includes the sample text
- For exhibit installations: sample copy of draft text and labels, list of likely objects to be used in support of the text, material specifications for exhibit furniture and mounts (include any estimates of off-gas time requirements), the museum environment of the exhibit space (temperature and humidity set points and diurnal fluctuation, natural and artificial light sources and levels, security), duration of the exhibit, and where project documentation will reside
- For conferences and programs: details of how presentations will be vetted, where project materials will be deposited, and how the public will be able to access them into the future
- For Web Development: [Web Site Strategy Worksheet](#)

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: INTERPRETIVE PROGRAMS & PUBLIC EDUCATION

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

- How and why did you select this project? What is its central theme—that is, the take-home message for visitors/users?
- Summarize the research that has been done and the research that will be done for the project.
- Describe learning goals and objectives. Describe the intended audience. What will the viewer be expected to know prior to experiencing the program, and what do you expect the viewer to **know because of the program? How is this project part of the applicant's work plan?**
- Since interpretation evolves over time and is a representation of data subject to many viewpoints, describe how you will accommodate any other interpretations. Also, describe how you will encourage and incorporate new data discovered after the interpretive project is released to the public.

- For implementation projects: describe the physical parameters of the final product, if applicable.
- Describe the content, materials selected, and selection criteria used.
- Materials selected must meet copyright and data privacy restrictions. Be sure to indicate that you have all necessary rights for delivery to the public.
- For Internet-based projects, complete and submit a required [Web Site Strategy Worksheet](#) with your application, and address the following when applicable:
 - Online indexes/databases: Describe the historical records that you want to place online. Summarize the research that you have done and the research that will be done for the project.
 - Development of video, audio blogs (podcasts): Summarize the research that you have done and the research that will be done for the podcasts.
- For exhibits, give square footage of the exhibit space and describe the nature of the exhibit panels.
- For markers, indicate size and materials.
- For brochures, describe size, format, and print run. For audio or video, give running time and technical specifications of equipment.
- For implementation projects, all projects must comply with Americans with Disabilities Act (ADA) Standards. Demonstrate how your product will do so. All films must be closed-captioned.
- For expenses related to hosting a conference or workshop answer the following:
 - Purpose of conference or workshop
 - How the purpose will be accomplished
 - How attendees will be invited
 - Number of expected attendees
 - Conference or workshop topics (attach a schedule of events)
- For expenses related to developing a public education kit/curriculum answer the following:
 - Purpose of the education kit/curriculum
 - The extent of licensed Minnesota teachers contributing to the development and review of the education kit/curriculum
 - Who benefits from the education kit/curriculum
 - How the education kit/curriculum will be advertised to interested community organizations
 - How the education kit/curriculum will be integrated into the classroom
 - The proposed education kit/curriculum topic(s)
 - How the topic(s) for the education kit/curriculum will be developed

Need and Rationale

- Demonstrate demand for the project. Does it address a community need? Is it intended to serve certain audience segments?
- Explain how the project will complement, but not duplicate, existing interpretive programs and research.

Project Personnel

- Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. See Appendix I for more information. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendix D for more information.

Work Plan and Timetable

For implementation: describe each step to create the final product. For exhibits, that means print production of text and images, construction of exhibit furniture, curatorial fabrication of proper mounts for artifacts, etc. For tours, that means pacing the route for timing and accessibility, print production of supporting materials (e.g., brochures), managing the tour program, etc.

Enduring Value

- Estimate the number of people who may use this product and compare that figure to users of your current programs. How long will this product be available?
- Conferences and programs: how will what is presented be captured and preserved so that people unable to attend may also access the information?
- Exhibits: how much of the exhibit research and final text will be preserved so that people unable to attend the exhibit may also benefit?
- Technology and film: provide specifications for file formats including storage conditions and backup strategies.
- Describe the final product, such as the interpretive plan, exhibit script, film script, curriculum packet/educational kit.

Sustainability

- Will the creation of this product create efficiencies in time or cost? What intended outcome for the community might this project achieve?
- For most implementation projects, describe how you will accommodate alternate points of view and/or new information after the final product is released.

- Conferences and programs: describe open hours and storage conditions of the repository where records of the program will be preserved.
- Exhibits: describe the duration of the exhibit (the grants program will generally fund exhibit runs that are at least one year, but not longer than ten years) and how the exhibit will be maintained. If the exhibit will be periodically refreshed with new material during its run, describe that process.
- Historical markers: describe who is responsible for maintenance of the marker.
- Technology: how will you maintain digital assets after the grant period has ended? If you used grant funds to pay for a software license or a hosting service, how will you maintain that license or contract?

Evaluation Metrics

- How will you collect feedback from users to assess the effectiveness of your project?
- How will you measure what people learn from the interpretive product?
- For technology: how might you apply what you learned from this project to future technology projects? **How you will evaluate the public's use of the materials and the effectiveness of mobile methods employed in presenting them?**
- For conferences, how will attendees benefit from attending? How will you evaluate the success of the conference or workshop?
- For educational kits/curriculum, how will you measure the effectiveness of the product(s)?

Beyond just accepting existing facts, interpretation is a way of thinking and problem solving.

4. PUBLICATIONS

Publication of research increases accessibility to the information and makes this information more publicly accessible. Grants in this category are intended to assist the publication of manuscripts that are substantially complete at the time of application. These might take the form of books, articles, guides, and related forms.

For all projects where history will be communicated to the public, applications must provide two assurances to reviewers. First, all applications for publications must include an assurance that the publication will carry the standard disclaimer:

This publication was made possible in part by the people of Minnesota through a grant funded by an appropriation to the Minnesota Historical Society from the Minnesota Arts & Cultural Heritage Fund. Any views, findings, opinions, conclusions or recommendations expressed in this publication are those of the authors and do not necessarily represent those of the State of Minnesota, the Minnesota Historical Society, or the Minnesota Historic Resources Advisory Committee.

Second, the application must provide two thoughtful analyses of the historical quality of the proposed work. These critical reviews are not letters of support that merely endorse publication, but rather statements evaluating (not simply asserting) the interpretation contained in the work for fairness, honesty, and accuracy. The responsibility for having draft manuscripts evaluated rests on the applicant. Publication proposals lacking two reviews will be considered incomplete.

BEST PRACTICES

- [Guidelines for Historical Research and Writing \(for articles\)](#)
- [Secretary of the Interior's Standards for Historical Documentation](#)
- [Statement on Peer Review of Historical Research](#)

ELIGIBLE PUBLICATIONS PROJECTS

Eligible projects include but are not limited to:

- Traditional publications such as books, articles, general histories, published edited documents and historic site guides
- Non-traditional publications (talk to the Grants Office about what form that might take.)

REQUIRED ATTACHMENTS

In addition to items listed under General Information, the following documentation is required:

- Substantial sample of the properly-cited manuscript (e.g., several chapters of a book)—preferably the entire work, if available
- Two letters of critical review from qualified reviewers (See Appendix E)

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: PUBLICATIONS

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Budget

Itemize editing expenses, ISBN fees, use fees, printing, bindery, shipping and handling, and marketing, or travel to a conference at which the attendee (author) will present Legacy-funded, critically-reviewed research. For costs not listed, contact Grants Office staff before developing an application.

Project Description

- Describe the publication
- Discuss how and where your publication will be found by the public (could include marketing ideas)

Need and Rationale

- Briefly discuss how the publication will complement existing publications, or update the interpretation of other works.
- Briefly discuss the anticipated consumer demand for the publication.

Work Plan and Timetable

- If your product is a traditional publication, what is the initial print run? How will you distribute it?
- Provide the schedule of production, distribution, and events surrounding the publication.

Project Personnel

Indicate who will be working on producing the project, such as copy editors, indexers, designers or similar staff. Discuss the qualifications of any staff you will hire. Discuss any of these production staff in the work plan and timetable. If vendors/consultants are already selected, it is critical that the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendix D for more information.

Enduring Value

- What product will this project develop? How/where will it be publicly available?
- **Describe your plan to accommodate possible factual changes to the text.** Since interpretation evolves over time and is a representation of data subject to many viewpoints, describe how you will accommodate any other interpretations.
- Final product: All publications must be printed on acid-free paper, have ISBN and Library of Congress cataloging-in-publication data, and include an index.
- To preserve your project for future generations, a copy should be deposited (if applicable) **with the grantee's reference library and offered to at least one of the following:**
 - the Minnesota Historical Society Library
 - the reference library of your county historical society
 - the nearest public library or
 - other publicly accessible repositories as defined by the applicant

For products related to a particular region of the state, a copy must be offered to major libraries in each county of the region. The contents of products in electronic formats, such as DVDs or websites, must be printed on acid-free paper and deposited with libraries as specified above. Conference papers, including a paper copy of any PowerPoint presentations, must be offered to the aforementioned libraries.

NOTE: While you are required to offer a copy of your grant project to the above organizations, they are not obligated or required to accept. However, as the grantee, you are required to find a suitable, publicly-accessible repository for your project product.

Sustainability

Proceeds from sales should be retained by the applicant and applied toward reprinting (as appropriate) to make the publication sustainable.

- Provide written assurance that the applicant will own or have unlimited access to the copyright and the Legacy funding acknowledgment will be included on publication. *(The author can retain copyright, but fair public use will still apply).*

Evaluation Metrics

How will you know that the publication is broadly distributed? Will you track sales, book presentation attendance, and/or geographic distribution?

NOTE: You will also provide an electronic copy to the Grants Office along with your final report. This copy is not a substitute for the copy offered to the Minnesota Historical Society Library. The electronic copy should be a PDF of a substantial portion of the final, properly-cited manuscript, complete with illustrations (minimum 300 dpi), credits (including owner-specified citations for illustrations), and captions.

5. STRUCTURED: MINNESOTA ENCYCLOPEDIA (MNOPEDIA) CONTENT

This structured grant provides funding for organizations to broaden access to local history topics that are not currently MNopedia entries. [MNopedia: The Minnesota Encyclopedia](#) is a project of the Minnesota Historical Society. It provides reliable, searchable content about Minnesota history online through a free, publicly available website, www.mnopedia.org. The MNopedia project team seeks organizations that will create encyclopedia entries about Minnesota subjects they know well, such as local events, places or people.

For individuals who want to contribute to MNopedia see: Legacy Research Fellowship at <http://sites.mnhs.org/library/legacy-research-fellowships>.

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant include, but are not limited to:

- Hiring a qualified writer/researcher
- Media such as image scanning, original photography, A/V digitization, or specified other cost
- Research costs such as photocopies, or specified other cost

GETTING STARTED AND PUTTING IT ALL TOGETHER

Applicants may create entries themselves or hire a qualified writer/researcher to do the work for them. Organizations will be able to shape the entries they contribute, in line with encyclopedia Content Guidelines. Minnesota Historical Society staff will provide these guidelines for style, submission, and licensing at the time grants are awarded.

Students, teachers, history enthusiasts and others often turn to the web to start research or get quick answers to questions. Now *MNopedia: The Minnesota Encyclopedia* is there for them, offering interesting, multimedia content about Minnesota history. By adding entries to this resource, you will make important information about your community more accessible and point people back to your organization for additional information and resources.

If you would like to apply for this grant, first identify subjects of interest in your community that would be useful encyclopedia entries. What local events, places, or people do your patrons often ask about? Which of these are of particular importance? Next, evaluate your resources. Do you have access to enough material to create an encyclopedia entry for each subject you have identified? Are you willing and able to share that material?

Each encyclopedia entry must have a main text section of 300-700 words about its subject and a bibliography of reputable sources. In addition, each entry requires accompanying images and related resources, both primary and secondary. Relevant audio or video clips can be included if available. You must have rights to share all content included in each entry. All entries will be edited and fact-checked by Minnesota Historical Society staff before publication.

Before starting the application form, define what you will create. How many entries on what subjects? What types of materials will you include with each?

Decide who will create your entries. Do you have a qualified writer/researcher within your organization, or do you need to hire someone to do the work? A qualified writer/researcher will have a demonstrated ability to research historical subjects and write to specifications, and have general knowledge of sources for Minnesota history and an ability to show samples of quality historical writing. A qualified writer/researcher should be able to complete the required work in one to three months, depending on how many entries you want to create.

Establish a budget with defined costs, tied to the time estimated to complete each entry, from research to writing to packaging. Complete the structured grant application form.

STRUCTURED MN HIST AND CULTURAL APPLICATION ADVICE: MNOPEdia CONTENT

The following advice on how to complete the application will help you shape your project.

Describe your organization and how the project fits within your organization's goals:

Describe the entries you will create, how you will create them, and how long it will take. Indicate an anticipated completion date. What product will be developed during this project? How/where will it be publicly available? Final Product: Electronic copy of approved entry text.

Budget: Enter the total budget amount from the budget worksheet

How were the above figures determined?: Describe key personnel who will be working on the project, including the writer/researcher. Vendors/consultants/contractors must already be selected. It is critical that the procurement (hiring) process meets the requirements of the grant program (Appendix I).

Required Documentation & Application Attachments

In addition to items listed under General Information, the following documentation is required:

- Upload a completed [Budget Worksheet](#) that has defined cost by line item to the Request Documents section of the application.

6. COLLECTIONS CARE & MANAGEMENT

This category supports projects that develop, store, and/or preserve objects for public access in museum and historic house collections. Many historical organizations also preserve and interpret state and local history through the collection of archival and library materials, such as manuscripts, government records, moving images, photographs and sound recordings; Those projects fall under this category as well. The guidelines below address both archives and museum collections projects. The goal of such projects is to focus the organizational mission on collections. Eligible organizations pursuing history projects that organize, develop, and conserve objects, archives, and related materials should look at this category.

APPLICABLE STANDARDS

- Standards and Excellence Program for Historical Organizations (StEPs)
- All conservation surveys and treatments must comply with [the Code of Ethics and Guidelines for Practice of the American Institute for Conservation of Historic and Artistic Works](#) (AIC)
- Society of American Archivists (SAA) [Standards](#)

PROJECTS INVOLVING CULTURALLY SENSITIVE OBJECTS

Many museums have examples of “culturally sensitive objects” in their collections. If a proposed project will involve such items, the applicant must consult with culturally affiliated or descendant communities about the project, and the intended use or treatment of the materials. Examples of culturally sensitive objects include artifacts or texts used in a spiritual ceremony or other ritual. Other examples include the Quran for followers of Islam, a family altar (XWM KAB) or shaman’s altar in Hmong culture, the Torah for followers of Judaism, human remains, burial offerings or other items within the purview of the [Native American Graves Protection and Repatriation Act](#).

Culturally Sensitive Objects are not categorically excluded from Minnesota Historical & Cultural Heritage Grants, but in such a case the applicant must demonstrate that they have consulted about the proposed project with culturally affiliated communities, or describe how they will do so during the project. Please note that this requirement for consultation about culturally sensitive objects applies to items from all cultural origins. If culturally sensitive objects would be part of the project, please describe what accommodations will be made so that all handling and use is respectful and appropriate.

It is important to remember that the majority of objects in ethnographic or archaeological collections are not “culturally sensitive.” Furthermore, it is important for the history of all cultural groups to be appropriately represented in exhibits and museum collections across the state. Applicants should consider the nature and origins of items related to the proposed project, and determine whether they would meet a common-sense definition of culturally sensitive objects. If needed, MNHS staff can provide advice to applicants about whether objects would be considered culturally sensitive.

ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

Archives:

- Establishing an archives
- Archives collection development, including: documentation strategies, surveys of archival materials not currently in repositories, appraisal projects, reappraisal, documentation of groups or subject areas underrepresented in your collection, fieldwork and other collecting activities
- Processing collections
- Creating MARC records
- Creating EAD finding aids
- Developing a records management program
- Archives policy development
- Projects addressing new and evolving media such as born-digital records and photographs, databases, and social media

Collections Inventory: A collections inventory gives you an overview to guide your future decisions on accessions, helps you maximize limited resources for collections care and makes the best use of your collections in your programming. An inventory is a comprehensive item level list of collections or segments of collections. It will include verification of accession numbers for existing collections or assignment of a temporary inventory or number for incoming collections.

Registration (Cataloging): Registration builds on an inventory, providing more specific, detailed information about each object in your collection or details in a finding aid describing the contents of an archival collection.

Collections Storage/Rehousing: Collections storage/rehousing encompasses the purchase of shelving, cabinets, boxes, work tables, carts, ladders, and supplies needed to prolong the life of your collections.

Conservation Treatment: Treatments should be suitable for the preservation of the aesthetic, conceptual and physical characteristics of cultural property, be as reversible as practical and employ materials that are appropriate and consistent with currently accepted conservation practices.

Infestation Control: Infestation control includes identification of the species, source of intrusion, and the affected collections items. Proposal must describe how the solution meets current accepted museum standards.

WHAT IS NOT FUNDED

In addition to items described as not fundable under General Information, the following items are ineligible for grant funding:

- Creation of new monuments, sculptures, murals, or other works of art, as individual pieces or to add to a museum collection. If you wish to create new art that conveys historical messages, consider pursuing Legacy funding through the [State Arts Board](#) or your [regional arts council](#).

REQUIRED DOCUMENTATION:

In addition to items listed under General Information, the following documentation is required:

- If your project will consist of multiple phases, include a phasing plan detailing the timing, scope, and estimated costs of all phases of the project.
- **Submit organization's collections or archival management policy**

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: ARCHIVES

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

- Establishing an archives: Start with a needs assessment by a qualified consultant that includes a collection development plan, a plan for basic processing, and a phased preservation plan. If you already have a detailed assessment, you may submit a proposal for costs associated with the archives startup.
- Collections development: For this category, show that you have developed, or will develop as a part of the project, initial processing techniques for new accessions. Note: If you currently have a large backlog of unprocessed holdings, a collection development project will be funded only if basic processing activities are also addressed (see below).
- Basic processing: Explain how you will catalog personal papers and manuscript collections at the collection level and institutional/organizational records at the series level. As part of your

project, you must develop or implement processing techniques to eliminate unprocessed backlogs of holdings, establish accessioning and processing techniques that will prevent future backlogs, and plan for reappraisal of your collections. If you will not be gaining control over the entire collection during the grant, describe how much (percentage of the total) you will catalog and how you decided what to include.

- Detailed processing: Describe the collection(s) you will be processing, how you chose them, and what percentage of your total collection they represent. Describe how you will process and create detailed descriptions of particular collections at the file or item level. While processing, selective re-foldering and basic cleaning may be needed. For detailed information on arrangement and description, see the SAA Archival Fundamentals publication [Arranging and Describing Archives and Manuscripts](#) by Kathleen D. Roe; for cataloging see [Describing Archives: A Content Standard, Second Edition \(DAC5\)](#).
- Creating MARC records: You may need to hire a consultant to help you determine your needs, hire someone to do the work for you, or purchase a computer program to convert your records. Provide documentation on the catalog or bibliographic utility to which you will upload your records. Include a sustainability plan for all new records. Contact Grants Office staff if you are unsure which cataloging, encoding, or metadata standards you should follow.
- Creating EAD finding aids: Encoded Archival Description (EAD) is a data structure standard for preserving the hierarchy and designating the content of descriptive guides (finding aids) to archival holdings. Do you plan to create such finding aids yourself or hire a contractor? Describe where you will put the finding aids (on your own website or in a digital finding aid library) and how you will connect them to your catalog.
- Developing a records management program: Describe your process for setting up a records management program, including consultation with your own legal representative and/or the State Archives, if applicable. What professional standards and guidelines will you follow? Will you include electronic records? Will you establish a records center? Be sure to include a plan for disposing of records once they reach the end of their life cycle. If you will be starting a museum or institutional archives, describe the process you will follow. If you already have an archives or a records management program, how will you integrate the new archives with existing programs? What equipment (e.g., shelving) and/or supplies (e.g., acid-free boxes) do you need?
- Developing policies: Describe the policies you will develop. If you plan to hire a consultant, explain your choice.
- New and evolving media: Collecting media such as e-mail messages or documenting constantly changing websites and blogs can be challenging. This category supports projects to deal with electronic media. The purchase of equipment to capture, store and access such media can be included if your need is well articulated and describes how the equipment is essential to this project.

Need and Rationale

Describe why the project is essential or needed now. What user needs does it address? What applicable professional archives or library standards or guidelines will you use that have not already **been mentioned**? **Explain why this is not already part of the organization's current administrative budget.** Explain why there is a backlog or need for this type of work on this collection.

Work Plan and Time Table

What planning or testing have you done that demonstrates that you can accomplish this project in the time allotted?

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical that the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendices D and I for more information.

Enduring Value

- What product will be developed during this project? How/where will it be publicly available?
- **Final product:** Samples of the work done during the project period—examples from the archives database, photographs of the completed work, or similar documentation.
- Describe why and how the outcomes and benefits of your project will have a lasting impact and value for the public and the grantee.

Sustainability

How will your organization carry on the work started by your project? What will be the impact on your budget? Provide evidence of ongoing institutional support for sustaining the project and demonstrate your commitment to public access. Explain how collections will be maintained in the future.

Evaluation Metrics

- State how and what data will be captured for the final report (e.g. how many MARC records were created and what percentage of your collection was affected by the project).
- Estimate the number of people you may reach through this project and compare that to current figures. How will you collect feedback from users to assess the effectiveness of your project?
- Explain any restrictions that might prevent the public from accessing the material.

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: INVENTORY

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

Explain how your collections will be documented and what applicable professional museum, archives or library standards and/or guidelines you will use. If software computers, or printers are part of the project, include specifications.

Need and Rationale

What led you to undertake this project—peer review, public survey, strategic or long-range plan, museum/conservation assessment, or other factors? Include a copy of the relevant document, board minutes, or similar information that expresses the need or plan for the project. Explain why this is not **already part of the organization's current administrative budget. Explain why there is a backlog or need for this type of work on this collection.**

Work Plan and Timetable

For museum object inventory, the minimum fields captured must include Accession Number; Object Name and/or Description; Locator Number; dimensions of height, depth, and width; Person Recording; Date; and a memo field for any imminent threats to the collection. These fields are necessary as a foundation for future applications for full cataloging and storage/rehousing projects.

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendices D and I for more information.

Enduring Value

- How/where will the product be publicly available or lead to greater availability?
- What product will be developed during this project? How/where will it be publicly available?
- **Final product:** Provide an electronic sample from your collections database of the inventory work completed.

- How will the inventory lead to a long-range plan that sets out short-, medium- and long-term needs for collections preservation?

Sustainability

How will your organization carry on the work started by your project? What will be the impact on your budget? Provide evidence of ongoing institutional support for sustaining the project and demonstrate your commitment to public access. Explain how collections preservation and access will be maintained in the future.

Evaluation Metrics

- Among the expected outcomes of a collections inventory are guidance for prioritizing conservation activities, improved collections storage and a foundation for future funding requests.
- State how and what data will be captured for the final report (e.g. how many inventory records were created and what percentage of your collection was affected by the project).
- Estimate the number of people you may reach through this project and compare that to current figures. How will you collect feedback from users to assess the effectiveness of your project?
- Explain any restrictions that might prevent the public from accessing the material.

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: REGISTRATION (CATALOGING)

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

Describe the collection or segment of your collection that will be cataloged as an *outcome* of this project. Identify your current method of collections registration and describe the tools you will use (like cataloging software) to improve your recordkeeping. If you do not have a computerized registration system, describe the software and related computer equipment included in your grant request. What percentage of your collection do you expect this project will involve?

Need and Rationale

What led you to undertake this project—peer review, expressed or perceived public feedback, strategic or long-range plan, museum/conservation assessment, or other factors? Include a copy of the document, board minutes, or similar information that expresses the plan for the project.

Work Plan and Timetable

What planning or testing have you done that demonstrates that you can accomplish this project in the time allotted? Explain why this is not already part of the organization's current administrative budget. Explain why there is a backlog or need for this type of work on this collection.

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendices D and I for more information.

Enduring Value

- How/where will the product be publicly available or lead to greater availability?
- What product will be developed during this project? How/where will it be publicly available?
- **Final product:** Samples of the work done during the project period—examples from the cataloged database, photographs of the completed work, or similar documentation.
- How will gathering specific data about your collection help you make strategic decisions about future collecting? Do you anticipate reshaping or fine-tuning your collections access or use by future generations?

Sustainability

How will your organization carry on the work accomplished by your project? What will be the impact on your budget? Provide evidence of ongoing institutional support for sustaining the project and demonstrate your commitment to public access. Explain how collections will be maintained in the future.

Evaluation Metrics

- Among the expected outcomes of collections cataloging are guidance for prioritizing conservation activities, improved collections storage and a foundation for future funding requests.
- State how and what data will be captured (e.g., how many catalog records were created and what percentage of your collection was affected by the project).
- Estimate the number of people you may reach through this project and compare that to current figures. How will you collect feedback from users to assess the effectiveness of your project?
- Explain any restrictions that might prevent the public from accessing the material.

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: STORAGE/REHOUSING

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

Describe your collections' current storage conditions and outline your plan to improve those conditions. Describe the selection and quantities of materials, supplies or equipment necessary to properly house the collection. All storage materials must meet museum and/or archival standards. In the budget section, include names of potential vendors from whom you may purchase equipment and supplies.

Need and Rationale

What led you to undertake this project—peer review, public comment or feedback, strategic or long-range plan, museum/conservation survey or assessment, or other factors? Include a copy of the document, board minutes, or similar information that expresses the need or plan for the project. **Explain why this is not already part of the organization's current administrative budget. Explain why there is a backlog or need for this type of work on this collection.**

Work Plan and Timetable

What planning or testing have you done that demonstrates that you can accomplish this project in the time allotted?

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the hiring (procurement) process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendices D and I for more information. It is advisable that all project personnel have training in object handling.

Enduring Value

- What product will be developed during this project? How/where will it be publicly available?
- **Final product:** Documentation of the work completed during the project period, including photographs of the finished rehousing work.
- Explain how you will be better able to preserve what you hold in public trust for future generations to enjoy.
- How/where will the product be publicly available or lead to greater availability?

Sustainability

How will your organization carry on the work started by your project? What will be the impact on your budget? Provide evidence of ongoing institutional support for sustaining the project and demonstrate your commitment to public access. Explain how collections will be maintained in the future.

Evaluation Metrics

- How will the project improve preservation of and access to the collection? What percentage of the collection will be better housed? What skills and knowledge will your organization have gained?
- State how and what data will be captured for the final report (e.g., what percentage of your collection was affected by the project).
- Estimate the number of people you may reach through this project and compare that to current figures. How will you collect feedback from users to assess the effectiveness of your project?
- Explain any restrictions that might prevent the public from accessing the material.

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: CONSERVATION TREATMENT

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

Describe the object(s) to be treated. Describe the work to be done and include (upload) the conservator's treatment proposal, which should describe the goal, methods, materials, and documentation being proposed. Include a description of any activities that you may also perform, for example, transport of objects to and from the conservation lab.

Need and Rationale

What led you to undertake this project? How does this fit with your long-range conservation or strategic plan, museum/conservation assessment, or other factors? Include a copy of the document, board minutes, or similar information that expresses the need or plan for the project. Explain why this is your highest conservation priority. Describe where the item or group of items to be treated fits into your collections and how the project furthers your mission. Explain why this is not already part of organization's current budget.

Work Plan and Timetable

What planning have you done that demonstrates that the project can be accomplished in the time allotted?

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical that the procurement (hiring) process meets the requirements of the grant program.

Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendices D and I for more information.

Enduring Value

- How/where will the product be publicly available or lead to greater availability?
- **Final product:** Electronic report from the conservator describing the techniques, process, and materials used during conservation, including before/after photos.
- Describe how the extended life of the items treated will give the public greater access to their cultural heritage over time.

Sustainability

What steps will you take to make sure that the treatment is lasting and will not need to be repeated? Explain how the item or collection will be maintained in the future.

Evaluation Metrics

- How will the project improve preservation of and access to the collection? What percentage of the collection will be conserved? What skills and/or knowledge will your organization have gained?
- State how and what data will be captured for the grant final report (e.g. how many objects, or what percentage of the collection was affected by the project).
- Estimate the number of people you may reach through this project and compare that to current figures. How will you collect feedback from users to assess the effectiveness of your project?
- Explain any restrictions that might prevent the public from accessing the material.

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: INFESTATION CONTROL

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project description

Identify the species and source of the intrusion and note the observed effects on specific collections. Describe the solution, identifying the type of integrated pest management (IPM), chemical products,

traps, or mechanical devices to be acquired and/or used in this project. Summarize how your choice meets current accepted museum standards.

Need and Rationale

Identify treatments from any previous attempts to correct the infestation. What is the rationale for your selection of this new treatment?

Work Plan and Timetable

What planning have you done that demonstrates that you can accomplish this project in the time allotted?

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendices D and I for more information.

Enduring Value

- How/where will the product be publicly available or lead to greater availability?
- **Final product:** Electronic report from the consultant/technician on the techniques and process used during pest management, including before/after photos.
- Explain how this project will extend the life of your collections and give the public greater access to their cultural heritage over time.

Sustainability

What steps will you take to make sure that this project will not need to be repeated? Explain how collections will be maintained in the future.

Evaluation Metrics

- How will the project improve preservation of and access to the collection? What knowledge and skills will your organization have gained?
- State how and what data will be captured for the final report (e.g., number of collections items or what percentage of the collection was affected by the project).
- Estimate the number of people that will be affected by the results of this project and compare that to current figures. How will you collect feedback from users to assess the effectiveness of your project?
- Explain any restrictions that might prevent the public from accessing the results produced during the grant project period.

7. STRUCTURED: GENERAL CONSERVATION ASSESSMENT & LONG-RANGE PRESERVATION PLAN

The purpose of this project is to conduct a general survey of your collections, **assess your repository's** interior environment, assess all policies and procedures related to the care and use of collections, and produce a long-range preservation plan.

This plan will incorporate both conservation and curatorial perspectives in establishing prioritized short-, medium- and long-term goals for the preservation of the collections. The plan will also identify specific activities and actions to address the recommendations.

One of the basic functions of museums, libraries, and archives is to protect and preserve collections held in public trust. However, dealing with conservation problems and concerns can be an expensive undertaking requiring careful planning. Often, funding for collections care from the Institute of Museum and Library Services (IMLS) and many corporate and private foundations is dependent on an institution-wide long-range preservation plan. You will need such a plan, based on a general assessment of your repository, collections, and policies to be successful in obtaining grants for preservation of the collections.

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant include, but are not limited to: Hiring a qualified professional to write a long range preservation plan for the museum's collections

GETTING STARTED AND PUTTING IT ALL TOGETHER

This project requires contracting with a qualified consultant who will assess the nature and condition of your collections and recommend strategies for their care. It is not intended to be an item-level conservation condition survey, but rather a characterization of the general condition of your collections, the environment in which they are used and stored, along with collections related policies and procedures.

After you receive authorization to begin the grant project and the consultant has been hired, the next step is a one- or two-day site visit, possibly preceded by completing a questionnaire, to gather information and

examine the broad range of factors affecting collections. In cases where collections are housed in a historic structure, the contractor may recommend further examination by a historical architect.

Based on these observations from the site visit and discussions with you, your board, and staff, your consultant will prepare a draft report and long-range plan recommending actions to be taken for the **preservation of your repository's collections. The draft report and plan will be sent to you for review and comment.** The consultant will then have a conversation with you to discuss the draft and comments or questions that you may have.

The preservation plan will consist of needs that must be listed in priority order; the highest will be priority one, the next will be priority two, etc. Under each need, list one or more specific actions that are recommended to address the needs. For example:

PRIORITY ONE: Institute Board-approved written collections management policies

Recommended Actions:

1. Draft policies and procedures to include collecting goals, acquisition process, and policies for use, loan, conservation, de-accession and disposal
2. Prepare an Emergency Response or Disaster Plan

PRIORITY TWO: Improve temperature and humidity conditions in artifact use/storage areas

Recommended Actions:

1. Implement an environmental monitoring program, preferably with data loggers
2. Hire an HVAC engineer to conduct a study of existing conditions and prepare recommendations and estimated budget for improvements
3. Obtain funding to implement the engineering study recommendations to environmental conditions

PRIORITY THREE: Improve methods and materials of artifact storage

Recommended Actions:

1. Remove all non-artifacts from collections storage spaces
2. Replace wood shelving with metal shelving with an inert paint or finish
3. Reduce clutter and stacking of collections on each other
4. Replace acidic boxes with acid-free boxes; also use acid-free or other inert packing and padding material

STRUCTURED MN HIST AND CULTURAL APPLICATION ADVICE: GENERAL CONSERVATION ASSESSMENT/LONG- RANGE PLAN

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Describe your organization and how the project fits within your organization's goals:

- If there are particular issues with your building, mention them here.
- What product will be developed during this project? How/where will it be publicly available?
- **Final product:** An electronic copy of the consultant's report including the finalized long-range preservation plan with prioritized list of needs.

Name of Lead or Contractor: Fill in the name of selected (or preferred) consultant on the line provided.

Budget: Include the total project cost from contractor's proposal and letter of commitment to undertake the project. The budget table is a required part of the application, so if you have not gone through procurement yet, you will at least need to determine what your proposed budget will be.

How were the above figures determined?: Describe key personnel and their qualifications who will be working on the project. Vendors/consultants/contractors must already be selected. It is critical that the procurement (hiring) process meets the requirements of the grant program (Appendix I).

Required documentation and application attachments:

In addition to items listed under General Information, the following documentation is required:

- **Provide the selected consultant's scope** of work as stated in their bid response. **DO NOT** hire the consultant until after the grant is awarded.

8. STRUCTURED: HISTORICAL ORGANIZATION SELF-ASSESSMENT USING STEPS

StEPs (Standards and Excellence Program for History Organizations) is an assessment program for small- and medium-sized history museums, historic houses, historic sites, and history organizations. The American Association for State and Local History ([AASLH](#)) created it with funding from the Institute of Museum and Library Services ([IMLS](#)), to encourage awareness and achievement of national standards.

Like all organizations, museums and other historical entities can benefit from assessment, long-range planning, and the application of national standards. However, many smaller organizations have neither the time nor the staff expertise to undertake such projects.

Completion of the standards program will give your organization increased credibility with funders and stakeholders, enable you to better serve your community, and provide a solid foundation for future grant requests for projects identified during your assessment. After your assessment, file your StEPs documentation with AASLH. Turn in a copy of that documentation with your grant final report before your project end date.

This program uses assessment questions and performance indicators to rate performance in six areas, moving your organization along a continuum from basic to good to better. The sections are:

- Mission, Vision, and Governance
- Audience
- Interpretation
- Stewardship of Collections
- Stewardship of Historic Structures and Landscapes
- Management

Using the StEPs program workbook purchased through AASLH, you will assess your operations, policies, and procedures in each section; identify areas for improvement; and develop a plan to track your progress and achieve your goals. AASLH allows you to take as much time as necessary to work through the entire program but, with the help of a qualified consultant, you should be able to complete the StEPs program within a period of months.

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant include, but are not limited to:

1. StEPs workbook
2. Hiring a professional museum consultant to help you complete a self-assessment and develop a **prioritized plan for growing your organization's capacity** (recommended, but optional)
3. Supplies directly related to doing the assessment

GETTING STARTED AND PUTTING IT ALL TOGETHER

Before completing the application form, if you plan to hire a consultant, obtain proposals from qualified consultants who will do this work for you under the terms of a contract. Provide all candidates with a work plan summary and the workbook outline to use as a basis for their proposals. The process used for open procurement needs to be documented and kept in your files. You must show that you have contacted a minimum of three potential consultants. Once you have selected a qualified consultant, complete the structured grant application form.

STRUCTURED MN HIST AND CULTURAL APPLICATION ADVICE: STEPS ASSESSMENT

The following advice on how to complete the application will help you shape your project; suggestions correspond to sections of the application form and are supplemental to the guidance provided on the application form.

Describe your organization and how the project fits within your organization's goals. Describe the specific purpose of your project, including its scope and goals. **To be successful, this project will need to involve your organization's staff, volunteers, and board members;** explain here how you will ensure their participation. Be sure to list your staff, key volunteers, and board members by name; depending on your size, you may list other volunteers by **name or designate them simply as "volunteers."** Final product: A copy of the documentation submitted to AASLH

Name of Lead or Contractor: If you plan to hire a consultant, list his/her name.

Budget: Include line items with the bid from consultant's proposal and the estimated cost of the StEPs booklet.

How were the above figures determined?: If you have supplies in the budget, specify what the supplies will be, who the vendor(s) will be, and how you arrived at the amount requested. If you will be purchasing supplies, include detailed information about the supplies needed.

Required documentation and application attachments:

In addition to items listed under General Information, the following documentation is required:

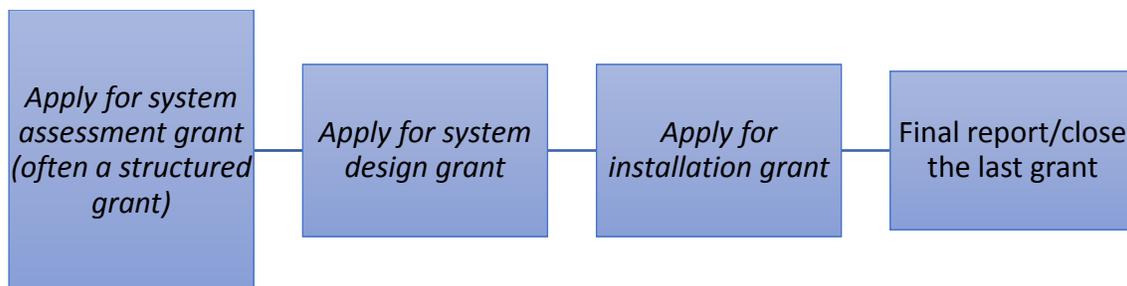
- If you have not discussed this in the grant application, upload a document that has a list of your staff, key volunteers and board members by name to the Request Documents section of the application.

9. MUSEUM & ARCHIVES ENVIRONMENTS

Museum and archives environments include all the physical conditions that affect the long-term preservation of and access to collections. This includes heating and cooling systems; lighting; security; and ADA compliant accessibility for entrances, exits, and different floors. Grants in this category are intended to preserve history through proper control of museum environments.

APPLICABLE STANDARDS

- [National Park Service: Museum Environment](#)
- [Suggested Guidelines for Museum Security](#)



Potential phases for a variety of Museum and Archive Environment projects (some omissions for space)

ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

- Monitoring and installing temperature and humidity controls.
- Particulates (dust) control.
- Installing lighting controls and new fixtures (requires redesign evaluation and planning).
- Improving preservation lighting through filter improvements or proximity sensors (may not require redesign planning).
- Installing security systems and protocols.
- Physical accessibility to comply with the Americans with Disabilities Act, including ramps, elevators, lifts, power-assisted doors, compliant furniture, and other access improvements.
- Training to accommodate disabilities.

- Pest control and integrated pest management (IPM).
- Architectural/Engineering drawings and specifications for HVAC upgrade. (requires HVAC evaluation and recommendations).
- HVAC installation using Architectural/Engineering drawings and specifications (see HVAC Upgrade Requirements).

WHAT IS NOT FUNDED

In addition to items described as not fundable under General Information (page 3), the following items are ineligible:

- Museum storage materials: see Collections Care & Management guidelines
- Office furniture (except as required for ADA accessibility)
- Redecorating museum and archives interiors

REQUIRED DOCUMENTATION & APPLICATION ATTACHMENTS

In addition to items listed under General Information, the following documentation is required:

- For all proposals to install equipment: a report from a qualified consultant assessing the current conditions and specifying the remedy.
- Scope of Work form for construction work at National Register properties.
- For HVAC evaluation: documentation of temperatures and humidity levels in the building, preferably in all four seasons.
- For HVAC design: **HVAC engineer's evaluation and recommendations**
- Map of the facility marking the areas that will be affected.

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: MUSEUM ENVIRONMENTS

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

- Explain the purpose of your project and what you plan to accomplish. Describe the current condition of your museum/archives storage, spaces, and environment. Detail proposed changes to the environment, especially equipment specifications and location.
- For temperature and humidity: specify temperature and relative humidity set points to be achieved and note how much fluctuation over and under those set points would be

acceptable. Generally, acceptable set points can vary seasonally; for example, 65° F +/-5, and 40° R.H. +/- 10 (winter) and 50° R.H. +/- 10 (summer).

- For security: include response protocols and whether you consulted with a [qualified security expert](#) rather than a security salesperson.

Need and Rationale

What applicable professional museum, archives, or library standards or guidelines will you follow or implement?

Work Plan and Timetable

Describe the work and selection process for hiring a qualified contractor through commissioning of the environmental system.

Project Personnel

Indicate who will be working on the project. Describe qualifications of consultants/contractors. If vendors/consultants are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendix D for more information.

Enduring Value

- What product and resulting change will be developed as a result of this project? How/where will it be publicly available?
- Final Product: **Electronic copy of the contractor's, consultant's, and/or vendor's reports.**
- Proper environments for collections held in public trust contribute to their preservation. ADA accessibility enhancements allow greater access. Describe why and how the outcomes and benefits of your project will have a lasting impact and value for the community.

Sustainability

What impact on your budget do you expect your project to have? How will you carry on the activity after the grant period has ended?

Evaluation Metrics

- Describe outcomes for the project and a plan for measuring those outcomes. State how and what data, if any, you will capture for the final report.
- How will you evaluate the benefit and/or effectiveness of the project for the target audience?

9A. HVAC UPGRADE REQUIREMENTS

[Heating, ventilation](#) and [air conditioning](#) (HVAC) projects require mechanical engineering expertise. Since they can be more complicated and expensive than other projects in the museum environments category, we include the following information to explain the requirements of these projects. Some simple HVAC projects, usually those in small spaces, can apply for a design/build project. This means the project is small enough that the evaluating engineer has suggested that both the design of upgrades and the installation can happen in the same grant project. However, most projects will need to complete their designs before applying to install HVAC equipment.

REVIEW

HVAC construction documents (drawings and specifications) are to be peer reviewed before completion of Construction Documents (for the entire structure) by a qualified HVAC engineer from a firm other than that of the design engineer. All questions or issues raised by the peer review need to be resolved prior to being put out for bid. The completion of this requirement must be addressed in the grant application.

DELIVERABLES (at project end)

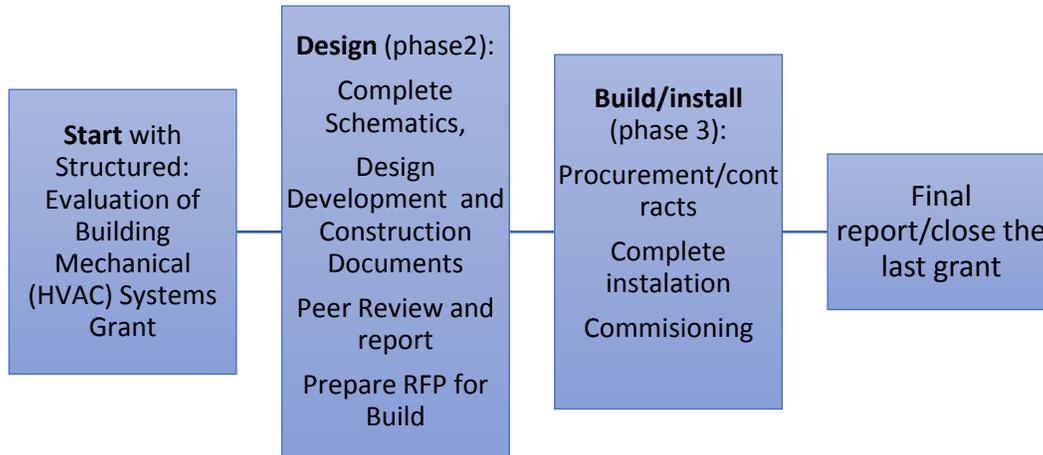
1. Successful completion of a Legacy grant-funded museum, library, or archives HVAC upgrade project means that in collections use and storage spaces, the system maintains the following environmental parameters:
 - a. **Minimum winter conditions** of 60° F, 30% relative humidity (RH)
 - b. **Maximum summer conditions** of 75° F, 60% RH
 - c. **Daily fluctuation should be minimal with maximums of ±5° F and ±10% RH**
2. Documentation (data logger printouts or hygrothermograph charts) provided for daily performance to the above environmental parameters for 30 consecutive days with no more than one excursion beyond the parameters lasting a maximum of 48 hours.

RECOMMENDATIONS FOR CONTRACTS

- Contracts with the HVAC engineer/contractor are not paid in full until the documentation/test period is successfully completed.

- Design Engineer and contractor should agree to guarantee work to maintain the parameters above for 12 consecutive months.

Note: There will be no fast-tracking of projects that require engineering services.



Potential phases for an HVAC project (some omissions for space)

10. STRUCTURED: EVALUATION OF BUILDING MECHANICAL (HVAC) SYSTEMS

One of the basic functions of museums, libraries, and archives is to protect and preserve the collections for which they are the permanent stewards. A physical environment that provides relatively stable temperature and humidity is necessary for the long-term preservation of artifacts, books, documents, and electronic media. Temperature in the range of 60-70 degrees Fahrenheit and relative humidity (RH) in the range of 30-60% are generally accepted ranges for the preservation of collections.

This structured grant provides funding to conduct an evaluation of the building's mechanical system (also called the heating, ventilation, and air-conditioning system or HVAC system) to determine what changes and improvements would be feasible and necessary to improve the environmental conditions in the building.

Purpose of the project:

- Hire a qualified HVAC engineer, preferably with knowledge of the requirements of and experience with museum climates, to inspect and evaluate the building envelope, existing conditions and equipment in the museum.
- The engineer will keep in mind the needs of the museum collections and any limitations imposed by the building envelope. The engineer will develop specific recommendations together with an estimated budget for implementing the improvements.
- The evaluation will also determine if improvements in equipment could improve the energy efficiency of the equipment, resulting in a reduction in the amount of energy consumed annually.

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant can include, but are not limited to:

- Hiring a qualified consultant to perform an **assessment of the museum's building envelope** and heating, ventilating, and air conditioning (HVAC) system.

GETTING STARTED AND PUTTING IT ALL TOGETHER

In preparation for the project, gather temperature and humidity data documenting current conditions inside the building for a period of at least several weeks. Data gathered for several weeks each during the spring, summer, fall, and winter would be ideal.

STRUCTURED MN HIST AND CULTURAL APPLICATION ADVICE: EVALUATION OF BUILDING MECHANICAL (HVAC) SYSTEMS

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Describe your organization and how the project fits within your organization's goals: The application should indicate that monitoring the conditions in the building determined that the conditions do not fall within the recommended guidelines. It is necessary to investigate and determine what improvements are feasible. A secondary rationale for the evaluation is to investigate the possibility of increasing energy efficiency so less energy is consumed, resulting in a reduction of the amount of money spent annually on energy. If there are specific issues with your building, mention them here. What product will be developed during this project? How/where will it be publicly available? **Final Product: Electronic copy of the consulting engineer's report.**

Name of Lead or Contractor: Fill in the name of selected (or preferred) consultant on the line provided.

Budget: Include the total project cost from the consultant's letter of commitment to undertake the project.

How were the above figures determined?: Describe key personnel and their qualifications who will be working on the project. Vendors/consultants/contractors must already be selected. It is critical that the procurement (hiring) process meets the requirements of the grant program (Appendix I).

11. STRUCTURED: PLANNING FOR REDESIGN OF MUSEUM LIGHTING

The purpose of this structured grant is to develop plans and specifications to update lighting in a museum so that collections and interpretive labels are readily visible and attractive; way finding, artifact work spaces, and storage have sufficient light; and damage to collections is minimized. A secondary goal is to make the system energy efficient, thereby reducing energy consumption and cost.

One of the basic functions of museums is to protect and preserve the collections for which they are the permanent stewards. A physical environment that minimizes physical deterioration is necessary for the long-term preservation of artifacts, books, documents, and archives collections. Excessive exposure to light is arguably the single largest cause of damage and deterioration to collections in many, if not most, museum collections, including those in historic buildings. The outcome of the project will be the design of a durable, practical, cost-effective, and easily-maintainable system to upgrade lighting to current museum conservation standards, with a secondary benefit of increased energy efficiency.

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant can include, but are not limited to:

- Hiring a qualified consultant to develop plans and specifications to update lighting in a museum.

GETTING STARTED AND PUTTING IT ALL TOGETHER

In preparation for the project, drawings—including floor plans and reflected ceiling plans—should be prepared showing all levels of the building. The drawings should indicate the location of all existing lighting, exhibit cases and storage furniture. Museums should identify and distinguish between spaces that are designated for storage, artifact work spaces, and permanent and temporary exhibits.

The applicant should discuss the organization's needs and goals for the project with consultants who **are qualified and experienced with museum lighting design. The consultant's scope of services must** include the design of an electric lighting system (drawings and specifications) to include equipment and light fixtures, lamps and controls, occupancy sensors (motion detectors), light-reducing window treatments, and configurable light-blocking screens as needed.

STRUCTURED MN HIST AND CULTURAL APPLICATION ADVICE: PLANNING FOR REDESIGN OF MUSEUM LIGHTING

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Describe your organization and how the project fits within your organization's goals: Describe the building's lighting needs. If there are particular issues with your building, mention them here. Describe how the project will have lasting impact for your organization and be sure to fully discuss how improvements would have a lasting benefit for the collections and provide a legacy for Minnesotans. Final product: Electronic copy of the consultant's report to the final report.

Name of Lead or Contractor: Fill in the name of your consultant on the line provided

Budget: Include the total project cost and consultant's letter of commitment to undertake the project.

How were the above figures determined?: Describe key personnel and their qualifications who will be working on the project. Vendors/consultants/contractors must already be selected. It is critical that the procurement (hiring) process meets the requirements of the grant program (Appendix I).

Required Documentation & Application Attachments:

In addition to items listed under General Information, the following documentation is required:

- Photographs to show existing conditions.

Keep in mind that if awarded, grantees will be required to submit a draft of the consultant's plan at the midway point in the project. You should plan sufficient time to work with the consultant to customize the report to address the specific needs of your facility and your organization's mission.

12. STRUCTURED: DEVELOP A DISASTER PLAN

This structured grant is meant to encourage small organizations to prepare disaster plans for their collections and museums so they will be equipped to respond in an organized and efficient manner in the event of an emergency or disaster.

In recent history, various communities throughout Minnesota have experienced floods, tornadoes, heavy snow, freezing rain/ice, high winds or other disasters that were severe enough to receive federal declaration. In 2005, Heritage Preservation, in partnership with the Institute of Museum and Library Services (IMLS), reported that 190 million artifacts in America's collecting institutions were at risk of being damaged or destroyed. One of the priority actions recommended in their report: Every institution should develop a disaster plan to preserve, protect and reduce risk to their collections. The American Alliance of Museums (AAM) has made disaster plans one of their five core documents.

After you receive authorization to begin the grant project and the consultant can begin gathering information about your organization. This may include, among other things, completing a pre-visit questionnaire about your facility, collections, and institutional policies. An onsite visit follows during which the contractor meets with you, your staff, and board, tours the facility to learn about your collections and building, and assesses your needs. In consultation with you, the contractor then prepares a draft disaster plan for your review and comment. Based on your comments, the consultant will then revise the draft plan as necessary. The entire process, which should take approximately 45-60 days, culminates in a written disaster plan customized for your organization.

The plan is to contain, at a minimum, the following information or sections:

- Introduction
- List of types of events prepared for
- Scope of events prepared for
- Institutional information, personnel and contact information
- Procedures to follow and personnel to notify in an emergency
- Designated personnel and procedures to assess damage and recommend priorities for recovery
- Specific treatment procedures for damaged collections. This should be customized for each organization and collection.
- Map of the building(s)
- List of supplies and equipment on hand along with their locations
- List of vendors and outside experts who can provide supplies, equipment, services, and specialized expertise to assist in the response and recovery

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant include, but are not limited to:

- Hiring a professional conservator to create a plan to respond to and recover from disasters

STRUCTURED MN HISTORICAL AND CULTURAL APPLICATION ADVICE: DEVELOP A DISASTER PLAN

Describe your organization and how the project fits within your

organization's goals: If there are specific threats your disaster plan will address, mention them here. **Final product:** Electronic copy of the consultant's disaster plan to the final report form.

Name of Lead or Contractor: Fill in the name of your selected (or preferred) consultant on the line provided.

Budget: Include the total project cost from the consultant's proposal and letter of commitment to undertake the project.

How were the above figures determined?: Describe key personnel and their qualification who will be working on the project. Vendors/consultants/contractors must already be selected. It is critical that the procurement (hiring) process meets the requirements of the grant program (Appendix I).

In 2005, Heritage Preservation, in partnership with the Institute of Museum and Library Services (IMLS), reported that 190 million artifacts in America's collecting institutions were at risk of being damaged or destroyed.

13. DIGITAL CONVERSION & REPRODUCTION

The majority of state and local historical resources are in their original forms. Organizations planning to reformat some part of their collections and/or records into a digital form or microfilm for reasons of access, research, interpretive re-purposing, migration, or preservation should apply to this category. Some of these projects require additional planning worksheets as noted below.

In-house or Outsourced

Some projects like the digital conversion of photographs can be done in-house, other projects such as digitizing motion picture film should be outsourced to professionals. Often whether a project is done in-house or outsourced depends on an organization's interest and capabilities.

Preservation Copies, Access Copies, or Both

Before you begin the digitization process, it is important to understand the difference between preservation copies and access copies. Depending on the needs, some may only need preservation copies but having a version that is easy to access for reference can be convenient and helpful.

Access Copies

- Easy access and convenience
- Lower-quality
- May not be a true facsimile (a transcription of journal record book rather than photographic scan)

Preservation Copies

- High-quality, uncompressed digitized copy of original
- Serves as the master source for subsequent copies
- As master copies, they should seldom be accessed to keep from damage/accidents.

Reprographic

"Reprographic" is the collective term for all processes—mechanical, photographic, or electronic—used to copy, reproduce, or make facsimiles of photographic items, documents, books, or other paper-based materials.

APPLICABLE STANDARDS

Digital Conversion Standards

- For photos and documents: [Minnesota Historical Society Field Service's Digital Imaging for the Small Organization](#) (based on [CDP Digital Imaging Best Practices](#))

- For film and video: [Minnesota Historical Society's Video and Film Format Standards](#) (based on [Digitizing Video for Long-Term Preservation: An RFP Guide and Template](#))
- For Audio: [CDP Digital Audio Working Group Digital Audio Best Practices Version 2.1](#)
 - [Appendix 1: Questions to Ask Before Beginning a Digital Audio Project](#)
 - [Appendix 2: Legal, Copyright and Intellectual Property Issues for an Audio Digitizing Project](#)
 - [Appendix 3: Guidelines for Outsourcing Audio Reformatting](#)
- For all: Minnesota Historical Society's [Digital Format Reference Guide](#)

Microfilming Standards

- Association for Information and Image Management (AIIM)
- Both master negatives and duplicate negatives must be silver-halide (silver-gelatin) film
- Diazo film is unacceptable for master negatives since diazo is not a preservation standard. Diazo can be used for service copies (also called use copies).

Photographic Reproduction Standards (not common)

- A Guide to the Preventive Conservation of Photographic Collections, Bertrand Lavédrine (Book)
- Conservation of Photographs, Kodak Publication No. F-40 (Book)

ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

- Conversion of video, film, negatives, audio, photos, and paper-based formats into archival and access-based digital formats
- Digital collections storage/rehousing/backup:
 - Hardware/software
 - Initial setup costs for hosting service to store digital collections (hosting or application fees; or application service plan.
- Digital asset management tool
- Microfilming to preserve collections, make them more accessible, or reduce bulk (especially with newspapers)
- Photograph reproduction:
 - making photographic prints from original negatives for public use
 - making copy negatives and file prints to preserve rare or endangered prints and negatives
- Reformatting deteriorating or ephemeral (short-term) media: Reformatting the content on older media (e.g., 8-track tapes, 8mm moving image film, reel-to-reel audio tapes, 5-inch floppy computer discs) that may be lost through deterioration or can no longer be accessed due to obsolescence

- Create descriptive metadata or create edited transcriptions of digitized materials
- Research copyright status of collection material prior to being digitally converted

WHAT IS NOT FUNDED

In addition to items described as not fundable under General Information, the following items are ineligible:

- Purchase of equipment only
- Conversion of material into unacceptable digital data formats
- Ongoing costs of a hosting service to store image collections beyond term of grant
- Reproduction of items if copyright is not expired or not held by the organization
- Reproduction of items with unknown copyright status
- Purchase microfilm copies (see Structured Option: Acquire Primary Materials on Microfilm)
- Purchase of a microfilm reader/printer/scanner to create digital preservation copies of newspapers and documents
- Digitization of newspapers

Required Documentation & Application Attachments

In addition to items listed under General Information, the following documentation is required:

- Phasing plan for multi-phase project proposals
- [Metadata fields for video/audio/photos/oral histories](#) (XLS)
- [Scanning/Digitization Worksheet](#) (PDF)
(Not required for microfilming projects)
- For nongovernmental organizations applying for over \$25,000: include applicant's financial documents (Form 990, Form 990-EZ, certified financial audit, or year-end financial report).

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: DIGITAL CONVERSION

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

- Complete and submit a required [Scanning/Digitization Worksheet](#) with your application.
- Describe the materials you will digitize and explain how you selected them. Specify the quantity of materials involved, using exact numbers where possible or estimating quantity by sampling. Be sure to indicate that you have all necessary rights to digitize the collection(s) for online delivery to the public.

- What are the physical characteristics of the original source collection? It is on a stable format? Is the storage for the original source collection secure, stable, and long term? What will happen to the original source collection once it is digitized?
- If you will produce derivatives of the original master digital assets, why are they needed? What is the process for producing the derivatives files?
- Originals larger than 40 x 60 inches require special attention and must be clearly identified in the application.
- Provide three samples of descriptive metadata. If applicable, include samples of or links to relevant portions of existing indexes, catalogs, or archival finding aids.
- Where will you store the digital assets? How will you store them? How many backup copies will you make?
- Describe the archival format the final digital files will be in as well as the format for public access.
- What steps will you take to reach your desired outcome? Who will perform the quality control? What procedures will you follow? What resources do you need to ensure quality control?
- How will you and, if applicable, other partner organizations maintain the digital records over time?

Need and Rationale

Explain the collection's historical significance in documenting individuals, events, developments, organizations, and/or places. What are the goals you hope to achieve? What are your preservation goals? What are your public access goals? Describe demand by your users for the materials.

Work Plan and Timetable

What planning have you undertaken to prepare for your project? Provide a project timetable describing the work to be accomplished and anticipated dates by which it will be completed.

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendices D and I for more information.

Describe the experience of project personnel with digitization projects. What additional training will they need? If you request funding for that training, specify when it will occur and how much of the project is contingent upon it.

List all the people involved in adding/modifying content and their roles. Indicate whether they will need training. Who will be responsible for the various parts of executing the strategy?

The digital assets will need to be maintained and monitored; how many people (staff and/or volunteers) will you assign to this task?

Enduring Value

- What product will be developed during this project? How/where will it be publicly available?
- Final Product: Samples of metadata and a link to the online record.
- Explain how you will be better able to preserve what you hold in public trust for future generations to enjoy.

Sustainability

What impact on your budget do you expect your project to have? Will you be able to maintain the digital assets after the grant period has ended? If you use grant funds to pay for a software license or a hosting service, how will that license or contract be maintained after the grant period has ended?

Evaluation Metrics

- What are the performance outcomes? How will you know if it was worthwhile to develop this project? Determine what you are measuring against and how will you analyze the results.
- How will you evaluate the quality control of the digitizing process and the effectiveness of the methods employed in digitizing materials?
- How will you apply what you learned from this project to future digitization projects?

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: REPROGRAPHIC (REPRODUCTION)

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

- Microfilming: Explain the scope and historical significance of the records to be microfilmed. Add sufficient references to the appropriate ANSI and ISO standards to demonstrate that your project will conform. (For microfilming of newspapers, see Structured Grant).
- Photograph reproduction (not common): Fully describe your project, including procedures that you will follow for processing prints and negatives. Explain any new storage materials that you may need for the new prints or negatives. Photographic processing must meet archival standards (ANSI/AIIM or ISO), especially for fixing, washing times and testing for residual chemicals (see Bertrand Lavédrine, *A Guide to the Preventive Conservation of Photographic*

Collections). Archival processing may also include chemical treatment to enhance the stability of new prints or negatives (see Conservation of Photographs, Kodak Publication No. F-40).

Need and Rationale

Demonstrate demand for the project. What user needs does it address?

Work Plan and Timetable

What planning have you undertaken to prepare for your project? Provide a project timetable describing the work to be accomplished and anticipated dates by which it will be completed.

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendices D and I for more information.

Describe the experience of project personnel with digitization projects. What additional training will they need? If you request funding for that training, specify when it will occur and how much of the project is contingent upon it.

Enduring Value

- What product will be developed during this project? How/where will it be publicly available?
- Final Product: Samples of metadata and a link to the online record.
- Describe why and how the outcomes and benefits of your project will have a lasting impact and value for your users. Estimate the number of people who may use the grant product and compare that to current figures.

Sustainability

What impact on your budget do you expect your project to have?

Evaluation Metrics

- State how and what data, if any, will be captured for the final report. How will you collect feedback from users to assess the effectiveness of your project?
- Explain any restrictions that might prevent the public from accessing any of the material.

14. STRUCTURED: ACQUIRE PRIMARY RESOURCES ON MICROFILM

This structured option will assist organizations with collections development to meet patron needs by acquiring microfilm copies of historically valuable records such as newspapers or manuscripts for use in the local community.

Many one-of-a-kind, historically valuable records pertaining to Minnesota localities (e.g., the federal and state census, post office records, local newspapers, church records, and manuscript collections) are held by repositories in Saint Paul, MN; Washington, D.C.; Elk Grove, IL; and Salt Lake City, UT. Travel to these repositories is not always possible. Fortunately, many of the records have been microfilmed to make them more broadly accessible. Having such resources available locally will make your collections more useful to patrons, volunteers, and staff.

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant include, but are not limited to:

- Rolls of microfilm
- Sheets of microfiche
- Shipping costs

GETTING STARTED AND PUTTING IT ALL TOGETHER

A typical work plan begins with determining what records, newspapers, manuscripts, etc., are desired by your patrons and the public. Then use online catalogs to select the rolls of microfilm or sheets of microfiche you need, tallying the purchase price per roll/sheet and the shipping costs for your order. Remember to calculate any member/institutional discounts, if applicable.

Once you receive the microfilm, you will need to catalog the materials in order to make them accessible to your patrons and the public. Cataloging entails labeling the microfilm and adding a call number or accession number. This work is part of the grant project; being able to retrieve microfilm is essential for making it accessible.

STRUCTURED MN HIST AND CULTURAL APPLICATION ADVICE: ACQUIRE PRIMARY RESOURCES ON MICROFILM

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Describe your organization and how the project fits within your **organization's goals**. Describe the specific purpose of your project, including its scope and goals. If the microfilm addresses a gap in your collections, note that here. Explain how the project will assist your organization in better serving your patrons and the public. What product will be developed during this project? How/where will it be publicly available? **Final Product:** Photos and documentation showing purchase of microfilm.

Budget: Include line item(s) for the amount(s) on the budget worksheet.

Required documentation and application attachments:

In addition to items listed under General Information, the following documentation is required:

- A copy of the completed detailed budget on the [microfilm budget worksheet](#) showing the items to be purchased and the cost per item, shipping and handling, and any discounts that may apply. Total your order. Fill in the vendor's name and address. Upload this worksheet to the Request Documents section of the application.

15. STRUCTURED: ACQUIRE MICROFILM READER/ PRINTER/SCANNER

Digital microfilm reader/printer/scanners lack the capacity to create archival quality scans and are inefficient at doing mass scanning of microfilmed documents. These machines will not satisfy digitization standards for digitization of negatives, slides, or microfilmed collections for digital archives.

For digitization projects see: Digital Conversion & Reproduction

For microfilm purchases see: Structured Grant: Acquire Primary Resources on Microfilm

Many libraries, schools, and historical and genealogical organizations maintain and make publicly available microfilm containing local newspapers, naturalization records, local church records, census records and other primary historic documents. Although microfilm readers enable access to these records, it is only partial access. Therefore, small research libraries through this grant must acquire machines capable of creating copies, either through printing on paper or to digital file, or both.

The public expects greater digital access to primary historic documents. A digital reader/printer/scanner will ensure easier access to historical information using a method more compatible with how people conduct research today. Microfilm is a proven long-term medium for storing information. Increasing access to microfilm digitally will ensure that the organization's records will be available for the future.

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant are:

- Purchasing a digital microfilm reader/printer/scanner package for public access to microfilmed collections
- For microfilm reader/printer/scanner packages that exceed \$10,000, a cash match is necessary to apply for a structured grant. Grant funds cannot be used for extended service contracts.

GETTING STARTED AND PUTTING IT ALL TOGETHER

To prepare for this project, identify microfilm reader/printer/scanners that meet the performance specifications you believe will serve your audience. Test each one and evaluate operability, ease of use, service (maintenance) records, service contracts, and warranty information. Remember, grant funds cannot be used for extended service contracts.

The project will begin with the selection of a vendor who can provide the machine you have identified through careful research.

- The applicant organization contracts with vendor to purchase the digital microfilm reader package.
- The applicant organization purchases the machine, and if necessary the computer, monitor and dedicated printer, using specifications provided by the microfilm vendor.
- Most models of microfilm reader/printer/scanners require a separate computer to control the equipment. If a computer is needed, documentation must be provided on the computer setup. Does a computer need to be purchased or is one being used that is currently in use? For security reasons, the microfilm reader/printer/scanner must be separate from any computers that are used to manage collections and organizational information.
- Microfilm vendor installs the digital microfilm reader, connects it to the computer system and installs all necessary software.
- Microfilm vendor trains staff and volunteers on how to use the digital microfilm reader.
- The project should take approximately 30-45 days.

The process used for open procurement (the hiring process) needs to be documented and kept in your files. Once you have selected a vendor, complete the structured grant application form. See Appendix I for more information.

STRUCTURED MN HIST AND CULTURAL APPLICATION ADVICE: ACQUIRE MICROFILM READER/ PRINTER/SCANNERS

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Describe your organization and how the project fits within your organization's goals. Describe the specific purpose of your project, including its scope and goals. Explain how the project will assist your organization in better serving your patrons and the public. *Technical issue for this structured grant—most models of microfilm reader/printer/scanners require a separate computer to control the equipment. Please address the need for this.* What product will be developed during this project? How/where will it be publicly available? **Final Product:** Photos and documentation showing purchase and installation of microfilm reader/printer/scanner.

Name of Lead or Contractor: Fill in the name of your vendor.

Budget: Include a line item for the amount on the selected vendor's quote. Enter separate line items for cost of the microfilm reader, monitor, and printer.

16. STRUCTURED: MINNESOTA BOOKSHELF

Currently Available Bookshelves:

- [Minnesota History Bookshelf](#)
- [Minnesota Children's Bookshelf](#)
- [Museum Bookshelf](#)
- [Historic Preservation Bookshelf](#)

Adding a solid collection of basic Minnesota history, books relating to Minnesota History for Children, museum or historic preservation resources to your **organization's library ensures their** availability for use by your staff, volunteers, members, students, and visitors.

The Minnesota History Bookshelf covers all aspects and eras of Minnesota history, including geographic and ethnic distribution. These books **will encourage your patrons to put your area's local** history in the larger statewide and regional context, leading them to look at their own local history in a new light.

The **Minnesota Children's Bookshelf** includes children's literature for teaching about the state of Minnesota. The list includes books that are significant in the history of Minnesota children's literature.

The Museum Bookshelf, based on the organization of the StEPs program, assembles the basic tools needed to help organizations operate museums that represent their communities fairly, honestly, and accurately. The Minnesota Historic Preservation Bookshelf assembles the basic tools needed to help communities shape changes to their built environment and yet retain a sense of place.

The Historic Preservation Bookshelf assembles the basic tools needed to help communities shape changes to their built environment and yet retain a sense of place.

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant include:

- Acquire from a predetermined book list a set of essential Minnesota history books, books needed to help organizations operate history museums or a toolkit of historic preservation books.

GETTING STARTED AND PUTTING IT ALL TOGETHER

Begin your work plan with the bibliography listed on each of the [Minnesota Bookshelf lists](#). Determine which books you already own, assessing their condition and frequency of use; note gaps in your collection. Then make a list of what you need to order, including both replacement and supplemental titles and select the books you need.

On the [Minnesota History Bookshelf](#), [Minnesota Children's Bookshelf](#), or [Museum Bookshelf](#), or the [Historic Preservation Bookshelf](#) lists, you will find all the books listed alphabetically by title, along with the ISBN number.

Do not send your book order prior to receiving both an acknowledgement of your grant award and an authorization to start the project from the Grants Office.

Once you have determined which books will improve your collection, complete the structured grant application form and fill out a blank Minnesota Bookshelf form.

STRUCTURED MN HIST AND CULTURAL APPLICATION ADVICE: MINNESOTA BOOKSHELF

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Describe your organization and how the project fits within your organization's goals. If the books address a gap in your collection, note that here; if you wish to order more than one copy of a particular volume, explain why. Describe how the project will help your organization better serve your staff and the public. What product will be developed during this project? How/where will it be publicly available? Final Product: Photos and documentation showing purchase of book titles.

Required Documentation & Application Attachments

In addition to items listed under General Information, the following documentation is required:

- Upload a completed [Minnesota Bookshelf Budget Form](#) to the Request Documents section of the application.

17. STRUCTURED: SCHOLARSHIP TO NATIONAL CONFERENCE HOSTED IN MINNESOTA

This structured grant provides scholarship for an organization to grow capacity by sending its employees, board members, and volunteers to a national conference, seminar, forum, or symposium that is hosted in the State of Minnesota.

National conferences hosted in the State of Minnesota give a rare opportunity for representatives of an organization to learn best practices, network with colleagues from other states, and share innovative, groundbreaking, and highly professional work happening within Minnesota. In the past decade, history and historic preservation enterprises have used the power of history to improve, shape, and nurture their communities. In order to maintain currency with national best practices, it is important that employees, board members, and volunteers of applicant organizations seek continuing education from national conferences hosted in Minnesota.

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant are:

- Tuition/Registration Fee to a national conference hosted in Minnesota
- Travel within Minnesota by rail, bus, and other forms of mass transit
- Lodging within Minnesota during the conference
- Preset amounts for per diem (see conference budget worksheet)

Federal General Service Administration (GSA) rates for travel and lodging must be used when figuring budget costs. Scholarship projects must be awarded prior to registration for the national conference. Applicants are responsible for registering attendees after award notification and make all necessary travel reservations/accommodations. Membership dues, air travel, and personnel costs are ineligible expenses.

GETTING STARTED AND PUTTING IT ALL TOGETHER

Organizations should apply for this structured grant at least four (4) months before the national conference will be held to allow the appropriate amount of time for grant review and notification. For example, if the national conference will be held in October, the applicant organization should apply in the April round. The applicant organization must receive notification of the scholarship award and authorization from the Grants Office prior to registering attendees for the national conference.

Examine the national conference website. Determine how having employees, board members, and volunteers learn new concepts, techniques, and information at the national conference will grow your

organization's or agency's capacity to preserve and make Minnesota history accessible. After the national conference, each attendee will write a summary report explaining what the attendees learned during the conference and how that knowledge can be applied at their organization or agency.

STRUCTURED MN HIST AND CULTURAL APPLICATION ADVICE: SCHOLARSHIP TO NATIONAL CONFERENCE HOSTED IN MINNESOTA

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Describe your organization and how the project fits within your organization's goals: Provide a summary about the national conference and include a link to the website. Describe how attendance at this conference corresponds to the organization's mission. Describe how new concepts and techniques will be applied to improve preservation and accessibility to Minnesota history. What product will be developed during this project? How/where will it be publicly available? Final Product: Completed final report including summary report on what the attendee(s) learned.

Budget: Include the total amount from the Conference Budget Worksheet.

How were the above figures determined?: Identify those who will attend the conference, their positions with the applicant organization, and how attending this national conference will complement (add to) their knowledge and skills.

Required Documentation & Application Attachments:

In addition to items listed under General Information, the following documentation is required:

- Upload the completed [conference budget worksheet](#) to the Request Documents section of the application.

OOO GUIDELINES: HISTORIC PRESERVATION PROJECTS

1. STRUCTURED: NATIONAL REGISTER PROPERTY EVALUATION

This structured application provides funding to conduct an evaluation of a property for listing in the National Register of Historic Places. Properties listed in the National Register include districts, sites, buildings, structures, and objects that are significant in American history, architecture, archaeology, engineering, and culture.

National Register properties enrich our understanding of local, state, and national history by representing significant events and developments, the contributions of notable people, important engineering and architectural styles, and information in history or prehistory. Although the listing is primarily honorary, it can increase resource recognition and preservation, aid in future community planning, and provide limited protection for historic resources. Listing may also provide access to additional funding sources for the rehabilitation or restoration of a property.

NOTE: This structured grant option should only be used if the evaluation is for a single property, including those with multiple, **related resources such as a campus or farmstead and the project's scope can be accomplished within the grant program's \$10,000 funding limit for small grants or if matching funding will be used.** If your project exceeds this scope and funding limit, you should follow the [Survey, Inventory, and Evaluation](#) guidelines and use the standard Minnesota Historical & Cultural Heritage Grant application.

ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant include, but are not limited to:

- Hiring a qualified and experienced architectural historian/consultant

IN THIS SECTION

STRUCTURED:
NATIONAL REGISTER
PROPERTY
EVALUATION

NATIONAL REGISTER
AND LOCAL
DESIGNATION

HISTORIC
PRESERVATION
PLANNING

HISTORIC
PRESERVATION
SURVEY,
IDENTIFICATION
AND EVALUATION

HISTORIC
PROPERTIES

- Printing, postage, mileage, copies, photography

GETTING STARTED AND PUTTING IT ALL TOGETHER

To have a property listed in the National Register is a rigorous nomination process. Properties that are placed in the National Register are exceptional by having both historic physical integrity and historical significance. To determine whether a property meets the exacting standards of the National Register, a number of questions must be addressed in the evaluation, such as: How much of the property is original? Has the property's setting changed? How important is the property to the community in which it is located? Is it unique in its history, architecture, or construction? How is it unique when compared to other similar local or regional properties?

Answering these questions and others requires extensive research and documentation for a property. The first step is to complete a National Register property evaluation that is used to determine whether the property is eligible for listing in the National Register.

When putting together your timetable, keep in mind that the review process can be lengthy. A typical work plan begins after you receive authorization to begin your grant project. A timeline should include work that will be accomplished post-award and anticipated dates by which the evaluation will be completed. Consultant bids will typically include a timetable in which they can complete the work.

APPLICABLE STANDARDS

- Consultants must meet the [Secretary of the Interior's Professional Qualifications Standards](#).
- [Secretary of the Interior's Guidelines for Evaluation](#)
- [How to Apply the National Register Criteria for Evaluation](#) bulletin

Before completing the application form and if you plan to hire a consultant, obtain proposals from qualified and experienced architectural historians or consultants who will do this work for you under the terms of a contract. Provide all candidates with the type of resource to be evaluated (i.e. dwelling, religious building, school, campus, farmstead, etc.). If there is more than one resource to be evaluated, provide a boundary map and an estimate of the number of resources located on the property. The process used for open procurement needs to be documented and kept in your files. You must show that you have contacted a minimum of three potential consultants.

When you contact consultants and request bids, make them aware that the final product, a National Register property evaluation, must, at a minimum, include the following:

- Summary of research, identification and evaluation methodologies including but not limited to referencing applicable Multiple Property Documentation Forms and historic contexts
- Narrative property description
- Statement of Significance, including Period of Significance, Area of Significance, and Level of Significance.
- Narrative discussing the appropriate Criteria for Evaluation
- Discussion of applicable historic contexts. Those patterns or trends in history by which a specific occurrence, property, or site is understood and its meaning within history is made clear.
- Discussion of contributing and non-contributing resources as appropriate
- List of major bibliographic references
- Additional documentation such as maps or photographs
- A completed inventory form for the property

Also, make the consultant aware that a copy of the property evaluation documentation and the inventory form are required with the final grant report.

Once you have selected a qualified consultant, complete the structured grant application form.

STRUCTURED MN HIST AND CULTURAL APPLICATION ADVICE: NATIONAL REGISTER PROPERTY EVALUATION

Describe your organization and how the project fits within your organization's goals: Indicate if there is a plan to complete a National Register of Historic Places nomination form if the resource is determined to be eligible for listing. Discuss your community's need for the project and what led you to develop it. Indicate why the resource(s) is a good candidate for listing in the National Register. Provide the date or period of construction, or your best estimate; brief history and description of the resource(s); and indicate any known changes to the resource(s). What product will be developed during this project? How/where will it be publicly available? Final Product: Final document and inventory form (as a Final Product for the grant)

Name of Lead or Contractor: Fill in the name of the consultant selected (if procurement is complete).

Budget: Include the total project cost from the selected (or preferred) consultant's proposal.

How were the above figures determined?: Describe key personnel and their qualifications who will be working on the project. Vendors/consultants/contractors must already be

selected. It is critical that the procurement (hiring) process meets the requirements of the grant program (Appendix I).

Required Documentation & Application Attachments

In addition to items listed under General Information (Page 3), the following documentation is required:

- Current photographs; upload to the Request Documents section of the application.
- If the property has multiple resources upload a proposed boundary map to the Request Documents section of the application.

To have a property listed in the National Register is a rigorous nomination process

2. NATIONAL REGISTER NOMINATION & LOCAL DESIGNATION

The National Register of Historic Places is the nation's official list of properties deemed worthy of preservation. Properties listed in the National Register include districts, sites, buildings, structures, and objects that are significant in American history, architecture, archaeology, engineering, and culture. The National Register establishes a uniform standard for evaluating and documenting historic places. Historic properties listed in the National Register must have historic significance and integrity. Before you can apply for a grant to complete a National Register nomination form, the property must have been previously evaluated to determine if it meets the established National Register criteria. Because the integrity of the building can change over time, any evaluation older than ten years is considered out of date. In these cases, the property must be reassessed. Eligible applicants can use the National Register Property Evaluation Structured Grant for this purpose.

Local governments may establish historic preservation commissions that carry out a comprehensive preservation program, including recommending individual properties and areas for designation. Local designations apply to individual buildings, structures, sites, areas, or objects that the commission studies and judges to have historical, architectural, archaeological, or cultural value. While these properties may also be listed in or eligible for listing in the National Register of Historic Places, local designations are made solely by the local government.

Guidance for preparation of a National Register nomination form can be found in the Secretary of the Interior's [Standards for Registration](#), the [SHPO Manual for Archaeological Projects in Minnesota](#) (July 2005), and [the Historic and Architectural Survey Manual \(2017\)](#). Persons hired to prepare a National Register nomination form must meet the Secretary of the Interior's [Professional Qualification Standards](#).

ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

- National Register nomination form for an individual property or landscape
- National Register nomination form for a historic district or boundary expansion
- Multiple Property Documentation Form
- National Register nomination form for an archaeological site or district, working from evaluation studies or other previous documentation
- Research and preparation of a Local Designation report (applicable only to communities with a Historic Preservation Commission whose ordinance allows for local designation)

WHAT IS NOT FUNDED

In addition to items described as not fundable under General Information (Page 3), the following items are ineligible:

- Costs and projects related to compliance with state and federal laws related to historic preservation, including mitigation (e.g., Section 106 of the National Historic Preservation Act, the Minnesota Historic Sites Act, the Minnesota Field Archaeology Act, etc.). The Grants Office recommends applicants consult with a tax attorney to determine the tax implications of commingling financial incentives from multiple programs.

REQUIRED DOCUMENTATION & APPLICATION ATTACHMENTS

In addition to items listed under General Information (page 3), the following documentation is required:

- Current photographs and, if a historic district, a boundary map
- Minnesota Statewide Inventory Number(s) assigned to the property by HPD
- For National Register nomination preparation: a copy of the letter sent by HPD confirming the National Register eligibility of the proposed property or historic district, dated ten years or less from the application date.
- Note any changes the property or district may have undergone since the eligibility determination was made
- For nongovernmental organizations applying for over \$25,000: include applicant's financial documents (Form 990, Form 990-EZ, certified financial audit, or year-end financial report).

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: NATIONAL REGISTER NOMINATION & LOCAL DESIGNATION

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

Include the following: names of the properties and a statement about their significance, number and type of registration forms to be completed (individual or district), and number of contributing resources. For guidance, see section 5 in the National Register Bulletin "How to Complete the National Register Registration Form." Add sufficient references from the Secretary of the Interior's Standards for Registration to demonstrate that your project will conform.

Listing in the National Register of Historic Places is primarily honorary, but it increases recognition and can provide limited protection for historic resources. Local designation often provides a greater

level of protection for the resource as allowed under a community's ordinance. Discuss the need for your project and what led you to develop it.

Need and Rationale

- Discuss why you are pursuing nomination/designation for the property or historic district.

Work Plan and Timetable

- What planning have you undertaken to prepare for your project? To be eligible in this category, there should be sufficient prior evaluation of the property to verify that it is a strong candidate for National Register nomination or local designation. By whom and when was the property previously evaluated?
- Provide a project timetable describing the work that will be accomplished and anticipated dates by which it will be completed. When putting together your timetables please note that the review process can be lengthy.

Project Personnel

- Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendix D for more information.

Enduring Value

- What product will be developed during this project? How/where will it be publicly available?
- National Register and locally designated properties enrich our understanding of local, state and national history by representing significant events and developments, the contributions of notable people, and important types of buildings and architectural styles. Keeping this in mind, in what ways will your project have a lasting impact and value for the community?
- Final Product: Completed Nomination form (as a Final Product for the grant).

Sustainability

What are your plans for the continuing preservation of the property? How will the nomination/designation and resulting listing leverage partnerships or influence attitudes in the community about historic preservation?

Evaluation Metrics

Successful listing in the National Register or local designation, and the protections and benefits afforded by listing/designation, are desired outcomes for projects in this category.

The National Register process often extends past the grant process due to the National Park Service requirements and we encourage the applicant to seek bids that acknowledge that the consultant will address any (post-grant) concerns by the Heritage Preservation Department or the State Review Board.

Note: Final Product for the National Register Historians is more than the grant requires. The National Register Packet they need to see includes the completed form and continuation sheets, USGS or digital maps, TIF disks, 2 sets of commercial prints (photography), and owner verification form(s).

Local governments may establish historic preservation commissions that carry out a comprehensive preservation program

3. HISTORIC PRESERVATION PLANNING

Preservation planning helps decision-makers set priorities that will lead to the protection of historic and cultural resources. Guidance for planning can be found in the Secretary of the Interior's [Standards for Planning](#), the [SHPO Manual for Archaeological Projects in Minnesota](#) (July 2005), and the [Historic and Architectural Survey Manual](#) (2017). Persons hired in the Historic Preservation Planning category must meet the Secretary of the Interior's [Professional Qualification Standards](#).

ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

- Developing a context study through analysis of the community's history
- Preparing a preservation plan for an archaeological historic district
- Developing design guidelines for a locally designated or National Register listed historic district
- Creating or revising a local preservation ordinance
- Developing a preservation plan for a community or writing a historic preservation chapter for a city's comprehensive plan

WHAT IS NOT FUNDED

In addition to items described as not fundable under General Information (page 3), the following items are ineligible:

- Design guidelines for non-officially designated districts

REQUIRED DOCUMENTATION & APPLICATION ATTACHMENTS

In addition to items listed under General Information (page 3), the following documentation is required:

- A general overview of the area or property history
- For preservation ordinance revision projects: a copy of the current preservation ordinance
- For preservation plans: describe the previously completed historic context studies for the community
- For nongovernmental organizations **applying for over \$25,000: include applicant's financial documents** (Form 990, Form 990-EZ, certified financial audit, or year-end financial report).

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: HISTORIC PRESERVATION PLANNING

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

Describe the product and its contents. Discuss who will use the product and how it fits into your **current and future planning activities**. Add sufficient references to the Secretary of the Interior's [Standards for Planning](#) to demonstrate that your project will conform.

Need and Rationale

Like any limited resource, historic properties need careful planning and management to ensure their survival. Discuss the need for your planning project and what led you to develop it.

Work Plan and Timetable

Provide a project timetable describing the work that will be accomplished and anticipated dates by which it will be completed. When putting together your timetables please note that the review process can be lengthy.

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendix D for more information.

Enduring Value

- What product will be developed during this project? How/where will it be publicly available?
- Preservation planning is essential to establishing public policies and strategies that protect historic and cultural resources. How will your planning project set the stage for future activities and outcomes? In what ways will the project have a lasting impact and value for the community?
- Final Product: Electronic copy of report, study, or plan from the consultant hired for the project.

Sustainability

How will your project's product(s) be used and implemented?

Evaluation Metrics

- How will the project improve public access to the information? What skills will your organization have gained?
- State what data and how it will be captured for the final report.
- Estimate the number of people you may reach through this project and compare that to current figures. How will you collect feedback from users to assess the effectiveness of your project?
- Explain any restrictions that might prevent the public from accessing the material.

Preservation planning helps decision-makers set priorities that will lead to the protection of historic and cultural resources.

4. HISTORIC PRESERVATION SURVEY, IDENTIFICATION, & EVALUATION

Surveys of historic properties serve to identify important resources in order that they may be preserved and protected. Surveys also generate information that affords unique insights into a community's past and underpins sound community planning. Many historic properties have not yet been identified through survey. Many historic properties have been identified and documented in surveys but have not been evaluated for their eligibility for listing in the National Register of Historic Places or for local designation through the local Heritage Preservation Commission. Evaluation activities apply established historic contexts and specific evaluation criteria to inventoried historic properties to determine and rank their integrity and level of significance.

APPLICABLE STANDARDS:

- [State Archaeologist's Manual for Archaeological Projects in Minnesota](#) (2011)
- [SHPO Manual for Archaeological Projects in Minnesota](#) (2005)
- [Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation](#)
- For local designation reports: Consult the applicable Heritage Preservation Commission (HPC) for report requirements
- Bulletin 24: [Guidelines for Local Surveys: A Basis for Preservation Planning](#)
- State of Minnesota [Survey and Inventory](#)

ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

- Reconnaissance Survey (Phase I) for historic and architectural properties
- Phase I survey of an archaeological site
- Resurvey of areas where most recent survey or evaluation reports are more than ten (10) years old or where additional information warrants resurvey
- **Intensive Survey/Phase II** for the evaluation of individual properties, historic districts, archaeological sites, or landscapes for listing in the National Register

Note: Always consult the National Register Historians when you have questions of eligibility. For example, a 1983 survey is no longer applicable.

WHAT IS NOT FUNDED

In addition to items described as not fundable under General Information, the following items are ineligible:

- Costs and projects related to compliance with state and federal laws related to historic preservation, including mitigation, (e.g., Section 106 of the National Historic Preservation Act, the Minnesota Historic Sites Act, the Minnesota Field Archaeology Act, etc.). The Grants Office recommends applicants consult with a tax attorney to determine the tax implications of commingling financial incentives from multiple programs.

NOTE: We recognize variation in different projects. Contact Grants staff for help with correct procedures and advice.

REQUIRED DOCUMENTATION & APPLICATION ATTACHMENTS

In addition to items listed under General Information (page 3), the following documentation is required:

- For Reconnaissance Surveys (Phase I) : Include a boundary map of the proposed survey area, a photographic overview of the properties located within the boundaries, a list of contexts related to the survey area or properties, including title and dates of publication.
- For Intensive Surveys (Phase II): Include a boundary map of the proposed survey area, justification for the proposed boundary, a photographic overview of the properties located within the boundaries, a list of contexts related to the survey area or properties, including title and dates of publication, and a copy of the reconnaissance report findings that recommend further study OR confirmation from HPD staff that an intensive survey is appropriate.
- For nongovernmental organizations **applying for over \$25,000: include applicant's financial documents** (Form 990, Form 990-EZ, certified financial audit, or year-end financial report).

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: HISTORIC PRESERVATION SURVEY, IDENTIFICATION, & EVALUATION

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Project Description

- Type of survey (history/architecture, archaeology, or both)
- Level of documentation (intensive or reconnaissance)
- Number of acres in the survey area

- Verbal boundary description
- Description of properties and/or justification for proposed survey boundaries
- A statement explaining how the survey relates to previous survey work and to the statewide historic contexts and local contexts (if applicable)
- Provide assurance that all research, documentation, and deliverables related to the project will **meet the applicable Secretary of the Interior’s Standards (indicate which apply) the [Historic and Architectural Survey Manual \(2017\)](#)**, and/or the SHPO Manual for Archaeological Projects in Minnesota (July 2005)
- List properties/areas to be evaluated (intensive only)
- Activities leading to identification of properties/areas as candidates for evaluation (intensive only)
- Proposed National Register Criteria and Areas of Significance (intensive only)
- Provide assurances that the consultant hired will meet **Secretary of the Interior’s** standards and be qualified

Need and Rationale

Survey is a vital component of any preservation planning program. Besides the value of identifying and documenting historic properties, surveys can help plan for and prioritize growth and development. **Discuss your community’s need for the project and what led you to develop it.**

Evaluating historic properties to determine their significance facilitates sound community planning and helps make the case for their preservation. Discuss the need for your evaluation project and what led you to develop it.

Work Plan and Timetable

What planning have you undertaken to prepare for your project? Provide a project timetable describing the work to be accomplished and anticipated dates by which it will be completed. When putting together your timetable, keep in mind that the review process can be lengthy and drafts of all deliverables are required.

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendix D for more information.

Enduring Value

- What product will be developed during this project? How/where will it be publicly available?

- A copy of the final document and inventory forms must be provided to the Heritage Preservation Department for integration into the statewide inventory.
- How might the information obtained by your survey improve community planning and lead to a greater commitment to preserving your community's historic resources? How will information from your evaluation be accessed for community planning? In what ways will the **project have a lasting impact and value for the community?**
- **Final Product** (includes but is not limited to):
 - One print copy and one electronic Word format copy of the draft survey report meeting all applicable NPS and HPD standards and guidelines
 - One print copy and one electronic PDF copy of draft survey and inventory forms (number determined by size and scope of project) meeting all HPD standards
 - One print copy and one electronic Word format copy of the final survey report meeting all applicable NPS and HPD standards and guidelines
 - One print copy and one electronic PDF copy of all final survey and inventory forms meeting all HPD standards.

Sustainability

- Survey: How will the survey information be accessed, maintained and updated? How will recommendations be implemented?
- Evaluation: How will the recommendations of your evaluation be implemented? Do you plan to complete a National Register of Historic Places nomination form for properties determined to be eligible for listing?

Evaluation Metrics

- How will the project improve public access to the information? What skills will your organization have gained?
- State how and what data will be captured for the final report.
- Estimate the number of people you may reach through this project and compare that to current figures. How will you collect feedback from users to assess the effectiveness of your project?
- Explain any restrictions that might prevent the public from accessing the material.
- Survey: How many properties will be documented because of the project? How will the information be used?
- Evaluation: What criteria will you use to evaluate the success of your project? How many properties will be evaluated? How will the information be used?

NOTE: *We recommend that the contract with the consultant/vendor includes language that requires them to complete all work related to the project, per Heritage Preservation Department staff, regardless of the number of drafts that process requires.*

Many historic properties have not yet been identified through survey.

5. HISTORIC PROPERTIES

Projects in this category plan for and/or stabilize, restore, preserve, reconstruct and/or make accessible buildings, structures, or sites that are significant to national, state, or local history and that are open to or highly visible to the public.

Minnesota Historical & Cultural Heritage Grants received for work performed on a Historic Preservation Tax Incentives project may or may not be considered a qualified rehabilitation expense (QRE) depending on whether the grant is considered taxable. The Grants Office recommends applicants consult with a tax attorney to determine the tax implications of commingling financial incentives from multiple programs.

For projects requiring construction, the prevailing wage rule may apply. See Appendices I & J to determine if this requirement is applicable to your project. If applicable, you must agree to comply with [Minnesota Statutes 177.41 through 177.44](#) regarding prevailing wages and contracts.

APPLICABLE STANDARDS

- All work must conform to the [Secretary of Interior's Standards for the Treatment of Historic Properties](#).
- All architects must be qualified and must meet [Secretary of the Interior's Professional Standards for Historic Architecture](#).

ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

Pre-development—Research Phase

Includes research work for National Register listed and National Register eligible historic buildings that conforms to the [Secretary of the Interior's Standards for the Treatment of Historic Properties](#):

- Preparation of a historic building conditions assessment of a property and treatment recommendations
- Preparation of a Historic Structure Report (HSR) that will assist the property owner in making appropriate and informed decisions about restoration and maintenance efforts of a historic building. HSRs must follow the guidance set forth by the National Park Service in [Preservation Brief #43: The Preparation and Use of Historic Structure Reports](#)
- Preparation of a historic building Reuse/Feasibility study for a threatened or vacant building
- Preparation of a Cultural Landscape Report
- Preparation of a comprehensive Cultural Resource Management Plan

- Damage assessment of erosion at a National Register listed archaeological site. (See “Survey and Inventory” section for more information about Archaeological studies.)

Pre-development—Working Drawings/Architectural Plans, Specifications, and Grants Office Scope of Work Form

Includes work only for a National Register listed historic building/structure that conforms to the **Secretary of the Interior’s Standards for the Treatment of Historic Properties for Restoration or Preservation** and is eligible under the grant guidelines for construction:

- Architectural drawings & specifications for a project that plans for the stabilization, restoration, preservation, or ADA accessibility routes or restrooms

NOTE: Construction administration fees are not eligible during the pre-development phase.

Development—Construction Work

Includes work only for a National Register listed historic building/structure or National Register listed archaeological site that conforms to **the Secretary of the Interior’s Standards for the Treatment of Historic Properties**. Work must be completed following prevailing wage laws (see appendix J):

- Exterior building preservation work (roof, masonry, siding, windows, doors, soffit, porch, foundation, steps)
- Interior systems work (updating electrical, plumbing or climate control systems; installing a fire protection or security system)
- Work to make a building meet ADA accessibility standards (installing a ramp, elevator, lift or accessible restroom)
- Restoration of a historic landscape on a National Register listed property or landscape
- Conservation and/or stabilization for a compromised or damaged structure
- Landscaping/site work that:
 - involves the preservation or restoration of a historic landscape
 - is an integral part of an archaeological investigation
 - returns a site to pre-construction condition (note: an archaeologist should be consulted before excavation on a historic site)
- Construction Administration fees (eligible during construction phase only)
- Acquisition of a National Register listed historic property threatened by imminent loss or destruction (see Acquisition of Real Property under General Information)

WHAT IS NOT FUNDED

In addition to items described as not fundable under General Information (page 3), the following items are ineligible:

- Projects to remodel, modernize, or reconfigure the interior of historic properties unrelated to systems or ADA accessibility routes or restrooms, for example:
 - New kitchenettes or kitchens in locations where none existed historically
 - New interior finishes such as carpeting, workstations, new cabinets, or new lighting
 - New floor plans. Examples: creating apartments in a warehouse, creating new stairways/circulation systems or subdividing a large room into multiple smaller rooms.
- Deferred maintenance and general maintenance, such as painting, woodwork refinishing, or other small-scale upkeep work of an aesthetic nature
- Excavation of archaeological sites for the purpose of data recovery
- Landscaping/site work costs
- Cost of moving a historic building. The preservation of historic properties that have been moved is generally ineligible for grant assistance.
- Additions to historic buildings, even if for accessibility
- Furniture repairs and purchases
- Projects with scopes of work similar to those previously funded through MNHS grant programs during the term of any standing Letters of Agreement Governing Use of Historic Sites

REQUIRED DOCUMENTATION & APPLICATION ATTACHMENTS

In addition to items listed under General Information (page 3), the following documentation is required:

Pre-development—Research Phase and Pre-development—Working Drawings/Architectural Plans and Specifications

- Photographs of the building in its entirety and any areas of interest or concern

For Development/Construction Work:

- Phasing plan (if applicable) - Most construction projects consider the entire building. However, if you plan to do a partial restoration, you will need to provide a phasing plan that explains in detail how many phases of the project you expect and the reasons for the phasing.

- **Scope of Work Form:** An official [Scope of Work Form](#) (provided by the Grants Office) must be completed and included with both the pre-application and final application. Follow the instructions on the form.
 - The Minnesota Historical Society's design reviewer will review the proposed treatments to ensure that they conform to the Secretary of the Interior's Standards for the Treatment of Historic Properties.
 - The proposed Scope of Work Form can and should be revised, if needed, following the pre-application review before submitting the final application. Most development/construction projects include conditions on the approved Scope of Work (SOW) Form. Applicants will be required to review and agree to conditions on the approved SOW as part of the grant agreement execution.

NOTE: Work not described in the Scope of Work Form will not be reviewed by grants staff or accepted as grant-eligible project work.
- Photographs: Without adequate photos documenting the historic and existing conditions, a project may lack enough essential information to meet minimal requirements for the review process. Applications lacking detailed photos, or including unclear or deficient photos of pre-rehabilitation conditions, may not be funded due to insufficient documentation to evaluate the project.
 - Photos should be numbered, dated, and labeled with the view (e.g., north wall, east windows) and brief description.
 - Group the photos with captions into one file and label the file accordingly.
- Photo key. A photo key is a floor plan and, if applicable, a site plan showing numbered photographs and indicator arrows to explain which areas the photos illustrate. (See Appendix H)
 - Do not upload zip files.
 - One photo of each concept is sufficient. Make sure to include a contextual photo for any detail photo provided so that reviewers can see where the detail occurs.
 - Photos must be taken in sufficient quantity and clarity to document the pre-rehabilitation existing conditions and subsequently, the finished project. Provide enough photos of all spaces, building elevations, and specific features for the visual description of the project's scope-of-work.
 - Provide enough photos to show the entire historic property from several perspectives and its surroundings. Include photos of the parts of the building for which funds are being requested.
- Plans and drawings that illustrate current building and proposed construction work

Optional/preferred:

- Copy of winning proposal (if selected)—this does not take the place of application Scope of Work or application Project Description.
- Copy of HSR (if available) for the building
- Copy of Conditions Assessment (if available)
- Copy of any foundational project work (i.e., Reuse plan, Feasibility Study, etc.)
- Specifications book or Project Manual
- For nongovernmental organizations applying for over \$25,000: include applicant's financial documents (Form 990, Form 990-EZ, certified financial audit, or year-end financial report).

NOTE: Including these documents as part of your review does not imply that the Grants Office will agree with or approve these documents as part of the review process.

MN HISTORICAL AND CULTURAL APPLICATION ADVICE: HISTORIC PROPERTIES

The following advice on how to complete the application will help you shape your project; suggestions correspond to and go beyond the guidance provided in the application form.

Applicant

- The owner of the building must be the applicant for all grants involving architectural drawings and/or construction. The owner must be an eligible applicant.
- Non-owners may apply for non-construction grants, but the application must indicate that the building owner is in agreement with the proposal.

Budget

Articulate the budget into its component parts. A single line item does not provide useful information to the reviewers.

Project Description

Provide a brief history and significance of the property. Follow this with a project description. Focus the description on the project for which you are seeking funds and provide a more general synopsis of future phases (if applicable). Describe what the grant funds will accomplish.

Need and Rationale

- Discuss the need for the project by describing the current condition of the property.
- What led you to develop the project? If you are following recommendations outlined in a planning document such as a historic structures report, architectural conditions assessment or archaeological site conservation/stabilization plan, attach a copy of the document.

- For reuse studies: Discuss the current owner and how the building is threatened. Verify that the project will follow the [Historic Properties Reuse Team process](#) (HPRT) developed by the [Minnesota State Historic Preservation Office](#).
- For historic structures reports: Discuss how the project will follow the process outlined in Preservation Brief 43: [The Preparation and Use of Historic Structure Reports](#).
- For preservation work: Discuss how the project will conform to the applicable Secretary of the Interior's [Standards for the Treatment of Historic Properties](#).
- The Standards offer four distinct approaches to the treatment of historic properties—[preservation, rehabilitation, restoration, and reconstruction](#). State which treatment will be applied to the building/site and give good reason for the selection (prior reports, research, etc.).
- For preservation work: Include date when the architectural drawings and specifications were completed.

Work Plan and Timetable

What planning have you undertaken to prepare for your project?

Provide a project timetable describing the work to be accomplished, milestones, who will complete the work, and anticipated dates by which it will be completed. Include your phasing plan (if applicable). This answer should allow time for obtaining the needed approvals, including the review and approval of milestones with the Grants Office.

Project Personnel

Indicate who will be working on the project. If vendors/consultants/contractors are already selected, it is critical the procurement (hiring) process meets the requirements of the grant program. Describe the process you used. If vendors/consultants/contractors are NOT already selected, describe the procurement process that will be used if the grant is awarded. If project personnel will include staff, include information on their current level of staffing and details on how the grant will supplement their current employment. See Appendices D and I for more information.

Give the names and briefly describe the experience of the people, architects, engineers, contractors, project managers, and volunteers who will work on the project. If some project personnel have not been picked yet, briefly describe how they will be picked and what qualifications you will require.

Historians, archaeologists, architects, architectural historians, etc., should meet the Secretary of the Interior's **Professional Qualifications Standards**. Visit http://www.nps.gov/history/local-law/arch_stnds_9.htm to learn more.

Enduring Value

- What product will come from this project? How and where will it be publicly available?
- Historic properties are tangible links to the past; preserving them ensures that reminders of our heritage will remain for future generations. There are also educational, aesthetic, economic and environmental benefits to preserving historic properties. Keeping these things in mind, how will your project have a lasting impact and value for the community?
- Final Product (includes but not limited to): Photographs, completed punch list, and comprehensive report on the work completed.

Sustainability

Discuss the source(s) of financial resources for the property's use and continued preservation. If the product of this project is a plan, how will the recommendations be implemented?

Evaluation Metrics

How has the lifespan of the property been extended and how does that contribute to the vitality of your community?

APPENDIX A

BACKGROUND

The [Clean Water, Land and Legacy Amendment to the Minnesota Constitution](#), passed in November 2008, raises new funds from a sales tax increase to be divided among projects benefitting the outdoors, clean water, parks and trails, and arts and cultural heritage.

First Biennium, 2010-2011		Third Biennium, 2014-2015	
Overall appropriation:	\$22 million	Overall appropriation:	\$28 million
Appropriation for grants:	\$6.75 million	Appropriation for grants:	\$11.2 million
Number of requests:	894 applications	Number of requests:	1056 applications
Amount requested:	\$38 million	Amount requested:	\$21 million
Grants made:	474	Grants made:	563
Second Biennium, 2012-2013		Fourth Biennium, 2016-2017	
Overall appropriation:	\$24.5 million	Overall appropriation:	\$29 million
Appropriation for grants:	\$10.5 million	Appropriation for grants:	\$11.252 million
Number of requests:	913 applications	Number of requests:	885 applications
Amount requested:	\$18 million	Amount requested:	\$28 million
Grants made:	568	Grants made:	484

Fifth Biennium, 2018-2019

For the current 2018-2019 biennium, a portion of the Arts & Cultural Heritage Fund has been appropriated again to the Minnesota Historical Society for a variety of history programs around the state—programs intended to **preserve and enhance access to Minnesota’s history and its cultural and historical resources**. The grants program received \$11,000,000 for the biennium:

Minnesota Session Laws-2017, Chapter 91, Article 4, Section 2, Subdivision 4, (b) Historical Grants and Programs, (1) Statewide Historic and Cultural Grants
\$4,500,000 the first year and \$6,500,000 the second year are for history programs and projects operated or conducted by or through local, county, regional, or other historical or cultural organizations or for activities to preserve significant historic and cultural resources. Funds are to be distributed through a competitive grant process. The Minnesota Historical Society must administer these funds using established grant mechanisms, with assistance from the advisory committee created under Laws 2009, chapter 172, article 4, section 2, subdivision 4, paragraph (b), item (ii).

Expiration of Funding:

- Fiscal Year 2018 appropriations are available until June 30, 2019
- Fiscal Year 2019 appropriations are available until June 30, 2020
- If a project receives federal funds, the period of the appropriation is extended to equal the availability of federal funding. For historic preservation (construction only) projects that improve historic structures, funding is available until June 30, 2021.

APPENDIX B

FINANCIAL REQUIREMENTS, REPORTS & RECORDS

1. Expenditures

- Expenditures for the project must be made in accordance with the approved project budget specified in the grant agreement. The approved project budget may differ from the grant application budget based on any changes required.
- Any project expense not specifically approved in the budget will not be allowed without advance approval in writing by the Grants Office.
- Work on the project must be completed within the dates set forth in the grant agreement. Expenditures and project activities performed outside the project period are not eligible for grant assistance. If a time extension becomes necessary, the grantee should make the request to the Grants Office at least thirty (30) days before the end of the grant period.
- Financial Records: Paid invoices, receipts, timesheets/payroll records, etc. must be kept for verification of expenditures.

2. Documentation

Within thirty (30) days after the project is completed, a final report form including supporting documents must be completed in the grants portal and submitted to the Grants Office. Supporting documents include photographs (as applicable), financial documentation (receipts, invoices, etc.) of project costs (for grants over \$10,000), a copy of the project's final product as specified in the grant agreement, and in-kind labor forms (optional). Final work products must be uploaded to the grants portal. The final report form and related forms can be found in the grants portal. See the Grant Project Manager's Guide for more information on final reporting.

It is important to submit these reports promptly because grantees with overdue reports are not eligible to apply for grants until past due reports have been approved by the Grants Office.

3. Records Retention

Grantees must keep project financial records, prevailing wage, and procurement process on file for a minimum of six years. An audit may be made at any time by the Minnesota Historical Society, its designated representative, or any applicable agency of the State of Minnesota.

4. Nongovernmental Organizations: Fiscal Review Requirements

The State of Minnesota Grants Policy ([#08-06](#)) requires a review of the financial stability of nongovernmental organizations applying for grants of more than \$25,000. To comply with this

requirement, these organizations must submit an acceptable financial record as part of their application materials. Any items of significant concern must then be discussed and resolved to the satisfaction of Minnesota Historical Society staff before a grant is awarded.

Failure to supply an acceptable financial record with your application may result in disqualification. The record you submit must be the most recent available and no more than three (3) years old. If your organization is too new to have any of these records, you may need to delay application until your organization has sufficient organizational history.

Acceptable records:

- Form 990
- Form 990-EZ
- Audit
- Year End Financial Report

Records that CANNOT be accepted:

- Form 990-N (no financials are part of this document)
- Budget (this is a future projection, rather than showing past performance)
- Bank Statement (current moment snapshot of financial picture)
- Balance Sheet (current moment snapshot of financial picture)

5. Payments and Reporting

See the Grant Project Director's Guide for more information on interim and final reporting requirements.

- Small Grants and Structured Grants (\$10,000 and less)
 - Once the grantee has completed and returned the grant agreement and has received authorization to **begin work from the Society's Grants Office**, a check for the full grant award will be released unless a condition placed on the grant requires the payment to be reimbursable.
 - The final report form, including the completed budget table showing approved and actual expenditures, must be submitted to the Grants Office within 30 days following the assigned end date for the project to close out the grant.
 - Grantees with overdue final reports are not eligible to apply for another grant until paperwork is closed out.
- Large Grants (over \$10,000)
 - Greater than \$10,001 but less than \$50,000*
 - A check for 90% of the grant award will be released to grantees once grant agreement documents have been fully executed and grantees have received authorization to begin

- work from the Society's Grants Office, unless a condition placed on the grant requires the payment to be reimbursable.
- The final report form, including the completed budget table showing approved and actual expenditures, must be submitted to the Grants Office within 30 days following the assigned end date for the project to close out the grant. The remaining 10% of the grant funding will be released upon receipt, review, and approval of the final report.
 - Grantees with overdue final reports are not eligible to apply for another grant until the paperwork is closed out.

\$50,000 and up

- For large grants, a payment schedule appropriate to the needs and scale of the project will be negotiated with the grantee and included in the grant agreement. Agreements may include an advance payment at the start of the project with interim payments tied to the project schedule or reimbursable expenditures.
- Grantees must submit progress reports to receive interim payments. Requested materials are project-specific and will be listed in the grant agreement with the payment schedule.
- The final report form, including the completed budget table showing approved and actual expenditures, must be submitted to the Grants Office within 30 days following the assigned end date for the project to close out the grant. The remaining 20% of the grant funding will be released upon receipt and approval of the final report.

APPENDIX C

SAMPLE SCOPE OF WORK

SCOPE OF WORK FORM (continued-page 3)		
<u>Minneapolis Pioneers and Soldiers Cemetery</u>		<u>2925 Cedar Avenue South, Minneapolis, MN</u>
Property Name		Property Address
Date: <u>10/4/2011</u>		
No. <u>5</u>	Architectural feature <u>steel fence</u> Approximate date of feature <u>1928-1929</u>	Describe work and impact on existing feature: 5. Fence Restoration: Paint and Rust Removal: It is proposed to remove the existing paint and rust of the entire fence by sandblasting. It is recognized that sandblasting is not often a recommended course of action, however, since the fence originally had a smooth surface, it is course of action that will completely remove the rust from the metal, while removing as little of the original fabric as possible. Due to the size of the project, other methods of rust removal, such as a wire brush, were considered cost prohibitive. It will be made clear to the chosen contractor the importance of completing the sandblasting in a sensitive manner that removes no or minimal original fabric.
Describe existing feature and its condition: The fence's existing paint no longer protects the steel fence elements.		
Photo no. <u>3-13</u> Drawing no <u>A1-A6</u>		
No. <u>6</u>	Architectural feature <u>steel fence</u> Approximate date of feature <u>1928-1929</u>	Describe work and impact on existing feature: 6. Fence Restoration: Paint and Rust Removal (cont): The proposed first step of the rust removal step is to conduct the sandblasting on a small test area. The results will be submitted to the Minnesota Historical Society and City of Minneapolis Heritage Preservation Commission for approval prior to beginning work on a large scale. After rust removal work is approved by the MHS and HPC, the chosen contractor will begin work on the entire fence. During the sandblasting process, the contractor will check the sandblasting regularly to ensure that pockmarks and other unintended outcomes in the surface do not occur during the process. If the rust removal via sandblasting does not receive MHS and HPC approval, we will work with MHS and HPC to find an acceptable approach.
Describe existing feature and its condition:		
Photo no. <u>3-13</u> Drawing no _____		
No. <u>7</u>	Architectural feature <u>steel fence</u> Approximate date of feature <u>1928-1929</u>	Describe work and impact on existing feature: 7. Fence Restoration: Duplication and Replacement of Historic Materials: If a fence segment is beyond repair, or its retention would only marginally extend the functional life of the steel element, replacement will be chosen. This will only take place in extreme circumstances. Replacement parts will duplicate the original part in material and appearance in accordance with the Secretary of Interior's Standards. The Miller Dunwiddie report has indicated the portions of the lower, horizontal channel rails and other fencing components that require replacement.
Describe existing feature and its condition: Most of the steel fence pickets, although they have experienced a level of rusting, are in fair to good condition and will be able to be restored to their 1928 appearance. Portions of the horizontal channels, in particular the bottom, are in poor condition. Some of the horizontal elements have deteriorated to a point of needing replacement.		
Photo no. <u>7, 8,9</u> Drawing no <u>A7-9, 16, 17, 22</u>		
No. <u>8</u>	Architectural feature <u>steel fence</u> Approximate date of feature <u>1928-1929</u>	Describe work and impact on existing feature: 8. Fence Restoration: Historic Material Restoration: When rehabilitating the historic materials, straightening, splicing and reinforcing of existing metal parts will be chosen over replacement whenever economically and structurally feasible. When there are holes in the steel, an epoxy will be used to patch holes in the steel. When necessary, straightening of the steel elements will be completed. The straightening will take place with a great consideration of not causing grain separation (see Section 2.6 of Project Manual for additional detail)
Describe existing feature and its condition: The 1928-1929 fence along East Lake Street is in poor condition and in need of rehabilitation. A majority of the steel fence has experienced a state of rust; some parts have been rusted through completely. In addition, a number of steel pickets and brackets are bent.		
Photo no. <u>5, 6, 7, 9, 10</u> Drawing no <u>A1-A28</u>		

APPENDIX D

SUPPLEMENT VS. SUPPLANT

The Constitutional Amendment (Article XI, section 15) of the Minnesota Constitution that established this grant program dictates that grant money must supplement traditional sources of funding and may not be used as a substitute for other sources of funding (supplant funding).

SUPPLEMENT VS. SUPPLANT EXAMPLES

Supplement: To add funds to a current part-time position for the purposes of completing a grant-funded project.

Supplant: Using grant funds to replace existing staff wages.

When staff at the applicant organization want to get paid by grant funds to work on a grant-funded project, they need to determine whether the funds are supplemental or would supplant usual sources of funding. The Minnesota Legislature allows grant funds to supplement existing wages in cases where applicant staff is part-time.

Using grant dollars to pay personnel

General—hourly

An eligible applicant has two “full time” employees who are both paid an hourly rate. One is paid for 32 hours per week and the other is paid for 40 hours per week. The applicant could ask for up to 8 hours per week to be added to the one “full time” employee who is only paid for 32 hours per week. This is clearly supplemental to the existing position paid through traditional means. The applicant may not ask for compensation from the grant for the employee who works 40 hours per week. Doing so would clearly supplant a traditional source. Applications must plainly show the supplemental nature of any pay to any staff member.

Note: Best practice is to pay existing staff the same rate for grant work as for their regular appointment.

General—salaried

An eligible applicant has a full time salaried employee that it wishes to compensate with grant funds in recognition of work on the grant. This clearly supplants a traditional source of funding used to pay the employee, and therefore is not an eligible grant expense.

General—overtime

An eligible applicant wishes to supplement the salary of a full time employee by paying for overtime with grant funds. The grant program cannot pay for work beyond the full 40 hours per week.

College/University Faculty

For most of Minnesota's colleges and universities, faculty are paid on a 3/5 schedule. In other words, faculty members are paid for the three semesters they teach out of the five possible semesters each year. If a college or university wishes to pay faculty from a legacy grant, the application must plainly show that the faculty member will not be teaching or being paid during that term when grant work occurs. Grants cannot pay faculty during semesters of regular work. Grants may not be used to pay replacement faculty to teach for a faculty member on leave to work on a grant project.

Project-Based Staff

An eligible applicant has one or more staff on a project basis. This means that employment is contingent on securing funding. Grant dollars can only be used to pay such staff if 1) the project can be truly demonstrated to be supplemental to the work of the applicant, 2) the staff is qualified to work on the supplemental project, and 3) the applicant can demonstrate how it satisfies the open procurement statute in hiring project staff.

Additional year of programming

An eligible applicant seeks funding from Legacy dollars for an additional year of a program. In general, this is not an eligible project because the program has been funded in the past from another source, and thus may violate the constitutional prohibition on supplanting traditional sources of funding. If the applicant can demonstrate that new and clearly supplemental elements not done in the past will be added to the program, the project may be eligible. Reviewers have discretion to determine whether the project truly is supplemental or really is more likely to supplant funding. As always, proposed programs must also show how the public will access the project well into the future. Access must meet professional standards.

Required mitigation

An eligible applicant seeks funding to pay for an action required due to Section 106 review. This is not an eligible project because the responsible federal or state agency would be required to fund this action whether or not there were a Legacy grant program, and therefore the project would supplant traditional sources of funding.

APPENDIX E

CRITICAL REVIEW LETTER

Critical reviews containing analytical evaluation of the grant project's **subject matter are required** for applications requesting funding for publications, historical markers, exhibits, walking tour brochures, podcasts, etc. Reviewers will want to see critical review of any text that has a public education component to it.

A critical review letter should analyze the research product to judge whether it answers the questions of "What do we have?" and "What does that mean?" Further, it should also judge if the research product reflects the research. The letter writer must discuss his/her qualifications.

EXAMPLE OF LETTER OF CRITICAL REVIEW

Dear Grants Staff:

John Doe has asked me to provide a letter evaluating the interpretation contained in the work for fairness, honesty, and accuracy for his manuscript: Historical Educational Topic: The History of a School in Minnesota 1900-2000. Having read his account of the creation and history of this private elementary school, I am happy to provide my assessment. I am also willing to do this because one of my fields for my Ph.D. at Stanford in 1979 was the history of education.

John has the fortunate advantage of writing about the creation of a small-town elementary school whose founders kept detailed records of the early years of this school and who communicated often and in depth to the parents who paid tuition and sent their children to be educated there. The philosophy of the school, its commitment to education, and its clear focus on providing a distinctive alternative to public school education comes through clearly and persuasively, albeit a bit repetitively.

Similarly, his description of the philosophy and the leadership of the school's organizers, successive teachers, and changing school managers comes through clearly and persuasively. This account, like most school studies written before the 1970s, is history from the top down. That is, the account **focuses primarily on the school's leadership and teachers. Information on the number of students, the ratio of males to females, the cost of tuition, and, most importantly, the impact of the education on the students themselves, appears only sporadically and is largely gleaned from year-end reports.**

The account of the school briefly sets it within the educational movement but uses no other general studies of educational changes in the same time period. Moreover, it quotes extensively and continuously from the school reports. Sometimes these reports can be more than a page in length. Documentation exists but sometimes it is difficult to tell the source of a particular quotation.

Doe's interpretation generally follows that of the school leadership and rarely suggests a different conclusion. Since the school year end reports are designed to reassure parents and confirm the value of their tuition payments, they are generally very positive. Clearly, the school was very effective in its public relations philosophy and clearly the parents were highly satisfied with the results. But there is little independent assessment of what the students actually learned, a problem that is compounded by the fact that the school refused until nearly twenty years later to use any testing that could be correlated with other testing in Minnesota public or private elementary schools. The transition from private school to public charter school is similarly treated as a consistent evolution, which the school's leadership pictured it as, rather than a radical shift in some of the basic tenants of the earlier leaders' philosophy that solved severe financial and enrollment problems.

Doe himself offers an overall conclusion that closely follows the promotional literature of the school. He ends by quoting the assessment of one of the school's outstanding parents, teachers, and Directors, Jane Doe, about the school's achievements and ends his essay with her observations. Thus, the overall account is quite repetitive because successive school directors, in their year-end reports, review the same history of the school from the same perspective.

Sincerely,
Name
Title

LETTER OF SUPPORT (NOT REQUIRED)

A letter of support is a document that affirms the validity of the proposed project. However, reviewers will look for the application to prove that point. A letter of support will not replace the need for a letter of critical review, and is an unnecessary addition to the grant application. Letters of support are not reviewed by grants staff or HRAC members.

Example of a letter of support:

Dear Grants Staff:

The Buford County Historical Society very much supports the name of the Project. Your work is well known to us, particularly your publication, and your team is well suited to execute this project. We are especially pleased to see that various neighborhoods will be included. At this time there is significant

interest from community members about the history of these specific neighborhoods and a project such as this will help foster continued engagement in preserving and presenting their heritage. We believe the project you have designed will provide thoughtful and educational content of value to our constituents. We look forward to working with you to bring the results of this project to the public.

Sincerely,

Name

Title

APPENDIX F

DEFINITIONS

ADA Accessibility: Americans with Disabilities Act, as defined by the Minnesota Accessibility Code

Authorized Officer: A representative, named by the applicant organization, who is legally authorized to act on behalf of the applicant organization and to assume the obligations imposed by federal and state laws, regulations, requirements, and conditions that apply to grant applications or grant awards. Responsibilities include, but are not limited to signing grant agreements/contracts and overseeing changes in award terms and conditions. The Authorized Officer should be a different person than the **Project Director**.

Bid: A price for services offered by a potential **vendor**. In order to demonstrate proper **procurement** practices, an applicant or grantee must solicit multiple bids for each grant project.

Bid Proposal: A document that explains in some detail what the potential vendor will provide for the price for which they agree to do the work. Often a response to the **Request for Proposal** issued by the grantee organization.

Capacity: 1.) The ability of the applicant organization to take on a grant project and see it successfully through to completion. 2.) The resources and ability of an organization to further its mission. Ideally every awarded grant will somehow enhance the capacity of the recipient organization. If organizations with limited financial resources apply for large grants, the application should address the organization's **capacity** to take on the cost and workload of such a project.

Condition: A requirement that must be met to ensure that the grant project meets Secretary of the Interior's Standards and/or the Grant Guidelines. They can be placed on any size grant. They must be met in order for your project to be successfully closed. For example, a typical condition for research grants is submitting a draft of the report to the Grants Office for review and comment. Grantees can view Condition Reports in the Reports section of the grants portal.

Conflict of interest: A circumstance where one may personally benefit from actions made in their official capacity. A conflict of interest can also occur in a situation where a person's judgment or actions are influenced disproportionately by a secondary interest; such as the possibility of career promotion or the desire to do favors for family or friends. For example, anyone outside the applicant organization involved in writing the grant application cannot be hired as a vendor, consultant or contractor. (This is an actual conflict of interest that creates an unfair competitive advantage over other bidders.) Members of the board cannot be hired as staff without first stepping down from their board position.

Draft: An application that has not yet been submitted for one of the grant deadlines. The Project Director and Authorized Officer (if they have a grants portal login) have edit access to the application when it is in Draft status.

Direct Costs: Eligible expenses related specifically to the project.

Eligible expenses: Approved project expenses documented and contractually included in the budget table of the grant agreement. Eligible project expenses may only occur between the approved start and end dates of the grant.

Estimate: An approximate calculation of the cost and quality of needed goods or services. An estimate is helpful in determining the budget for the grant proposal; however, it is not appropriate financial documentation for the grant Final Report.

Fiscal agent: An eligible applicant that has no active, vested interest in a project and is lending their tax exempt status to an ineligible applicant or only manages the financial aspects of the grant. Fiscal agents are not allowed to be applicants to the Minnesota Historical & Cultural Heritage Grants program.

Grantee: An eligible applicant organization that has successfully obtained a grant.

Grants Portal: The website where the online applications are found and administration of the grants happens (including payment information and access to Milestone/Condition Reports and Final Reports). mnhs.fluxx.io.

Implementation: The final stage of multi-phase projects. Examples of implementation would be an installed exhibit, a published book, or a completed website. These projects must be based on previously completed and reviewed research and writing.

Indirect Costs: An organization's overhead, administrative, or other expenses not directly related to the project and possibly supporting other projects or functions. These are ineligible costs/expenses.

Letter of Critical Review: A letter from a qualified person knowledgeable about the grant project subject matter who is not involved in the project but who will give a comprehensive, objective analysis of the subject matter (exhibit text, manuscript, script, etc.). At least one of the letters must be from a person outside the applicant organization, although best practice would be to have both letters come from individuals outside the applicant organization to ensure a non-biased, independent content review. The people providing critical reviews must have proper credentials (e.g., an expert in the subject matter).

Match: A measurement of time and/or money that the applicant organization estimates it will put toward the grant funds. A funding match is not required at any level in the Minnesota Historical & Cultural Heritage Grants Program. Matches, however, are always encouraged; in fact, they are listed as an additional criterion for evaluating grant applications. Funding matches are one way to measure local buy-in and commitment to a project, demonstrating a community's investment in seeing a project

through to completion. For larger grants, the presence of a local match can also be seen as a measure of the applicant's capacity to carry out the grant project and of the project's sustainability.

Measurable Outcomes: This addresses a requirement in MS 16B, Subd. 2. (a), which states "a project or program receiving funding from the Arts & Cultural Heritage Fund must include measurable outcomes and a plan for measuring and evaluating the results." Outcomes for various types of projects will vary greatly; guidelines for each project category provide additional guidance on this matter.

Milestone: A requirement that must be met to ensure that the grant project meets Secretary of the Interior's Standards and/or the Grant Guidelines. Milestones are included with large grant projects and often have payments associated with them. Milestones often must be worked and submitted sequentially and must be met before the grant project can be closed. Grantees can view Milestone Reports in the Reports section of the grants portal.

Plagiarize: To steal or pass off the ideas or words of another as one's own; use another's production without crediting the source; to commit literary theft; present as new and original an idea or product derived from an existing source (American Heritage Dictionary). The Grants Office cannot accept plagiarism in applications, drafts, or final products.

Pre-application (a/k/a initial or draft): This is a required part of the application process for large Minnesota Historical & Cultural Heritage Grants. Applicants receive constructive feedback from the Grants Office on the pre-application's content. This feedback should be used to revise and resubmit the proposal, at which point it becomes the final draft of the application. The same application format is used for both pre-application and final.

Prevailing Wage: Prevailing wage is the minimum hourly wage employers must pay certain tradespeople who work on construction projects where state dollars are used to fund construction. The prevailing wage includes the employer's cost of benefits.

Procurement: Good faith effort to receive at least three bids or quotes for goods to be purchased and/or services to be hired. This process is intended to ensure that public funds will be spent wisely and without prejudice, and is a necessary procedure when receiving public grant money.

Professional Standards: General guidelines, rules, or principles followed by professionals in their fields of study. For grant program purposes, industry standards in history, museums, and historic preservation would be among the professional standards grant projects should follow. Professional standards should be followed in all grant project work as well as in the production of the final product.

Project: An activity that requires detailed planning and often collaborative effort to achieve, with the purpose of accomplishing prioritized organizational goals or objectives. A grant **project** should have a purpose that clearly supports the applicant's mission and has a finite time frame with a distinct beginning and end, resulting in a product of enduring value.

Project Director: A representative associated with and named by the applicant organization to direct the project and activities being supported by the grant. This person is the primary contact for the Grants Office during the life of the grant project and after. Responsibilities include, but are not limited to coordinating the day-to-day project work; overseeing the work performed by contractors, vendors, or consultants; maintaining necessary project and financial documentation; submitting milestone/condition reports, final reports, and grant project products to the Grants Office; and requesting changes to award terms and conditions if necessary. A Project Director cannot be a person who may be hired to perform work as vendor, contractor, or consultant on the project. The Project director should be a different person than the Authorized Officer.

Project Product: The tangible result of the grant project which is part of the enduring value and sustainability of the project; also called the grant's final product. Examples of final products can be found under each grant category.

Public Benefit: Projects supported through this grants program are expected to demonstrate public benefit. Applicants must consider what the project's potential public benefit will be as they shape the project, identify its goals and objectives, and develop a plan for evaluating its results. The final **project product** must be of **public benefit**.

Request for Proposal (RFP): is a solicitation document issued by a grantee to prospective contractors, vendors, or consultants that outlines the bidding process and contract terms, and provides guidance on how the bid should be formatted and presented.

Scope: The boundaries of a given project, which will be detailed in the Work Plan and Timetable section of the grant application.

Scope of Work Form: A separate document, attached to the application, required for all grants proposing construction work on historic structures. The form details with photographs and narrative exactly what the conditions are for every building feature to be changed, what restoration procedures will be used in each case, and what the impact on the features will be. This form is available in the grants portal and must be completed and uploaded to the Request Documents section of the application.

The Secretary of the Interior's [Standards](#) for the Treatment of Historic Properties (as defined by the [National Park Service](#)): A series of concepts about maintaining, repairing, and replacing historic materials, as well as designing new additions or making alterations. The Secretary of the Interior's Standards for the Treatment of Historic Properties [Guidelines](#) offer general design and technical recommendations to assist in applying the Standards to a specific property. Together, they provide a framework and guidance for decision-making about work or changes to a historic property.

Start/End Dates: These dates define the official grant period and determine when eligible project expenses can be spent. These dates are part of the grant agreement language and therefore are legally binding.

Sustainability: It is the intention of Legacy Amendment funding to support projects with lasting impact or enduring value. Applicants must demonstrate sustainability of the grant project's final **project product**. **Sustainability** is the applicant's ability to support any ongoing costs that the project may incur after the grant is closed. This issue must be addressed in the grant application.

Vendor: A person or company offering goods or services for sale. A **vendor** is not allowed to be any of the following: grant project director, authorized officer, applicant organization's board member, applicant organization's hired grant writer (when they also plan to bid on the grant project work).

APPENDIX G

SAMPLE LETTER OF AGREEMENT

MINNESOTA HISTORICAL SOCIETY

LETTER OF AGREEMENT GOVERNING USE OF HISTORIC SITE

This agreement is made on the _____ day of _____, 20____, by the «Grantee» (hereinafter referred to as the GRANTEE), and in favor of the State of Minnesota acting through the Minnesota Historical Society's State Historic Preservation Officer (hereafter referred to as the SOCIETY), for the purpose of preservation of a certain property known as the: «property_name» hereinafter the Property.

The «property_name», listed on the *National Register of Historic Places*, is comprised of grounds, collateral, appurtenances, and improvements and is located at «Property_Location_Address», «Property_Location_City», in «Property_Location_County» County.

In consideration of the sum of \$«Amount_Recommended» given to the GRANTEE through the Minnesota Historical and Cultural Heritage Grants Program through the SOCIETY from the State of Minnesota (MHS Grant Number: «Request_ID»), the GRANTEE hereby agrees to the following for a period of ten (10) years:

1. The GRANTEE agrees to assume the cost of the continued maintenance and repair of said Property so as to preserve the architectural, historical, or archaeological integrity of the same in order to protect and enhance those qualities that made the property eligible for listing on the *National Register of Historic Places*.
2. The GRANTEE agrees that no visual or structural alterations will be made to the property without prior written permission of the SOCIETY.
3. The GRANTEE agrees that the SOCIETY, its agents or designees shall have the right to inspect the property at all reasonable times in order to ascertain whether or not the conditions of this agreement are being observed.

This agreement shall be enforceable in specific performance by a court of competent jurisdiction.

MINNESOTA HISTORICAL SOCIETY
345 Kellogg Boulevard West
Saint Paul, Minnesota 55102-1906

«GRANTEE»

*D. Stephen Elliott,
Director and State Historic Preservation Officer*

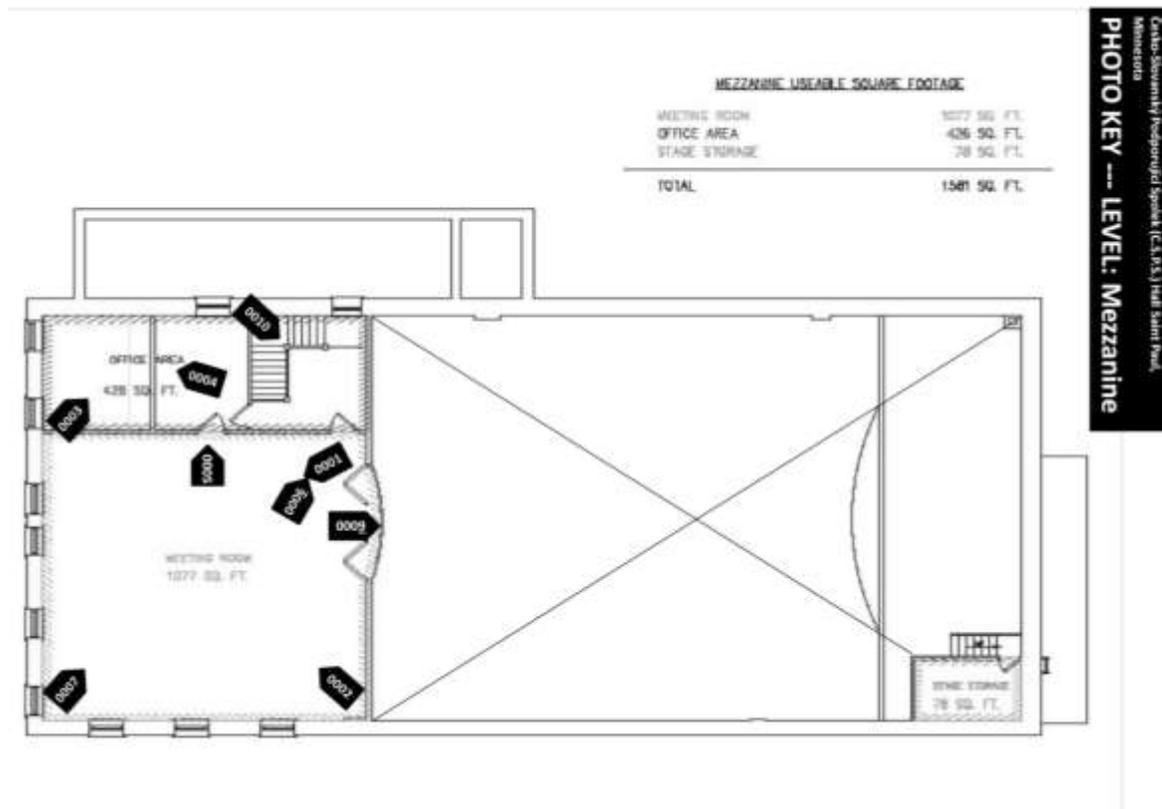
signature – authorized officer

Date: _____

Date: _____

print name and title

APPENDIX H



LABELLED PHOTO
EXAMPLE:

PHOTO 0001: Existing ceiling plaster w/wood box beams

APPENDIX I

PROCUREMENT PROCESS & PUBLIC NOTICE REQUIREMENTS

As a recipient of state grant funds, grantees must comply with the procurement per the dollar threshold. The dollar threshold is based on estimated project costs, the ability for the project to be completed, and similar budget categories (i.e. personnel, equipment, supplies). The dollar threshold is not based on individual line items stated in the budget table. The dollar threshold established by the Minnesota Historical Society based on the Office of Grants Management takes precedence over and supersedes all individual applicant procurement policies. An exception to this is made if a **grantee's procurement process is stricter than these requirements and is reflected in the grant application.**

Dollar Threshold	Action required
\$20,000 or more	A formal notice and bidding process must be conducted for any services and materials necessary to complete the project.
Between \$10,000 and \$19,999	An informal, competitively based process that is scoped out in writing and offered to a minimum of three (3) bidders must be conducted for any services and materials necessary to complete the project.
Between \$5,000 and \$9,999	An informal, competitively based process to soliciting a minimum of three (3) verbal quotes must be conducted for any services and materials necessary to complete the project.

RESPONSIBILITY

An informal process requires you to make a good faith effort to obtain bids. If you contacted potential vendors, consultants, or contractors and any declined or did not respond by a bid response deadline, the documentation of your attempts and the fact that they declined to bid or their non-response will meet the solicitations of bids.

The grantee is responsible for choosing an appropriate vendor, consultant, or contractor to complete grant-funded projects. The bid selection must be based on low bid or best value. If best value is the

preferred method, the solicitations must clearly set forth all requirements that the bidder must include in their bid response.

No single or sole sourcing is allowed.

For projects that include construction work where only one trade or occupation is required to complete the work, and the project is greater than \$2,500 or the estimated total cost of completing the project is greater than \$25,000, prevailing wage rules apply per Minn. Stat. §§177.41 through 177.44. Consequently, the bid request must state the project is subject to prevailing wage (see Appendix J).

The grantee is responsible for the settlement and satisfaction of all contractual and administrative issues related to contracts entered into with vendors, contractors, or consultants. This includes disputes, claims, protests of award, source evaluation, or other matters of a contractual nature.

AVOIDING CONFLICTS OF INTEREST

Grantees shall avoid real or apparent organizational conflicts of interest and non-competitive practices among professional vendors, contractors, consultants, and grant writers with procurement supported by state funds.

To ensure a fair and unbiased process and eliminate unfair competitive advantage, vendors, contractors, consultants, and grant writers that develop or draft grant applications or requests for proposals shall be excluded from competing in the procurement process.

Board members of the applicant organization cannot serve as consultants unless appropriate conflict of interest procedures are followed, documented and approved by the Grants Office prior to starting the procurement process.

Seeking guidance from a professional, requesting a quote, etc is acceptable and does not violate conflict of interest.

PRE-EXISTING CONTRACTS

When a grantee enters into a service-type contact in which the project is phased, the grantee may If continuation of work is needed on phased projects, the applicant organization must demonstrate a continuing relationship with the contractor, vendor, or consultant through both contract and amendments that do not exceed five (5) years. The original contract must not exceed two (2) years and must have been solicited and secured in accordance with procurement standards as stated above. The vendor, contractor, or consultant must have been employed by the applicant organization as an independent contractor without a break in service.

To request pre-existing contract that satisfies the procurement requirement, the following needs to be submitted with the application:

- Description of need for continuation of work in the Project Personnel section,
- Explain the procurement process utilized and how it followed the dollar threshold above, and
- Upload copies of contract(s) to the Request Documents section.

The Grants Office will review and determine if a pre-existing contract can be allowed.

RECORD KEEPING

Support documentation of the procurement process utilized to contract services must be maintained by the grantee and are subject to examination by Minnesota Historical Society, its designated representatives, or any applicable agency of the State of Minnesota for a minimum of six years from approval date of the Final Report.

ADDITIONAL GUIDANCE FOR PROCUREMENT PROCESS:

FORMAL NOTICE AND BIDDING PROCESS

The minimum elements of a formal notice and bidding process are:

1. Preparation of a Request for Proposal (RFP)
RFP is a solicitation document issued by the grantee to prospective contractors, vendors, or consultants. The RFP will outline the bidding process and contract terms, and provides guidance on how the bid should be formatted and presented.
2. Public Notice: Advertising the Request for Proposal (RFP)
This is a public announcement that public funds will be spent for a specific purpose and invites interested parties to submit proposals. Public notice may include, but is not limited to any of the following:
 - Published notice of the solicitation in publications, such as newspapers or professional or trade journals
 - Posting on a **municipality's or organization's website**
 - Posting with a Builder Exchange (if a construction project)After placing the public notice, the organization may also direct mail informal solicitations to vendors whom they believe are capable and available to respond.
3. Bid proposal selection
Create a list of what criteria will be used to select the winning proposal. Decide who should be involved in selecting the bid proposal. Enter a contract with the selected vendor, consultant, or contractor.

APPENDIX J

PREVAILING WAGE

Minnesota's prevailing wage law ([Minnesota Statutes 177.41 through 177.44](#)) requires employees working on state-funded construction projects or other public works projects covered by law are paid wage-rates comparable to wages paid for similar work in the area where the project is located. The prevailing wage includes the employer's cost of benefits. Any construction project funded in whole or in part by state funds must abide by prevailing wage law.

To ensure proper labor classification and compensation, it is recommended that applicants complete and submit a Classification Clarification Request form to the Minnesota Department of Labor and Industry. This form can be found at http://www.doli.state.mn.us/LS/Pdf/pw_classclarificationrequest.pdf. Upload the Minnesota Department of Labor and Industry response with the application.

Labor Standards--Prevailing wage and contracting agencies. (n.d.). Retrieved from <http://www.doli.state.mn.us/LS/PrevWageCA.asp>

It is in the public interest that public buildings and other public works be constructed and maintained by the best means and highest quality of labor reasonably available and that people working on public works be compensated according to the real value of the services they perform. It is, therefore, the policy of this state that wages of laborers, workers and mechanics on projects financed in whole or part by state funds should be comparable to wages paid for similar work in the community as a whole.

Contract requirements

- The bid proposal and contract must state the project is subject to prevailing wage.
- The contract must specifically state the prevailing wage rates, prevailing hours of labor and hourly basic rates of pay.
- The contract must also provide that the contracting agency shall demand and the contractor and subcontractor shall furnish to the contracting agency, copies of any or all payrolls not more than 14 days after the end of each pay period.–[Minnesota Department of Labor and Industry certified payroll form](#)

Applicability

This section applies to a contract or work under a contract, under which:

1. only one trade or occupation is required to complete it and the project is greater than \$2,500;
or

2. the estimated total cost of completing the project is greater than \$25,000.

Prevailing wage contract clause (Effective July 1, 2009)

The following language has been developed in compliance with Minnesota Statutes 177.43, subd. 3, and is required to be included in all contracts subject to Minnesota Statutes 177.41 to 177.44.

Pursuant to Minnesota Statutes 177.41 to 177.44 and corresponding Minnesota Rules 5200.1000 to 5200.1120, this contract is subject to the prevailing wages as established by the Minnesota Department of Labor and Industry. Specifically, all contractors and subcontractors must pay all laborers and mechanics the established prevailing wages for work performed under the contract. Failure to comply with the aforementioned may result in civil or criminal penalties.

For more information, contact Minnesota Department of Labor and Industry at (651) 284-5091 or dli.prevwage@state.mn.us

Version 5.1

Links to external documents updated.