

**SUB-RECIPIENT FUNDING AGREEMENT BETWEEN  
CITY OF DULUTH AND  
NEW BURNHAM, LLC  
FOR THE STATEWIDE HISTORIC AND  
CULTURAL HERITAGE GRANT**

THIS AGREEMENT, effective as of the date of attestation threat by the City Clerk (the “Effective Date”), is made by and between the CITY OF DULUTH, a municipal corporation created and existing under the laws of the State of Minnesota, (the “City”) and NEW BURNHAM, LLC, a Minnesota limited liability company, (the “Sub-recipient”).

WHEREAS, the City, in cooperation with the Sub-recipient, applied for a Statewide Historical and Cultural Heritage grant from the Minnesota Historical Society (hereinafter defined as the “Society”), to support redevelopment activities at the Historic Saint Louis County Jail Project located at 521 W 2nd Street (hereinafter defined as the “Project”); and

WHEREAS, the City received a grant from the Society in the amount of \$240,000 (hereinafter defined as the “Grant”) to be utilized to support removal of existing non-historic glass block windows and their replacement with windows consistent with the historic design of the building; and

WHEREAS, under the Grant terms and conditions, the state share of the award is \$240,000 (hereinafter referred to as the “Grant Funds”) and the local match is \$118,000 (hereinafter referred to as the “Local Match”); and

WHEREAS, the Sub-recipient desires to utilize the Grant Funds to replace historic windows and will provide the required Local Match funds in the amount of \$118,000; and

WHEREAS, the City is willing to sub-grant the Grant Funds to Sub-recipient for the purpose of implementing the Project, subject to Sub-recipient’s willingness to perform City’s obligations under the Grant and to otherwise perform Sub-recipient’s obligations under this Agreement.

NOW, THEREFORE, in consideration for the mutual benefits contained herein, the parties hereto agree as follows:

1. DEFINITIONS

- a. Application: shall mean the City’s Application to the Society for Grand Funds on behalf of the Project dated September 8, 2021.

- b. Bid Documents: shall mean the bid documents, including the Plans, related to the public bidding of the Project which are part of Bid No. 21-AA31 on file in the office of the City Purchasing Agent.
- c. Building: shall mean the former St. Louis County Jail building and Annex thereto located on the property at 521 West 2<sup>nd</sup> Street in Duluth, Minnesota.
- d. Director: shall mean the Director of the City's Department of Planning and Economic Development or their written designee.
- e. Grant: shall mean the grant agreement for Minnesota Historical and Cultural Heritage funds between the City and the Society bearing MNHS Grant No. 2107-26213.
- f. Grant Funds: shall mean the funds in the amount of up to Two Hundred Forty Thousand Dollars (\$240,000) granted to City by Society for support of the Project as provided for in the Grant.
- g. Plans: shall mean the plans and specifications included in the Bid Documents.
- h. Project: shall mean the removal of the glass block window infill from the window openings in the Building and the fabrication and replacement thereof with windows units as set forth in the Plans.
- i. Property: shall mean the property in St. Louis County, Minnesota legally described on Exhibit A attached hereto and made part hereof.
- j. Society: shall mean the Minnesota Historical Society

## 2. GRANT AGREEMENT

- a. Sub-Recipient Bound. Sub-recipient agrees to the extent that the Grant imposes any requirements or obligations on the design or construction of the Project or upon the availability of Grant Funds to reimburse either the City or Sub recipient for any portion of the costs of the Project, Sub-recipient agrees that it shall be bound by the terms, conditions and limitations contained in the Grant Agreement.
- b. Sub-Recipient Cooperation. Sub-recipient hereby commits that it will cooperate fully with City in assisting the City to meet all of its obligations under the Grant to the extent that it can, including but not limited to abiding all of the requirements and obligations imposed on City pursuant to the Grant and providing all information and documentation required by the Society under the Grant in order to demonstrate compliance with the requirements of the Grant and access to the Grant Funds.

## 3. SUB-GRANT

Subject to the terms and conditions of this Agreement, City hereby agrees to sub-grant to Sub-recipient the Grant Funds up to the full amount thereof to reimburse Sub-recipient for a portion of its cost of the Project.

#### 4. PROJECT IMPLEMENTATION

City, on behalf of Sub-recipient, has competitively bid the Project pursuant to Bid No. 21-AA31 on file in the office of the City Purchasing Agent, and, pursuant thereto, contractor has selected a contractor to implement the Project. As soon as reasonably practical after the effective date of this Agreement, Sub-recipient shall have caused the selected contractor to commence implementation of the Project in accordance with the Plans and shall cause completion of the Project in accordance therewith as expeditiously as reasonably possible. Upon completion of construction of the Project, Sub-recipient will give formal notice to the Director thereof that the Project has been construction in complete accordance with the Agreement and the Plans. Upon receiving such notice/certification, the Director will inspect the Project. If the Project is in conformance with applicable requirements, the Director will issue a Certificate of Completion certifying that the Project is complete.

#### 5. SUB-RECIPIENT REIMBURSEMENT

City agrees that Sub-recipient may request that the City reimburse it for a portion of the costs incurred by it in the implementation of the Project in accordance with the provisions of Sections IV and V of the Grant, up to the amounts of the costs incurred by Sub-recipient as of the time of the request. Such request shall be accompanied by such documentation as is necessary to demonstrate compliance with the requirements of the Grant and this Agreement and shall also be accompanied by such other documentation as shall be reasonably requested by the City Finance Director which may include but shall not be limited to a certification thereof by a licensed design professional providing services for the design and implementation of the Project. Upon receipt of such a request and documentation, the Director shall cause Sub-recipient to be reimbursed for Sixty-seven (67%) Percent of such documented costs less a retainage of Five (5%) Percent of costs in lieu of final completion of the Project. Upon receipt of such a request certifying that the Project is completed accompanied by such documentation and a certification by a licensed design professional providing services for the design and implementation of the Project that the Project is in fact completed in accordance with said Section IV and V of the Grant, the Director may release final payment therefore and any retainage held by City. Provided, however, that City shall not be required to make any reimbursement payment to Sub-recipient unless and until the City has received Grant Funds from Society to make any such payment.

#### 6. SPECIAL SUB-GRANT CONDITIONS

In addition to the other terms and conditions of this Agreement and the conditions of the Grant, the following conditions shall apply to the Sub-grant to Sub-recipient hereunder:

- a. Sub-recipient agrees to perform all work in accordance with the provisions of the Minnesota Historical and Cultural Heritage Grants Manual, attached hereto as Exhibit B.
- b. Sub-recipient agrees to complete the project in accordance with approved Application and scope of work form included in the Grant.
- c. Sub-recipient agrees to perform all work in conformance to the Secretary of the Interior's Standards for the Treatment of Historic Properties.
- d. Sub-recipient will only submit project expenses approved by the project budget.
- e. Sub-recipient agrees this Project will be administered and conducted in accordance with the following:
  - i. Minn. Stat. 129.17 for Arts and Cultural Heritage Fund
  - ii. Minn. Stat. 16B.98 for Grants Management
  - iii. Secretary of Interior's Standards for Archaeology and Historic Preservation
  - iv. History and Architecture Survey Manual (June 2017)
  - v. SHPO Manual for Archeological Projects in Minnesota (July 2005)
  - vi. Minn. Stat. Chap. 177.41-44 regarding prevailing wage rates and contracts corresponding Rules 5200.1000 to 5200.1120
- f. Sub-recipient agrees and commits to maintain the Project and the Building in a first-class manner consistent with the requirements therefore of the Society and the Grant for a period of not less than Ten (10) years after completion of the project.

#### 7. REDUCTION OF GRANT AMOUNT

Notwithstanding anything to the contrary, the Sub-recipient understands and agrees that any reduction or termination of the Grant Funds may result in a like reduction or termination of the Sub-grant hereunder, and that any material change in the timeline or scope of the project must be approved in writing by the City and Minnesota Historical Society.

#### 8. DEFAULTS AND REMEDIES

The Sub-recipient must comply with all requirements of the Grant applicable to the City and to the requirements of this Agreement. Sub-recipient's default will constitute noncompliance with this Agreement. If the City finds that there has been a failure to comply with the provisions of this Agreement or that of the Grant, the City may Declare Sub-recipient to be in default of this Agreement and may terminate this Agreement, may refuse to disburse additional funds, may require the return of all or part of the funds already disbursed, may seek equitable relief to enforce the terms of this Agreement or any combination thereof; the exercise of any of the rights hereinbefore referenced shall not be exclusive to the exercise of any other such right.

#### 9. TIME OF PERFORMANCE

Sub-recipient shall complete the project on or before July 1, 2023. The City is not obligated to reimburse Subrecipient for any Project costs incurred or submitted to City after that date or any earlier termination, whichever occurs first. Consistent with the payment schedule and project milestones established in the Award Document, Sub-recipient agrees to the following:

- a. Sub-recipient will not commence with project activities or incur and costs until the City of Duluth has obtained a fully executed copy of the grant agreement with the Minnesota Historical Society and notification to proceed with project work.
- b. Sub-recipient agrees to submit window shop drawings to the City to submit to the Historical Society for approval prior to any material purchases or proceeding with any more.
- c. Sub-recipient agrees to contact the City at least 30 days prior to when at least 50% of project work has been completed and will provide site access for Historical Society staff to review the project.

#### 10. CONDITIONS PRECEDENT TO DISBURSEMENT

The following requirements are conditions precedent to the City's disbursement of any of the Award Fund proceeds.

- a. The Sub-recipient must have provided the City with evidence of compliance with the insurance requirements of Section 8 herein.
- b. The Sub-recipient must have provided to the City such evidence of compliance with all of the provisions of this Agreement as the City may reasonably request.
- c. The Sub-recipient must provide the City with evidence that local matching funds in the amount of \$118,000 have been committed to the project.
- d. The Sub-recipient agrees to post a sign in a prominent location while restoration/preservation work is in progress substantially incorporating the following acknowledgement:

"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."

#### 11. NOTICES

Communications and details concerning this Agreement must be directed to the following Agreement representatives:

City of Duluth Planning & Development Division  
Attn: Executive Director  
411 W 1<sup>st</sup> Street, Room 160  
Duluth, MN 55802

New Burnham, LLC  
Attn: Meghan Elliot  
575 SE 9<sup>th</sup> Street, Suite 215  
Minneapolis, MN 55414

## 12. GENERAL CONDITIONS

The Sub-recipient agrees to comply with all applicable federal, state and local laws and regulations governing the project and funds provided under this Agreement.

## 13. INDEPENDENT CONTRACTOR

Nothing contained in this Agreement is intended to, or may be construed in any manner, as creating or establishing a relationship of employer/employee between the parties. The Sub-recipient will at all times remain an independent contractor with respect to the services to be performed under this Agreement. The City is exempt from payment of all unemployment compensation, FICA, retirement, life and/or medical insurance and workers' compensation insurance because the Sub-recipient is an independent contractor.

## 14. LIABILITY

Each party hereto agrees that it will be solely liable for any liability arising out of acts or omission of itself or its officers, agents, employees or subcontractors in the performance of its respective obligations under this Agreement. Nothing herein shall be deemed to create any liability on behalf of either party not otherwise existing as to such party under the provision of the Minnesota Municipality Limitation of Liability Statute, Minnesota Statute Section 466 et. Seq., or to extend the amount of liability of either party to amounts in excess of that specified in said Chapter.

## 15. INDEMNIFICATION

Sub-recipient will indemnify, defend, and hold harmless the City, its officers, agents, and employees, from any claims or causes of action, including attorney's fees incurred by Sub-recipient arising from the performance of this Agreement by Sub-recipient arising from the performance of this Agreement by Sub-recipient, or its officers, agents or employees.

## 16. WORKERS COMPENSATION

The Sub-recipient must provide workers' compensation insurance coverage for all employees involved in the performance of this Agreement.

## 17. INSURANCE

Sub-recipient shall procure and maintain continuously in force Public Liability Insurance written on an "occurrence" basis under a Comprehensive General Liability Form in limits

of not less than \$1,500,000.00 aggregate per occurrence for personal bodily injury and death, and limits of \$1,500,000.00 for damage liability. If person limits are specified, they shall be for not less than \$1,500,000.00 per person and be for the same coverages. The City shall be named as an additional insured therein. Insurance shall cover:

- a. Public liability.
- b. Independent contractors--protective contingent liability.
- c. Personal injury
- d. Contractual liability converting indemnity obligations set forth herein.

#### 18. ADMINISTRATIVE REQUIREMENTS

The Sub-recipient agrees to maintain the necessary source documentation and enforce sufficient internal controls as dictated by generally accepted accounting practices to properly account for expenses incurred under this Agreement.

#### 19. RECORDS

- a. Retention. The Sub-recipient must retain all records pertinent to expenditures incurred under this Agreement until conclusion of the latest of (a) six years after Sub-recipient has completed the project.
- b. Program; (b) six years after the Sub-recipient has expended all proceeds of the Award Fund; or (c) six years after the resolution of all audit findings. Records for nonexpendable property acquired with funds under this Agreement must be retained for six years after final disposition of such property. Records for any displaced person must be kept for six years after he/she has received final payment.
- c. Inspections. All Sub-recipient records with respect to any matters covered by this Agreement must be made available to the City, Minnesota Historical Society or their designees at any time during normal business hours, as often as the City or Minnesota Historical Society deems necessary, to audit, examine, and make excerpts or transcripts of all relevant data.
- d. Data Practices Act. Sub-recipient must comply with the Minnesota Government Data Practices Act, Chapter 13.
- e. Close-Outs. The Sub-recipient's obligation to the City does not end until all closeout requirements are completed.
- f. Payments. The City will pay to the Sub-recipient funds available under this Agreement based upon information submitted by the Sub-recipient and consistent with any approved budget and City policy concerning payments. Payments may be adjusted at the option of the City in accordance with advance funds and program income balances available in Sub-recipient accounts.

## 20. MISCELLANEOUS

- a. Assignability. The Sub-recipient may not assign or transfer any interest in this Agreement (whether by assignment or novation) without the prior written consent of the City; provided, however, that claims for money due or to become due to the Sub-recipient from the City under this Agreement may be assigned to a bank, trust company, or other financial institution without such approval. Notice of any such assignment or transfer must be furnished promptly to the City.
- b. Copyright. If this Agreement results in any copyrightable material, the author is free to copyright the work, but the City and/or Minnesota Historical Society reserves the right to royalty-free, nonexclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, the work for government purposes.

IN WITNESS WHEREOF, the parties have caused this Agreement to be duly executed on the date(s) indicated below intended to be bound thereby.

CITY OF DULUTH

By: \_\_\_\_\_

Its Mayor

Date:

Attest: \_\_\_\_\_

City Clerk

Date:

Countersigned: \_\_\_\_\_

City Auditor

Date:

Approved as to form: \_\_\_\_\_

City Attorney

Date:



NEW BURHNAM, LLC

By: \_\_\_\_\_

Its: \_\_\_\_\_

Date:

This instrument was drafted by:

Robert Asleson

Attorney for the Duluth Economic

Development Authority

410 City Hall

Duluth, MN 55802

(218) 730-5490

## **EXHIBIT A – LEGAL DESCRIPTION OF PROPERTY**

That real property located in St. Louis County, Minnesota and legally described as follows:

That real property legally described as follows:

THAT PART OF ODD NUMBERED LOTS 85 THRU 95 BLK 28 LYING NLY OF R/W OF W 2ND STREET & ELY OF R/W OF MESABA AVE BEG AT MOST SLY COR OF LOT 95 THENCE ALONG SWLY LINE OF LOT 95 ON AN ASSIGNED BEARING OF N48DEG20'33"W 14.76 FT TO ELY R/W LINE OF MESABA AVE THENCE N01 DEG40'39"W ALONG SAID ELY R/W 103.03 FT THENCE N48DEG20'42"W ALONG SAID ELY R/W 9.51 FT THENCE N41 DEG38'24"E ALONG SAID ELY R/W 55 FT THENCE N19DEG19'42"W ALONG SAID ELY R/W 51.47 FT TO SEL Y R/W LINE OF ALLEY IN BLK 28 THENCE N41 DEG38'24"E ALONG SAID SEL Y R/W 79 FT THENCE S48DEG21'01"E 41.38 FT THENCE N47DEG40'58"E 59.25 FT THENCE S48DEG 21'07"E 12.62 FT TO NLY R/W OF W 2ND STREET THENCE 30.96 FT ALONG SAID NLY R/W ALONG A NON-TANGENTIAL CURVE CONCAVE E HAVING A RADIUS OF 259.73 FT A CENTRAL ANGLE OF 06DEG 49'41" THE CHORD OF WHICH BEARS S04DEG18'34"W THENCE S00DEG53'43"W ALONG SAID NLY R/W 43.58 FT THENCE 63.82 FT ALONG SAID NLY R/W ALONG A NON-TANGENTIAL CURVE CONCAVE W HAVING A RADIUS OF 183.62 FT A CENTRAL ANGLE OF 19DEG54'54" THE CHORD OF WHICH BEARS S10DEG51'10"W THENCE S41 DEG38'13"W 180.69 FT TO PT OF BEG, DULUTH PROPER THIRD DIVISION, property tax parcel number 010-1250-00330

# Exhibit B - Grants Manual

## Minnesota Historical and Cultural Heritage Grants

**MANUAL FOR FISCAL YEARS 2022 - 2023**

**VERSION 7.0**

EFFECTIVE DATE: JULY 1, 2021



FROM THE CONDITION ASSESSMENT REPORT, GUST AKERLUND PHOTOGRAPHY STUDIO, CITY OF COKATO



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# GENERAL INFORMATION

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## INTRODUCTION

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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 (MNHS) 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.

This manual covers the rules (federal, state, and MNHS requirements), projects (what type of work is covered by the grant funding), and processes (grant applications) involved in the MHCHG program as well as administrative policies required. For more information, see Appendix A.

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](mailto:grants@mnhs.org).

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## ELIGIBILITY

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This grant program has two basic 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.

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## ELIGIBLE APPLICANTS

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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, the applicant becomes the grantee (see Grantee Responsibilities)

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, the owner should apply for the grant.

The four groups of eligible applicants are:

- 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).
- Units of state or local government
- Federally recognized tribal organizations
- 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 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 religious institutions (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. According to IRS Publication 4573, any church acting as a central organization must possess 501(c)(3) status. Any church wishing to apply for Minnesota Historical and 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.
- Include a copy of the page in the official directory document (for example the *Official Catholic Directory*) listing the organization as a subordinate organization.

## 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, and school districts.

## FEDERALLY RECOGNIZED TRIBES:

Any of the 11 federally recognized tribes or their subunits in Minnesota are eligible applicants. See the [Minnesota Secretary of State](#) 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), defined as 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 USC 1001 et seq.] as amended.) Documentation of accreditation may be required.

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## ELIGIBLE PROJECTS

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Projects need to focus on preserving MN history.

Projects need a specific start and end date for activities resulting in a product.

Grantees generally have 12 months to complete project work. Therefore, the project must be ready to begin once the grant is awarded. This includes securing 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. The final product(s) of funded projects must be held by a Minnesota-based organization or institution and be available to the public to satisfy the requirement that all grant projects be available to Minnesotans in the future.

Eligible projects fall into two main project categories: history projects and historic preservation 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 email the Grants Office before applying.

## COOPERATIVE PROJECTS

Cooperative projects involve two or more participants working on activities to preserve significant historic and cultural resources. A cooperative project is appropriate when grant funds will be shared among qualifying participants or the Lead Participant does not own or have legal rights to the resource.

## QUALIFYING FOR A COOPERATIVE PROJECT

- Although one of the participants assumes a lead role in managing the project, all participants must contribute in substantive ways 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.
- All participants must abide by the grant program requirements.
- The grant applicant is the Lead Participant 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 Authorized Officer must be from the Lead Participant's organization.

## REQUIRED DOCUMENTATION AND APPLICATION ATTACHMENTS

- A formal, written Memorandum of Understanding (MOU) or equivalent that states the contributions and obligations of each participant must be submitted with the application. The MOU provides documentation that the participants have agreed to coordinate the responsibility to carry out the project activities, address public access, and will abide by grant requirements. The MOU at a minimum should be in effect for the life of the grant or letter of agreement (whichever is longer).
- For construction, installation, or implementation projects: a demonstration of legal control of the real property or collection item is required. The application must include a deed, valid lease, or legal equivalent.

## 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 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 participant(s), state that.

## RESTRICTIONS FOR A COOPERATIVE PROJECT

- Vendors, consultants, fiscal agents (sponsors), and contractors are ineligible participants. Cooperative projects can not be used to supersede the required procurement (Appendix I).
- Individuals, for-profit corporations and organizations, and federal agencies are inappropriate participants.
- The Minnesota Historical and Cultural Heritage structured grant application cannot be used to apply for a cooperative project.

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## INELIGIBLE APPLICANTS

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

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, construction documents) 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, construction documents 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, a project where the goal is to repair the wood siding on a barn is broken into four segments, one for each side, in order to fit the project into the small grant round is not eligible. In this case, the applicant should apply for the full project through a large grant round. In another case, if the applicant does not explain the project fully to avoid a full project review, the application would be suspected of segmentation and would not be eligible.

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## TWO FUNDING TIERS

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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 and Cultural Heritage Grants program. This provides an initial screening to ensure your organization and the proposed project are eligible to receive a grant. Prior grant applications and past grant awards do not substitute for a pre-application.

***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 AND STRUCTURED GRANTS (\$10,000 OR LESS)

The small grant deadlines are 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 and Cultural Heritage Grants application form.

## LARGE GRANTS (OVER \$10,000)

Large grants are more competitive than small grants and undergo an even more 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 AND MATCH

A funding match is not required at any level in the Minnesota Historical and Cultural Heritage Grants program. However, matching funds are always encouraged and are listed as an additional criterion for evaluating grant applications. A demonstrated match is one indicator of community buy-in and commitment to a project, and 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 a match can be a tiebreaker in particularly competitive grants rounds. State funds cannot be used as a match to grant funds.

***Recommendation:*** *If your organization plans to conduct a fundraiser as a 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 and Cultural Heritage Grants program offers applicants a way to bridge the gap between fundraising achieved to date and actual project budget.*

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## PROJECT EXPENSES

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### WHAT IS FUNDED

The Constitutional Amendment and Legislative Appropriation language specifically state that grant funds may NOT be used to substitute for traditional funding sources your organization has received in the past. The appropriation language also requires the 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 and Cultural Heritage Grants program. Costs not listed are subject to approval during the application process.

Eligible costs include, but are not limited to:

- Projects 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 (2019 rates). Out-of-state travel must be justified in the application.
- Promotion of the grant-funded project during the grant period.

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:

- Projects 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
- General maintenance expenses (e.g., painting, woodwork refinishing, or other small-scale upkeep work of an aesthetic nature)
- Salary and benefits for 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 mitigation or compliance 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 cannot pay retainers to hold consultants until a future phase)
- Salvage oral history (e.g. interviewing people for memories not related to a specific topic)
- 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
- Contingency that is not directly connected to an eligible line item.

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## APPLYING FOR A GRANT

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All the Grants Office grant programs are accessed and managed through an [online grants portal system](http://mnhs.fluxx.io) 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 grants portal.

Instructions for applications are in the grants portal.

## PUBLIC INFORMATION

The Minnesota Historical Society (MNHS) is a non-profit cultural heritage institution not subject to the Minnesota Government Data Practices Act (Minnesota Statutes, Ch. 13). As set forth in the [Information Policy of the Minnesota Historical Society](#), the presumption is that most information held by MNHS is and will be available to the public. After the Minnesota Historical Society has either approved or denied a grant program application, the application record, which includes attachments, is accessible to the public upon request except for trade secret data as defined and classified in Minnesota Statute Section 13.37. A fully executed grant agreement, approved reports, and products are available to the public. A trade secret or location of sensitive historical resources will be redacted.

## REQUESTING AN ACCOUNT

To submit a grant application, you must request an account through the online [grants portal](#). The Grants Office will review your request within 2 business days and reply to you via email.

## PROJECTS INVOLVING CULTURALLY SENSITIVE OBJECTS

Many museums have examples of “culturally sensitive objects” in their collections. If a proposed project involves 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 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 and Cultural Heritage Grants, but in such cases 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. 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 designated as 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 (11:59 p.m.) on the deadline date. Applicants are strongly encouraged to include their required attachments with the large grant 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, contact the [grants office](#), as you may need to delay application until enough organizational history has accumulated.

#### 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.



## 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. Individual phases are small standalone projects. They are sequential steps that by the final phase will result in a larger complete 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, which 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 phased project 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, clearly articulate the phasing of the 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 more easily manage the project, verify that the organization/project is ready for the next phase, and ensure that the final product is successful.

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

**Note:** *If a portion of a multiphase 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 or additional source. Serial applications for artificial phasing are inappropriate.*

## COMBINING GRANT FUNDING WITH OTHER FINANCIAL SOURCES

Providing matching funding 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. In 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 is solely to meet the requirements of the Grants Office. It 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 commingling 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 and collection must be of exceptional significance to the applicant's mission. One or more of the following scenarios must be true 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 that objects would be exposed to (such as fire, flood, or building collapse)
- objects will no longer be publicly accessible
- 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 and 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.
- The applicant must 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).
- The applicant must demonstrate the ability to immediately stabilize the resource (if needed).
- The applicant must describe the long-term plans for conservation, preservation, and/or interpretation.
- The applicant must have a purchase agreement with the seller disclosing terms to submit with the application.

For historic property acquisitions:

- The applicant must explore the possibility 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 that have previously received 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 resource must be developed.

For acquisition of museum collections:

- The applicant must demonstrate how the object(s) meet the 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 deaccessioning.
- 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 resource must be developed.

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## REVIEW PROCESS AND CRITERIA

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

### REVIEW PROCESS

**Small/Structured Grants:** Small/Structured Grants: Following the deadline, applications are reviewed by one or more MNHS staff members with expertise related to the project category and administrative policy. Those that are ready will be recommended to the Society's Executive Council for action. Those requiring revision or 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 eight weeks after the application deadline.

**Large Grants:** Once the deadline passes, pre-applications are reviewed by one or more MNHS 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 MNHS staff again by subject area experts. For grant applications requesting \$100,000 or greater, an additional peer review is conducted by a qualified professional unaffiliated with the 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 the Minnesota Historical Society's Executive Council for final action. Applicants are notified of the Executive Council decision in writing. In some cases, special conditions may be required on approved projects; the conditions will be outlined in the grant agreement. Once awarded, large grants are subject to increased fiscal oversight and ongoing monitoring by Grants Office staff.

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

***Please Note:*** Approval of an application by MNHS 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 Appendix F.

### **Grants 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
- Has a realistic budget
- Can be completed 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 (see glossary).
- Has a realistic budget
- Can be completed within the required time frame
- Produces measurable outcomes
- Describes the project's public benefit and access
- Is sustainable

### **Additional considerations by HRAC may include:**

- Applicant's demonstrated capacity to complete the project
- Significance of the resource
- Matches
- Pre-planning work completed
- Follow-through on 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 application
- Diversity and inclusion
- Community Letter of Support\*

\*A Community Letter of Support is recommended to help demonstrate local support from other groups or organizations if there is no cash match or there is a need to show a broader desire for the project.

In general, applicants in good standing regarding all previous Minnesota Historical Society grants 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).

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## DIVERSITY AND INCLUSION

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MNHS welcomes and serves all people of Minnesota, including displaced Indigenous communities. We reflect the diversity of those we serve and ensure that inclusive practices are embedded in all aspects of our work.

Diversity and inclusion as it applies to grant applications: In any application for a Large Round, identify how diverse populations are represented in the organization or benefit from the requested project, especially populations experiencing inequities and/or disparities. Diverse populations include: Racial and ethnic communities, including Native American, LGBTQI communities, people with disabilities and communities across Minnesota beyond the seven-county metropolitan area.

The Grants Office is not able to define group status and therefore encourage the applicant to explain how the requested project will represent or benefit particular communities.

While we are all facing difficult circumstances and our communities are dealing with emerging challenges, we have an important opportunity to build deep, meaningful relationships with each other...

-Avi Viswanathan, Inclusion & Community Engagement

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## GRANTEE'S RESPONSIBILITIES

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After a grant award has been approved, an 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 and end date, an approved project budget, and an 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 agreement 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](#), Grants Management Process.
- The grantee must agree to abide by the requirements of MS [129D.17](#), Arts and Cultural Heritage Fund.
- Changes to approved projects must be submitted 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 and Cultural Heritage Fund. Acknowledgment language is included in the grant agreement.
- The Legacy Logo, which can be downloaded in various formats [here](#), 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 and Cultural Heritage Fund should:
  - Display the Legacy Logo and/or the following acknowledgement on construction signs, printed, online, and other public materials:

**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.**

- Use the following acknowledgement for final products for implementation or pre-development projects:

**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.**

- 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.
- The grantee must agree to hold harmless the Minnesota Historical Society and the State of Minnesota for any action, complaint, discrimination proceeding, or litigation of any kind

whatsoever in conjunction with the funded project. Grantee 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 \$50,000 require a 5-year letter of agreement
  - Grants of \$50,001 or more require a 10-year letter of agreement
- For projects that include construction work, prevailing wage rules apply per MS [177.41](#) through [177.44](#). Consequently, bid requests must state that the project is subject to *prevailing wage*. These rules require that the wages of laborers and workers 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 long-lasting and of good quality. All work should be of the highest standards and exemplify good professionalism.
- Grantees must abide by the Office of Grants Management Policies. See Appendix A.
- 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.
- 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.
- Receiving a grant does not require the objects/subjects of your research to cooperate with you. You should do some due diligence with potential narrators and the subjects of research first.

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## GRANT CANCELLATION

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The 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

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## 1. ORAL HISTORY

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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 Project 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.
- 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 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 in winning a state sports title.
- 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 (e.g. interviewing older people only for their random memories)
- Migrating oral histories to modern formats: see the Digital Conversion and Reproduction category

## REQUIRED DOCUMENTATION AND APPLICATION ATTACHMENTS

In addition to Fiscal Review Requirements listed under Appendix B, 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

## 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 the potential for present and future use.
- Oral history projects must include the following documentation: 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 in the interview. These forms, as well as training in conducting an oral history interview, 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

- 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?
- Explain how the project will complement, but not duplicate, existing reference materials on the subject.
- For 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 planned for the project. This section should demonstrate knowledge of the appropriate primary and secondary sources.
- Explain how the selection of interviewees was or will be conducted. 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 interviews requires approximately eight hours of transcribing time.

### **Project Personnel**

- If a professional interviewer or transcriptionist will be hired, what qualifications will be required?
- 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 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.

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## 2. RESEARCH AND WRITING

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Historical research precedes the production of historical products like publications, exhibits, films, signage, and heritage tourism that 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 final product. 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 Interpretive Programs and Public Education and Publications grant categories. 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.

**Research Plan advice:** The foundation for good historical research begins with the development of a research plan. Research project applications need to include a research plan that describes what you are seeking to learn, which resources you plan to use in the research and where you plan to find them. A good research plan helps you keep a focus, plan your time, and limit the creep and sprawl that can happen with research.

If significant research has already been done, but you feel like you may need to do a small amount of additional research, use your Research Plan to describe what has already been done, which sources have been used and what you think the additional research will need to address.

### **Recommended advice on research plans:**

- Historical Research Method from Edith Cowan University, Australia (<https://ecu.au.libguides.com/historical-research-method>)

- Stages of a Historical Research Project from DoHistory, Harvard University  
([http://dohistory.org/on\\_your\\_own/toolkit/research.html](http://dohistory.org/on_your_own/toolkit/research.html))

**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 "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 were the significant; important questions investigated that contribute to the knowledge base? How did 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**

- [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

NOTE: Applicant organizations can use this category to pay for the writing of Encyclopedia-style entries on Minnesota History for websites or other venues.

Applicants may create entries themselves or hire a qualified writer/researcher to do the work for them. The applicant arranges the placement and publication of these entries with the interested publisher.

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

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

For those who want to contribute to [MNopedia](#), [contact the MNopedia staff](#).

## WHAT IS NOT FUNDED

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

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

## REQUIRED DOCUMENTATION AND APPLICATION ATTACHMENTS

In addition to Fiscal Review Requirements listed under Appendix B, the following documentation is required:

- Writing: two critical reviews (thoughtful analyses) of the historical quality of the proposed content by qualified, unbiased individuals. These are not required when research starts, but they are required for any implementation phase. (See Appendix E for a sample critical review letter)

## 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 reasonable honoraria for reviews 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. Be sure to show enough 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.
  - ❖ 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 for 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.

## **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 "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 must 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 help 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.
- Describe the final product to 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 permanently, and how the public will have continuing access to it:

## **Sustainability**

- Describe how the organization or others 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?

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## 3. INTERPRETIVE PROGRAMS AND PUBLIC EDUCATION

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Interpretive Programs and Public Education grants help make Minnesota history accessible through a variety of media, including digital technology. Interpretive Programs and 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.

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. Where research is an attempt to gather all relevant information, 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 found through the research but makes its own argument that furthers knowledge about a historical question.

Public Education offers an opportunity for the grantee to provide instruction or assistance with developing and promoting 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 the development of website and/or web capabilities, online indexes/databases of government records, city directories, cemetery records, and so on, 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 incorporates 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 reviewers 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 and Public Education must acknowledge that any publications or exhibits will 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 and 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](#)
- [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:

- [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:

- Audience analysis

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

#### Films:

- Subject research, archival footage research, writing and editing the script, 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).

#### Public Education:

- Hosting or planning a new Minnesota history–based conference, program, or workshop
- Public education kit/curriculum for a community, school, or organization
- Book purchases related to MN history, museum process or related subjects.

#### A/V Projects:

- Video or audio podcasts that include Minnesota history topics, historic tours, and oral histories

#### Web Development:

- Website and/or web capabilities to enhance Minnesota history
- Online indexes/databases of government records, city directories, cemetery records, etc.
- Mobile/web apps

#### Interactive Technology:

- Kiosks/touch screens
- Augmented reality technology
- Game-based learning development (video games, crowdsourcing games, etc.)

#### Heritage Tourism:

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

#### 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 novel access options (e.g., creating a display to interpret an inaccessible space).

## 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 or Regional 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 AND APPLICATION ATTACHMENTS

In addition to Fiscal Review Requirements listed under Appendix B, the following documentation is required:

- For implementation projects: two thoughtful analyses of the historical quality of proposed content (critical review. See Appendix E for a sample letter of 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 historical 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: [Website Strategy Worksheet](#) (See Appendix M for a sample Web Site Strategy Worksheet.)

## APPLICATION ADVICE: INTERPRETIVE PROGRAMS AND 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 or 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 number 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.

## **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 1 year, but not longer than 10 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 will you 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)?

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

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## 4. PUBLICATIONS

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Publication of research increases accessibility and makes information publicly available. 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 publication projects, applications must include an assurance that the publication will carry this 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 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.**

In addition, the application must include 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 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.

### APPLICABLE STANDARDS

- [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
- Nontraditional publications (talk to the Grants Office about what form that might take)

### REQUIRED ATTACHMENTS

In addition to Fiscal Review Requirements listed under Appendix B, the following documentation is required:

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

### 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 expenses, 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 (CIP) 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 specific 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 that the Legacy funding acknowledgment will be included on all publications.

**Note:** *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.*

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## 5. COLLECTIONS CARE AND MANAGEMENT

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This category supports projects that develop and manage objects for public access in museums, libraries, archives, and historic house collections. Many organizations preserve and interpret state and local history through the collection of objects, 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 gain control over and organize collections. Eligible organizations pursuing history projects that organize, develop, and manage objects, archives, and related materials should look at this category.

Without objects,  
museums would be vast  
and empty spaces  
attempting to tell a story  
without content to  
conceptualize a  
narrative.  
- Cassandra Cavness

### 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 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 and 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 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.

## ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

- 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
- Collections inventory and cataloging
- Creating MARC records
- Creating EAD finding aids
- Developing a records management program
- Archives policy development
- Purchase and/or installation of Collections Management Software or Archives Management Software
- Purchase and/or installation of Digital Asset Management Software relating to collections Migration of collections data
- Projects addressing new and evolving media such as born-digital records and photographs, databases, and social media
- Archaeological Collections Assessment

## 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.

## APPLICATION ADVICE: ARCHIVES, COLLECTIONS AND LIBRARIES

*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 archive:** 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 collections at the file or item level. While processing, selective re-folding 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 \(DACs\)](#).
- **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

WHAT IS AN ARCHIVE?  
An archive or archives is the non-current records of an organization or institution preserved because of their continuing value. Records can be on paper, film, compact discs, videocassettes, digital files, plastic, cloth...any format!  
-Austin History Center

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 archive 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 email 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.
- Describe how the work proposed meets the policies and goals set forth in your organization's official documents regarding care and management of your collections, such as your Collections or Archival Management Policy. You may upload a copy of your policy to your application for reference.

## **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.

## **Enduring Value**

- What product will be developed during this project (e.g., archives database)? 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.

## 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 (as 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.

## Enduring Value

- What product will be developed during this project? How/where will it be publicly available or lead to greater availability?
- **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.

## 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 the 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.

## Enduring Value

- What product will be developed during this project? How/where will it be publicly available or lead to greater availability?
- **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 for 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.

## APPLICATION ADVICE: COLLECTIONS SOFTWARE

*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**

- Collections Management Software or Archive Management Software (CMS): For this category describe the current CMS in use (paper, Excel spreadsheet, CMS software, etc.). 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). Provide documentation on the CMS software you will be using, how you chose it, and how it will be set up/installed. If the project involves transferring the database to the new software, describe the size of the data and the vendor hired to do the move. Contact Grants Office staff if you are unsure which standards you should follow.
- Digital Asset Management software (DAM): Explain how you will be using the DAM to catalog digital assets. Provide documentation on the CMS software you will be using, how you chose it, and how it will be set up/installed. Include a sustainability plan for all new records. If the project involves transferring the database to the new software, describe the size of the data and the vendor hired to do the move. Contact Grants Office staff if you are unsure which standards you should follow.
- Training: You may need to hire a consultant to train volunteers and staff at your organizations in the management of the new software.
- Computers and other hardware: 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.
- Internet Access: The purchase of equipment and installation for internet and wifi access media can be included if your need is well articulated and describes how the equipment is essential to this project.

## **Budget**

Include the total project cost from vendor/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.

## **Required documentation and application attachments:**

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

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

## **Need and Rationale**

Describe why the project is essential or needed now. What user needs does it address? What applicable professional collections or archives standards or guidelines will you use that have not already been mentioned?

## **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, or similar documentation.
- Explain how you will be better able to preserve what you hold in public trust for future generations to enjoy.
- 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 the CMS/DAM 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.

## APPLICATION ADVICE: ARCHAEOLOGICAL COLLECTIONS ASSESSMENT

*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:** Eligible organizations apply to conduct an archaeological collections assessment for better understanding the present state of their archaeological collections and to suggest what the proper

conditions, storage, and continued care should be. Organizations do this to evaluate, display, research, and promote their existing and future archaeological collections. This assessment is for organizations who find that their archaeological collections need separate attention from their standard collections. A qualified archaeologist or curator will be hired to complete the assessment and advise staff. Keeping in mind the needs of their existing collections and any limitations imposed by the historical society, the archaeologist or curator, the consultant will develop specific recommendations for immediate as well as long term stabilization, curation, documentation, and storage care; collection research potential; analytical lab tests which may enhance collection understanding; and estimated budgets for said projects. The intent of this grant is limited to the creation of a document that can assist in future planning rather than an extensive catalog of existing collections.

In preparation for the project, gather existing information on currently held archaeological collections already maintained by your organization including site reports, previous analysis, donation documentation, etc.

Depending upon collection size and available existing research, the vendor may need to spend significant time at your facility. Providing a usable space for the consultant's on-site work is a necessity. The consultant will conduct whatever research is necessary and, using the information gathered during these visits, develop the document and recommendations feasible for your organization.

**Need and Rationale:** Describe why the project is essential or needed now. Which user needs does it address? What applicable professional collections or archives standards or guidelines will you use that have not already been mentioned? Often, archaeological collections, especially Native American ones, are not readily understood by staff. Understanding the unique requirements for stabilization, storage, and potential display of archaeological items is a necessary step in this process.

**Budget:** Costs associated with this grant include, but are not limited to: Hiring a qualified consultant to perform a prehistoric and historic collections assessment. Include the total project cost from the consultant's letter of commitment to undertake the project.

**How were the above figures determined?** Consultants can already be selected. It is critical that the procurement (hiring) process meets the requirements of the grant program (see Appendix I).

**Work Plan and Time Table:** After you receive authorization to begin the grant project and the consultant has been hired, schedule a site visit. Once the vendor has met with staff and obtained existing collections and research information, the project should take no more than approximately 45 days.

**Project Personnel:** Indicate who will be working on the project. Qualifications include: federal and state legislation specifically related to Minnesota collections; Minnesota Office of the State Archaeologist curation facility requirements; objects processes including loan and deaccessioning/disposing of artifacts; care for typical items in Minnesota collections; special conservation issues; overall quantities and types of objects; general curation assessment; recommended future projects using collections; and a basic bibliography.

**Enduring Value;** How/where will the report be publicly available?

**Final product:** A final copy of the consultant's assessment report. (A draft of the report will be an intermediate product for the grants office).

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## 7. MUSEUM ENVIRONMENTS AND CONSERVATION

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Grants in this category are intended to preserve historic items through proper control of museum environments and conservation intervention. Museum environments include all the physical conditions that affect the long-term preservation of and access to collections. This includes heating and cooling systems; museum storage; lighting; security; and ADA compliant accessibility. Conservation projects include collections condition surveys, emergency preparedness, and conservation treatment.

Museum collections housed in historic structures should always take into consideration the preservation of both the collection and the structure. Measures which promote the preservation of either the historic structure or the collection, at the expense of the other, should not be considered. At all National Register listed buildings, construction work must be based on construction documents completed by a qualified historic architect.

### APPLICABLE STANDARDS

- [National Park Service: Museum Collections Environment](#)
- National Park Service: Museum Collections Environment and [Museum Collection Storage](#)
- HVAC projects should aim to achieve the [AIC Interim Guidelines](#) endorsed by the Association of Art Museum Directors
- All conservation surveys and treatments must comply with the [Code of Ethics and Guidelines for Practice of the American Institute for Conservation \(AIC\)](#)
- For projects requiring construction, the prevailing wage rule may apply. See Appendices I and 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.



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

### ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

- Environmental monitoring, including purchase and set up of environmental data-loggers or light meters, and creation of an environmental monitoring plan.
- Construction documents for HVAC upgrade (requires HVAC evaluation and recommendations, see 10. Structured: Evaluation of Building Mechanical (HVAC) Systems). At all National Register listed buildings, construction documents must be completed by a qualified historic architect
- HVAC installation using construction documents for HVAC upgrade (see 9A. HVAC Upgrade Requirements).
- Particulates (dust) and pollution control.
- Installing lighting controls and new fixtures (requires redesign evaluation and planning, see 11. Structured: Planning for Redesign of Museum Lighting).
- 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 (see. 9B Americans with Disabilities Act Compliance Requirements).
- Training to accommodate disabilities.
- Pest control and integrated pest management (IPM), including identification of the species, source of intrusion, and the affected collections items. Proposal must describe how the solution meets current accepted museum standards.
- Collections storage/rehousing, including the creation of a collections storage plan, and 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.
- Collections condition surveys, resulting in a report summarizing priorities for conservation treatment in a collection based on object condition.
- Conservation assessment of a collections item, resulting in a detailed condition report and/or treatment plan.
- Emergency preparedness and response, including risk assessments and mold mitigation of damaged collections. See also 12. Structured: Develop a Disaster Plan.
- An independent object (i.e. at the organization but not in the collection).

## WHAT IS NOT FUNDED

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

- Office furniture (except as required for ADA accessibility)
- Redecorating museum and archives interiors



## REQUIRED DOCUMENTATION AND APPLICATION ATTACHMENTS

In addition to Fiscal Review Requirements listed under Appendix B, 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
- 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.
- For HVAC installation/construction work at National Register properties: photos of all areas included in project scope, construction documents, and Grants Scope of Work form
- 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

## 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, 60° F +/-5, and 45° RH +/- 10 (winter) and 70° F +/-5, 55° RH +/- 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?
- Why is this project a priority right now? Has it been recommended in a long-range preservation plan or other planning document?

### Work Plan and Timetable

Describe the work involved, starting with the selection process for hiring a qualified contractor through to the final steps, such as commissioning of the environmental system.

## Project Personnel

Indicate who will be working on the project. Describe the 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.

## Enduring Value

- What product and resulting change will be developed because of this project? How/where will it be publicly available?
- 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.
- Final Product: Provide an electronic copy of the contractor's, consultant's, and/or vendor's reports.

## 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?
- How will you maintain newly installed equipment to ensure it remains in good condition?
- How will you pass on the information and procedures you have learned and established during this project to future custodians of this collection?

## 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?

## 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. 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 or lead to greater availability?
- Final product: Provide 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.

## **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.

## 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 the 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.

### Enduring Value

- How/where will the product be publicly available or lead to greater availability?
- Final product: Provide an 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.

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## 7A. HVAC UPGRADE REQUIREMENTS

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[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.



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

## REVIEW

HVAC construction documents (drawings and specifications) are to be peer reviewed before the 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.

## **SPECIAL REQUIREMENTS FOR NATIONAL REGISTER LISTED BUILDINGS**

- Construction documents must be completed by a qualified Historical Architect.
- Applications for construction **documents** must include photographs of a) the entire building and any areas of interest or concern. Applications for **construction work** must include photos of a) all areas included in project scope, b) a Photo Key, c) construction documents, and d) a Grants Scope of Work form.

## **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  $\pm 5^{\circ}$  F and  $\pm 10\%$  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 engineers and contractors should agree to guarantee that work will maintain the above parameters for 12 consecutive months.

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## **7B. AMERICANS WITH DISABILITIES ACT COMPLIANCE REQUIREMENTS**

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State and local government facilities and places of public accommodation must comply with the requirements of the Americans with Disabilities Act (ADA) in order to be readily accessible to and usable by individuals with disabilities. Projects supporting compliance with ADA require consultants to have detailed understanding of the law and construction projects must follow the 2015 Minnesota Accessibility Code. Since ADA projects 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.

Eligible projects include ramps, elevators, lifts, power-assisted doors, compliant furniture, accessible restrooms and other access improvements.

ADA projects should start with an overall evaluation of compliance with ADA, in order to prioritize work effectively. ADA assessments are often included in National Register listed building Conditions Assessments. Some simple ADA projects can apply for a design/build project. This means the project is small enough that the evaluating consultant 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 the ADA upgrades.



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

## REVIEW

ADA Construction documents (drawings and specifications) must be reviewed by the Grants Office based on compliance with the [2015 Minnesota Accessibility Code](#). Construction documents should illustrate construction work to achieve ADA accessibility.

## SPECIAL REQUIREMENTS FOR NATIONAL REGISTER LISTED BUILDINGS:

- Construction documents must be completed by a qualified Historical Architect.
- Applications for construction **documents** must include photographs of a) the entire building and any areas of interest or concern. Applications for **construction work** must include photos of a) all areas included in project scope, b) a Photo Key, c) construction documents, and d) a Grants Scope of Work form.

## DELIVERABLES (at project end)

Successful completion of a Legacy Grant–funded museum, library, or archives ADA project means that the completed project complies with the 2015 Minnesota Accessibility Code.

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## 8. STRUCTURED: GENERAL CONSERVATION ASSESSMENT AND LONG-RANGE PRESERVATION PLAN

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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.

These documents provide the MCHS with a "plan of attack" regarding the collection and historic building, we have a better understanding of what needs to happen to ensure the preservation of the collection of artifacts and historic buildings.  
-Grantee Comment

### ELIGIBLE STRUCTURED GRANT EXPENSES

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

- Hiring a qualified professional to write a general conservation assessment and 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 and 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 the 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. 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

**PRIORITY THREE: Improve methods and materials for 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 APPLICATION ADVICE: GENERAL CONSERVATION ASSESSMENT/LONG-RANGE PRESERVATION 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: Provide 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 in the appropriate field.

**Budget:** Include the total project cost from the 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 who will be working on the project, including their qualifications. 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 Fiscal Review Requirements listed under Appendix B, 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.

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## 9. STRUCTURED: EVALUATION OF BUILDING MECHANICAL (HVAC) SYSTEMS

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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 and experience with the requirements of 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 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 the selected (or preferred) consultant in the field 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 who will be working on the project and their qualifications. Vendors/consultants/contractors must already be selected. It is critical that the procurement (hiring) process meets the requirements of the grant program (see Appendix I).

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## 10. STRUCTURED: PLANNING FOR REDESIGN OF MUSEUM LIGHTING

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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; wayfinding, artifact work spaces, and storage have enough 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.

As one visitor remarked upon visiting the museum, "This looks more like a museum!"  
-Grantee Comment

### 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 collections or exhibit area

### 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 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 a lasting impact for your organization and be sure to fully discuss how improvements would be a lasting benefit for the collections and provide a legacy for Minnesotans. Final product: Attach an electronic copy of the consultant's report to the final report.

**Name of Lead or Contractor:** Fill in the name of your consultant in the field 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 who will be working on the project, including their qualifications. 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 Fiscal Review Requirements listed under Appendix B, 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 enough time to work with the consultant to customize the report to address the specific needs of your facility and your organization's mission.

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## 11. STRUCTURED: DEVELOP A DISASTER PLAN

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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.

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 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 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:** Attach an 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 who will be working on the project and their qualifications. Vendors/consultants/contractors must already be selected. It is critical that the procurement (hiring) process meets the requirements of the grant program (Appendix I).



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## 12. STRUCTURED: CREATE A DISASTER RESPONSE KIT

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The purpose of this structured grant is to create a disaster response kit: a collection of tools, equipment, and other materials that can be used in response to a collections emergency. Having a disaster response kit on hand in an emergency can have a significant impact on the organization's ability to salvage the collection. This is a follow-up to the structured grant: Develop a Disaster Plan. This grant is intended to support the start-up costs of establishing a disaster response kit and updating the organization's disaster plan with details about the kit. It cannot be used to fund regular upkeep and replacement of expired components.

*For Conservation Plan see: Structured: General Conservation Assessment and Long-Range Preservation Plan*

*For Disaster Plan see: Structured: Develop a Disaster Plan*

Minnesota is susceptible to natural disasters including tornados, flooding, fires, and winter storms. Other types of collections emergencies include leaks, mold outbreaks due to a period of extended high humidity, or vandalism. The contents of a disaster response kit should be specific to the needs of the organization and based on the collection type and an assessment of risks, all of which should be outlined in the organization's disaster plan. The contents of a disaster response kit should include the materials necessary to respond to an emergency situation, and to evacuate and perform salvage operations on the collection when the site is deemed safe. The kit should include a copy of the organization's disaster plan, blank incident forms and checklists such as those found [here](#) or in the organization's disaster plan, and an up-to-date inventory of the kit. A disaster response kit may be stored in a fixed location in a building, or it may be mobile and housed in backpacks or wheeled containers. The kit should be in a location that is easy to access in an emergency situation, but there should be enough barriers to access to ensure that it is only used in times of emergency, thereby ensuring that the kit will be completely intact when it is needed. The kit should be regularly inventoried and expired supplies replaced. Once the kit is established, the organization's disaster plan should be updated or an addendum attached including the location and inventory of the kit, and the schedule and responsibility for maintenance.

A disaster response kit may contain but is not limited to the following items:

- Storage; i.e. backpacks, wheeled crates, plastic bins
- Nametags
- Clipboard
- [Emergency Salvage Wheel](#) or other salvage guidelines
- Notepads
- Mechanical pencils, Sharpies, grease pencil, pens
- Tape measure
- Tie-on labels (paper or Tyvek)
- Temperature and relative humidity spot checker
- Flashlight with batteries
- Safety goggles, disposable apron, hard hat
- Hand sanitizer, disinfectant wipes
- Reusable respirators or N95 masks, dust

- |  |   |   |
|--|---|---|
| <ul style="list-style-type: none"> <li>• masks</li> <li>• First aid kit</li> <li>• Nitrile gloves, work gloves</li> <li>• Drinking water</li> <li>• 6-mil polyethylene sheeting</li> <li>• Garbage bags</li> <li>• Polyethylene zip-top bags</li> <li>• Duct tape</li> <li>• Caution tape</li> <li>• Cotton string, nylon monofilament, nylon or polypropylene rope, cable ties</li> <li>• Mop and bucket</li> </ul> | <ul style="list-style-type: none"> <li>• Plastic wash tubs and trays</li> <li>• Paper towels, white cotton rags, unprinted newspaper, white cotton terry cloth</li> <li>• Wax paper or freezer paper</li> <li>• Reemay, Mylar</li> <li>• Corrugated plastic board, screens</li> <li>• Utility knife and blades, scissors</li> <li>• Clothespins, plastic clips</li> <li>• Waterproof extension</li> </ul> | <ul style="list-style-type: none"> <li>• cord, power strip</li> <li>• Door wedges</li> <li>• Clean paint or dust brushes</li> <li>• Disposable camera</li> <li>• Hand tools i.e. wrench, screwdrivers, hatchet</li> <li>• Work lights and extra bulbs</li> <li>• Fire extinguisher</li> <li>• Headlamp with batteries</li> <li>• Walkie talkies</li> <li>• Wood blocks or similar for stacking boards and propping things off the ground</li> </ul> |
|--|---|---|

## ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with a disaster response kit include:

- acquire tools, equipment, and supplies needed to create the disaster response kit

## GETTING STARTED AND PUTTING IT ALL TOGETHER

*Before you apply for this project, your organization should have an up-to-date, completed disaster response plan.*

The project should begin with a review of the organization's disaster response plan. Consider the following questions:

- What materials in the collection are most at risk in an emergency situation?
- Based on the risk assessment in the disaster plan, which emergency situations are the most important to prepare for based on their potential impact or likelihood of occurrence?
- What quantity of supplies would be needed to fully respond to a small emergency, or to adequately respond to a larger emergency until more supplies may be purchased or shipped?

Prepare a budget by assessing the costs of supplies needed to establish a disaster response kit based on the answers to the above questions. Include a list of possible vendors that can supply these materials. The process used for open procurement (choosing a vendor) needs to be documented and kept in your files. Once you have created a list of possible vendors, complete the structured grant application form. See Appendix I for more information.

The project may be completed in less than a month. Based on the scale of the project and shipping times, this timeline may be expanded.

## STRUCTURED APPLICATION ADVICE: CREATE A DISASTER RESPONSE KIT

*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.** Why is there a need in the organization for a disaster response kit? If there are specific threats your disaster response kit will prepare for, mention them here. Describe the main points covered in your organization's disaster plan.

### **Final Product:**

1. Provide photos and documentation showing the materials and equipment purchased, and the location of the kit in your museum.
2. Provide an updated disaster plan/disaster plan addendum that describes the location and inventory of the disaster kit, and includes the schedule and responsibility for maintenance.

**Name of Lead or Contractor:** Fill in the name of your consultant and/or vendors in the field provided.

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

### **Required Documentation and Application Attachments:**

- A copy of the organization's disaster plan.

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*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.*

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## 13. DIGITAL CONVERSION & REPRODUCTION

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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 organization's needs, some may only want 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 for Newspapers:

Microfilm vendors working to **national standards** will produce microfilm of good quality and lasting value. That quality and value will be easier to meet by following these recommended practices:

- ANSI/AIIM MS23-2004, Standard Recommended Practice - Production, Inspection, and Quality Assurance of First-Generation, Silver Microforms of Documents
- ANSI/AIIM MS43-1998, Standard Recommended Practice - Operational Procedures - Inspection and Quality Control of Duplicate Microforms of Documents and From COM

## Additional microfilm recommendations for best long-term preservation and access:

- 35mm silver halide microfilm, 4 mil or greater thickness, non-perforated, on polyester base. Both master negatives and duplicate negatives must be silver-halide (silver-gelatin) film
- Continuous tone, 1-up, cine orientation (1A), with images centered on film
- Capture images on single pages instead of double page spreads
- Greyscale
- Minimum leader and trailer length of 3'
- Include a target with the title, dates on reel, and what organization is supplying the newspapers. (Example of a target is below)
- *See following page for Microfilm Target Example*
- Only 1 title per microfilm reel.
- When there is a multi-year gap, start a new microfilm reel.
- Microfilm date span has logical start and end point, such as January-December.
- Acid free storage box, with label showing place of publication, title, date span on microfilm reel.

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## MICROFILM BOX LABEL EXAMPLE

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### FORMAT

City
Newspaper Name
Range of Issue Dates
Your Organization Name

### SAMPLE FORMATTING

Sauk Rapids
SENTINEL
Jan 5, 1922 – Dec 28, 1922
Beuford Area Historical Society

## MICROFILM TARGET EXAMPLE

# Target Example

## Minnesota Historical Society

# START

## Le Sueur NEWS-HERALD

### January 6, 2016 – June 29, 2016

<b>Title:</b>  <b>Le Sueur</b>  <b>NEWS-HERALD</b>	<b>OCLC:</b> 20518792	<b>No. Expos.:</b> 470	<b>Format:</b> 1A: <u>X</u> 2B: _____
	<b>Resolution:</b> 300dpi	<b>Page Dimensions:</b>	
	Originals held by: MNHS: <u>X</u> Other: _____		
<b>Inclusive Dates:</b>	<u>Jan 6, 2016 - June 29, 2016</u>		
<b>Missing Issues:</b>  <b>Not printed:</b>	The Minnesota Historical Society has reproduced the material in this microfilm without any purpose of direct or indirect commercial advantage in order to preserve & secure it for private study, scholarship, and research.  The material reproduced may be protected by copyright law. Any person engaging in further reproduction of this material may be liable for infringement.		

**Note:** Depositing Master Microfilm with the Minnesota Historical Society

The Minnesota Historical Society (MNHS) collects and preserves Minnesota's newspapers on behalf of all Minnesotans. When microfilm is created through Cultural Heritage grants, MNHS *would appreciate* receiving the master negative microfilm to add to the Minnesota Newspaper Collection for long-term preservation in MNHS temperature controlled, dedicated microfilm

storage facilities. To ensure the longevity of the microfilm newspaper collection, MNHS can only accept microfilm that meets national standards.

### 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 (except student newspapers)

## Required Documentation & Application Attachments

- In addition to Fiscal Review Requirements listed under Appendix B, the following documentation is required: Phasing plan for multi-phase project proposals
- Provide a list of metadata fields to be collected, including Descriptive, Administrative and Technical metadata.
- [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).

## 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? Is it in 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.

Describe project personnel's experience 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: Provide 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 you will 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?

## 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 enough references to the appropriate ANSI and ISO standards to demonstrate that your project will conform.
- **Photograph reproduction (not common):** Fully describe your project, including procedures that you will follow for processing prints and negatives. Explain any new storage materials 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: Submit samples of metadata and a link to the online record in your final report form.
- 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.

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## 14. STRUCTURED: ACQUIRE PRIMARY RESOURCES ON MICROFILM

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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, DC; 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 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:** Provide 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 Fiscal Review Requirements listed under Appendix B, the following documentation is required:

- A copy of the completed detailed budget on the [Microfilm Budget Worksheet](#) (found in Appendix L) 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.

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## 15. STRUCTURED: ACQUIRE MICROFILM READER/PRINTER/SCANNER

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This structured grant is for a one-time purchase of a microfilm reader/printer/scanner. 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 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.

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 and Reproduction
- For microfilm purchases see: Structured Grant: Acquire Primary Resources on Microfilm
- For replacement or supplemental microfilm reader: use the long-form application to explain need and rationale.

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 applying through this grant must acquire machines capable of creating copies, either through printing on paper or to digital file, or both.

### 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.
- 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 the applicant need to purchase a computer or can an existing computer be used? For security reasons, the microfilm reader/printer/scanner must be separate from any computers that are used to manage collections and organizational information.
- The applicant organization purchases the machine (and if necessary the computer, monitor, and dedicated printer) using specifications provided by the microfilm vendor.
- Microfilm vendor installs the digital microfilm reader, connects it to the computer system and installs all necessary software.
- Microfilm vendors train 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. See *Appendix I* for more information. Once you have selected a vendor, complete the structured grant application form.

## STRUCTURED APPLICATION ADVICE: ACQUIRE MICROFILM READER/PRINTER/SCANNER

*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 to serve your patrons and the public.

***Technical issue** for a Microfilm Reader/Printer/Scanner—most models of microfilm reader/printer/scanners require a separate computer to control the equipment. Please address your plan for this separate computer.*

**Final Product:** Provide photos and documentation showing purchase and installation of microfilm reader/printer/scanner.

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

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

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## 16. STRUCTURED: HISTORICAL ORGANIZATION SELF-ASSESSMENT USING STEPS

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[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

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

- StEPs workbook
- 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)
- 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 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 in the field provided.

**Budget:** Include line items with the bid from the 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 Fiscal Review Requirements listed under Appendix B, 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.

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## 17. SCHOLARSHIP TO NATIONAL OR REGIONAL CONFERENCE HOSTED IN MINNESOTA

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This structured grant provides scholarships for organizations to send employees, board members, and volunteers to a national conference, seminar, forum, or symposium hosted in the state of Minnesota.

National and regional conferences hosted in the state of Minnesota provide an opportunity for representatives of an organization to learn best practices, network with colleagues from other states, and share the innovative, groundbreaking, professional work happening in Minnesota. As history and historic preservation enterprises use the power of history to improve, shape, and nurture their communities, it is important to maintain currency with national best practices by seeking continuing education through national conferences.

### ELIGIBLE STRUCTURED GRANT EXPENSES

Costs associated with this structured grant are:

- Tuition/registration fee to a national or regional conference hosted in Minnesota
- Travel within Minnesota by car, rail, bus, and other forms of mass transit
- Lodging within Minnesota during the conference
- Preset amounts for per diem (Breakfast=\$8; Lunch=\$10; Dinner=\$17) Meals not included with conference fee are allowable.
- Membership dues.

[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 making all necessary travel reservations and booking accommodations. Air travel, and personnel costs are ineligible expenses.

### GETTING STARTED AND PUTTING IT ALL TOGETHER

Organizations should apply for this structured grant at least 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 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 or regional 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:** Submit completed final reports.

**Budget:** Include a separate budget line item for the total cost of tuition/registration fee, transportation, lodging, food per diem, membership, and other costs as applicable for attending the conference.

**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. Provide the number of miles to and from the conference if including transportation cost. Provide the number of rooms, number of nights, and room rate if including lodging costs.

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## 18. STRUCTURED GRANT: MUSEUM SECURITY SURVEY

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Museums and archives are responsible for safeguarding and preserving their collections. They have the additional responsibility of protecting their visitors, employees, volunteers and vendors as well as the organization's facilities and assets. (See Appendix K for this form)

A security survey is a critical on-site examination of an organization's present security status to identify deficiencies or excesses, to determine protection needed, and to make recommendations to improve overall security. A survey is the basis for recommendations for future action.

This structured grant provides funding to conduct a security survey of the organization to determine what changes and improvements would be feasible and necessary to improve physical, personnel, and electronic security measures.

### **Purpose of the project:**

- The survey should be performed by a knowledgeable professional who understands the functions of a cultural property and can recognize problem areas with a reasonable amount of research. We recommend using a security professional that is a member of the [International Foundation of Cultural Property Professionals](#) (IFCPP).
- The survey should be performed by someone not affiliated with a vendor's products or services.
- A proper security survey needs to take a broad perspective on long-term and short-term protection needs.
- The results of a security survey are properly documented with sufficient detail to help justify the adjustment, expansion, or tailoring of an organization's security to meet the needs of its institution's mission.
- While the survey should be thorough and honest, the recommendations must be within the capability of the organization to accomplish within a reasonable time.

### **ELIGIBLE STRUCTURED GRANT EXPENSES**

Costs associated (under \$10,000) with this structured grant can include, but are not limited to:

- Hiring a qualified consultant to perform a security survey of the organization's physical, personnel, and electronic security measures and produce a report with recommendations.

### **GETTING STARTED AND PUTTING IT ALL TOGETHER**

This project (security survey) requires contracting with a qualified consultant who will assess the nature and condition of your organization's current security (physical, personnel, and electronic). It is not intended to be a "security analysis" that is a more in-depth study, including threat assessment, risk management, analysis of crime patterns, and fraud and internal theft. Rather it is a characterization of the general state of your security measures along with a review of your security 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 further information along with a comprehensive review of all your security related policies and procedures.

Based on observations from the site visit and discussions with you, your staff and board (if appropriate), your consultant will prepare a draft report containing recommendations on improving your security. The draft report 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 you may have before finalizing the report.

## STRUCTURED APPLICATION ADVICE: MUSEUM SECURITY SURVEY

### **Describe your organization and how the project fits within your**

**organization's goals:** If there are any known security problems or specific threats your security survey will address, mention them here.

**Final product:** Electronic copy of the consultant's security report and recommendation. The report should identify potential threats, risk analysis, determine which losses are most likely and which would have the greatest impact, and establish priorities for correcting deficiencies, recommended improvements, countermeasures that correct more than one problem, alternatives for correcting deficiencies, and estimated cost for each recommended action.

**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 letter of commitment to undertake the project (request must be under \$10,000 to be a small grant).

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

# ■■■ 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 about 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 can be accomplished within the grant program's \$10,000 funding limit for small grants, or up to \$20,000 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 and 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
- Printing, postage, mileage, copies, photography

## GETTING STARTED AND PUTTING IT ALL TOGETHER

Getting a property listed in the National Register requires 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, many questions must be addressed in the evaluation. These include: 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. 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](#)
- Properties must meet the [Secretary of the Interior's Standards for Evaluation](#)
- National Register Bulletin: [How to Apply the National Register Criteria for Evaluation](#)

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 relating to the property
- 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 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 is a good candidate for listing in the National Register. Provide the date or period of construction, or your best estimate, a brief history and description of the resource, and list any known changes to the resource.

**Final Product:** National Register property evaluation, final report, and inventory form

**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 who will be working on the project, including their qualifications. 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 Fiscal Review Requirements listed under Appendix B, 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



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## 2. NATIONAL REGISTER NOMINATION AND LOCAL DESIGNATION

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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.

### APPLICABLE STANDARDS

- Guidance for preparing 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 \(2017\)](#).
- Consultants 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, the following items are ineligible:

- Costs and projects related to compliance with state and federal laws related to historic preservation, including mitigation.

## REQUIRED DOCUMENTATION AND APPLICATION ATTACHMENTS

In addition to Fiscal Review Requirements listed under Appendix B , the following documentation is required:

- Current photographs and, for a historic district, a boundary map
- Minnesota Statewide Inventory Number(s) assigned to the property by State Historic Preservation Office (SHPO)
- For National Register nomination preparation: a copy of the letter sent by SHPO 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)

## APPLICATION ADVICE: NATIONAL REGISTER NOMINATION AND 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 in this context 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 enough 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.

## 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 State Historic Preservation Office or the State Review Board. Grantees seeking National Register status continue to work with the National Register Historians at the State Historic Preservation Office after this grant project is completed. Pursuit of the NR status always requires additional work after the grant.

**Note:** *Final Product for the National Register Historian is more than the grant requires. The required National Register Packet includes the completed form and continuation sheets, USGS or digital maps, TIF disks, two (2) sets of commercial prints (photographs), and owner verification form(s). The full packet must be sent to the National Register Historian at the State Historic Preservation Office.*

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## 3. HISTORIC PRESERVATION PLANNING

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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 Preservation 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](#).

Note: We limit the funding of a context study in small grant rounds to a focused scope. A small grant should only be used when a specific context – one where the geographic, stylistic, or temporal limits are well understood – has been previously identified and the project can be accomplished within the grant program's \$10,000 funding limit for small grants (or up to \$20,000 including match). If your project exceeds this scope and funding limit, it may be necessary to complete the context in phases or utilize a large grant. If you are unsure if your project can be accomplished within the funding limit we encourage you to seek advice from a preservation professional and/or the State Historic Preservation Office.

### 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, the following items are ineligible:

- Design guidelines for non-officially designated districts

### REQUIRED DOCUMENTATION AND APPLICATION ATTACHMENTS

In addition to Fiscal Review Requirements listed under Appendix B, 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).

## 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 project and its scope. Discuss who will use the resulting product and how it fits into your current and future planning activities. Add sufficient references to the Secretary of the Interior's [Standards for Preservation 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.

### **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: Submit an 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 will be acquired 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.

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

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## 4. HISTORIC PRESERVATION SURVEY, IDENTIFICATION, AND EVALUATION

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Surveys of historic properties serve to identify important resources so they can 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 surveys. 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
- National Register Bulletin 24: [Guidelines for Local Surveys: A Basis for Preservation Planning Part 1](#) and [Part 2](#)

### 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 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 Historian when you have questions about 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 there can be variations in different projects. Contact Grants Office staff for help with correct procedures and advice.*

## REQUIRED DOCUMENTATION AND APPLICATION ATTACHMENTS

In addition to Fiscal Review Requirements listed under Appendix B, 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, and 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 SHPO 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).

## APPLICATION ADVICE: HISTORIC PRESERVATION SURVEY, IDENTIFICATION, AND 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
- Include a statement explaining how the survey relates to previous survey work and to the statewide historic contexts and local contexts (if applicable)
- List properties/areas to be evaluated (intensive only)
- List activities leading to identification of properties/areas as candidates for evaluation (intensive only)
- Describe proposed National Register Criteria and Areas of Significance (intensive only)
- Provide assurances that the consultant hired will meet [Secretary of the Interior's standards](#).
- 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 Archaeology Project in Minnesota \(July 2005\)](#)

## **Need and Rationale**

A survey is a vital component of any preservation planning program. Besides the value of identifying and documenting historic properties, surveys can help determine their significance and facilitate sound community planning to plan for and prioritize growth and development. Discuss your community's need for the 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.

## **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 SHPO 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 SHPO standards
- One print copy and one electronic Word format copy of the final survey report meeting all applicable NPS and SHPO standards and guidelines
- One print copy and one electronic PDF copy of all final survey and inventory forms meeting all SHPO 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 State Historic Preservation Office staff, regardless of the number of drafts that process requires.*

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## 5. HISTORIC PROPERTIES

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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.

***Note:** Minnesota Historical and 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.*

### APPLICABLE STANDARDS

- All work must conform to the [Secretary of the Interior's Standards for the Treatment of Historic Properties](#).
- All architects must be qualified and must meet the Secretary [of the Interior's Professional Standards for Historic Architecture](#).
- For projects requiring construction, the prevailing wage rule may apply. See Appendices I and 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.
- If the historic property is used to house artistic, historic, or cultural collections, the preservation of both the collections and the structure must be considered. Measures which promote the preservation of either the historic structure or the collection at the expense of the other, should not be considered. See 9. Museum Environments and Conservation for applicable standards.
- Treatment of architectural decorative arts elements including but not limited to stained glass, murals, mosaics, and original linoleum floors, should comply with the [Code of Ethics and Guidelines for Practice](#) of the American Institute for Conservation (AIC). Conservation documentation such as a condition report and treatment proposal should be included in any application for treatment.

### ELIGIBLE PROJECTS

Eligible projects include but are not limited to:

#### **Predevelopment: Research Phase**

Includes research work for National Register-listed and National Register-eligible historic properties that conforms to the Secretary of the Interior's Standards for the Treatment of Historic Properties:

- Preparation of a Historic Building Conditions Assessment including 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. 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 “Historic Preservation Survey, Identification, and Evaluation” section for more information about archaeological studies.)
- Preparation of an ADA Accessibility Assessment that follows guidance in Preservation Brief 32: Making Historic Properties Accessible, <https://www.nps.gov/tps/how-to-preserve/briefs/32-accessibility.htm>, and conforms with the 2015 Minnesota Accessibility Code, [http://www.gssiserver3.com/2015\\_mn\\_accessibility\\_code.pdf](http://www.gssiserver3.com/2015_mn_accessibility_code.pdf)

## **Predevelopment: Working Drawings/Architectural Plans and Specifications**

Includes preparing drawings and specifications for a National Register–listed historic building/structure that conforms to the Secretary of the Interior’s Standards for the Treatment of Historic Properties and is eligible under the grant guidelines for construction:

- Construction documents and specifications for a project that plans for stabilization, restoration, rehabilitation, preservation, or ADA accessibility routes or restrooms
- Construction Documents that illustrate construction work to stabilize, restore, rehabilitate, preserve, or to achieve ADA accessibility at a National Register listed property.

***Note:** Construction administration fees are not eligible during the predevelopment phase.*

## **Development: Construction Work**

Includes construction work 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:
  - o involves the preservation or restoration of a historic landscape
  - o is an integral part of an archaeological investigation
  - o returns a site to pre-construction condition (note: an archaeologist should be consulted before excavation on a historic site)
  - o is an integral part of moisture remediation construction work to achieve positive drainage

- 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, 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:
  - o new kitchenettes or kitchens in locations where none existed historically
  - o new interior finishes such as carpeting, workstations, new cabinets, or new lighting
  - o new floor plans, e.g., creating apartments in a warehouse, creating new stairways/circulation systems, or subdividing a large room into smaller rooms
- General maintenance, such as painting, woodwork refinishing, or other small-scale upkeep work of an aesthetic nature
- Excavation of archaeological sites for data recovery
- Landscaping/site work costs (except as noted on page 113)
- Cost of moving a historic building. Historic properties that have been moved are 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 AND APPLICATION ATTACHMENTS

In addition to Fiscal Review Requirements listed under Appendix B, the following documentation is required:

### **Predevelopment: Research Phase and Predevelopment: Working Drawings/Architectural Plans and Specifications**

- Photographs of the building in its entirety and any areas of interest or concern
- MN SHPO determination letter stating the property is eligible to be listed in the National Register if not listed.

### **For Development/Construction Work:**

- **Plans and drawings:** The construction drawings must include floor plans, elevations, sections and detailed drawings that together provide a complete representation of the work being done on the building or structure. The drawings need to include the work done to and around historic fabric and how that work meets the Secretary of Interior's Standards for the Treatment of Historic Properties.

- **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.
  - 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.
  - Group the photos and 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 detailed photo provided so that reviewers can see where the detail occurs.
  - Photos must be taken in sufficient quantity and clarity to document both pre-rehabilitation (existing) conditions and subsequently, the finished project. Provide enough photos of all spaces, building elevations, and specific features for a visual depiction 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.
- **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. Work not described in the Scope of Work Form will not be reviewed by grants staff or accepted as grant-eligible project work.
  - The Scope of Work Form can and should be revised as needed following the pre-application review and 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.
  - 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.
- **Phasing plan (if applicable).** If you plan to do a partial restoration, you will need to provide a phasing plan that explains in detail how many phases you are planning and the reasons for the phasing. Be sure that your phases are divided in logical order by project type, because breaking down one project into small segments may be interpreted as segmentation, which is ineligible for funding.

## Preferred:

- Copy of winning proposal (if selected)—this does not take the place of the Scope of Work Form or the application’s Project Description.
- Copy of HSR (if available) for the building
- Copy of Conditions Assessment
- Copy of any foundational project work (i.e., Reuse Plan, Feasibility Study, etc.)
- Specifications book or project manual

***Note:** Including these documents as part of your review does not imply that the Grants Office will approve these documents as part of the review process.*

## 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.*

### Budget

Enter all of the major project costs as budget line items. A single line item does not provide enough information to the reviewers.

### Project Description

Provide a brief history and describe the 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 Structure Report (HSR), 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 the reason for the selection (prior reports, research, etc.).
- For preservation work: Include date when the construction documents 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 chosen 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](#).

## 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

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## BACKGROUND

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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 benefiting the outdoors, clean water, parks and trails, and arts and cultural heritage.

### First Biennium, 2010–2011

Overall appropriation:	\$22 million
Appropriation for grants:	\$6.75 million
Number of requests:	894 applications
Amount requested:	\$38 million
Grants made:	474

### Second Biennium, 2012–2013

Overall appropriation:	\$24.5 million
Appropriation for grants:	\$10.5 million
Number of requests:	913 applications
Amount requested:	\$18 million
Grants made:	568

### Fifth Biennium, 2018–2019

Overall appropriation:	\$28.12 million
Appropriation for grants:	\$11 million
Number of requests:	735 applications
Amount requested:	\$26.2 million
Grants made:	414

### Third Biennium, 2014–2015

Overall appropriation:	\$28 million
Appropriation for grants:	\$11.2 million
Number of requests:	1056 applications
Amount requested:	\$21 million
Grants made:	563

### Fourth Biennium, 2016–2017

Overall appropriation:	\$29 million
Appropriation for grants:	\$11.252 million
Number of requests:	885 applications
Amount requested:	\$28 million
Grants made:	484

### Sixth Biennium, 2020–2021

Overall appropriation:	\$32.955 million
Appropriation for grants:	\$12.85 million
Number of requests:	706 applications
Amount requested:	\$24.4 million
Grants made:	394

Seventh Biennium, 2022–2023 is pending funding approval by the Minnesota Legislature and Governor.

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## STATUTORY AUTHORITY

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This manual covers the rules (federal, state, and Grants Office requirements), projects (what type of work is covered by the grant funding), and processes (grant applications) involved in the Minnesota Historical and Cultural Heritage Grants program as well as administrative policies required.

- [Constitutional Amendment Article XI, Section 15](#)
- State Statutes
  - [16B.98 Grants Management Process](#)
  - [Chapter 138](#) Historical Societies; Sites; Archives; Archaeology; Folklife
  - [129D.17 Arts and Cultural Heritage Fund](#)
  - [Chapter 16C Procurement](#)

- [Minnesota Statutes 177.41 to 177.44](#), and corresponding Minnesota Rules 5200.1000 to 5200.1120, prevailing wages as established by the Minnesota Department of Labor and Industry,
- State session law
  - [Arts and Cultural Heritage Fund](#)
  - [Laws 2009, chapter 172, article 4, section 2, subdivision 4, paragraph \(b\), item \(ii: Historic Resources Advisory Committee \(HRAC\)\)](#)
- [Minnesota Department of Administration's Office of Grants Management](#) grant management policies
  - Policy 08-01: Conflict of Interest
  - Policy 08-02: Rating Criteria for Competitive Grant Review
  - Policy 08-03: Writing and Publicizing Grants Notices and RFPs
  - Policy 08-04: Use of Grant Agreements
  - Policy 08-05: Public Comments Concerning Fraud and Waste in State Grants
  - Policy 08-06: Financial Review of Nongovernmental Organizations
  - Policy 08-08: Grant Payments
  - Policy 08-09: Grant Progress Reports
  - Policy 08-10: Grant Monitoring
  - Policy 08-11: Legislatively Mandated Grants
  - Policy 08-12: Policy on Grant Amendments
  - Policy 08-13: Grant Closeout Evaluation
- [MNHS administers the Arts and Cultural Heritage Fund grants per Minnesota State Law](#)
  - Programmatic requirements based on previous grant mechanisms, 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)

# APPENDIX B

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## FINANCIAL REQUIREMENTS, REPORTS AND RECORDS

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The Grants Office staff offers a post-award conference call after each grant round. We strongly encourage attending. This 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 is helpful for large grantees that have conditions on their grants or that have had past performance issues with an Minnesota Historical Society grant.

### 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 30 days before the end of the grant period.
- Financial Records: Keep all paid invoices, receipts, timesheets/payroll records, and other financial records for verification of expenditures.

### 2. Documentation

Within 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.

***It is important to submit these reports promptly. Grantees with overdue reports cannot apply for any further grants until past due reports have been received and approved by the Grants Office. Once the report is sufficiently overdue the Grant can be cancelled and the funds retrieved.***<sup>3</sup>

### Records Retention

Grantees must keep project financial, prevailing wage, and procurement process records on file for a minimum of 6 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.

### 3. 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 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)

### 4. Standard Conditions/Milestones

Conditions are requirements placed on a grant that must be met to ensure that a project meets applicable standards and the grant requirements to be successfully closed out. Milestones are the same as conditions except payments are made when a milestone is met. Standard conditions apply to all projects that have identical final products and grants over \$50,000. Below is the list of standard conditions. Note: additional conditions may be applied.

- Grants over \$50,000, the Project Director will present progress and/or findings at least 75% completed or a site visit is required at 50% or 75% completed.
- Draft of the planning document, study, report, assessment, evaluation, manuscript, tour materials, exhibit text, or interpretive plan for review
- Outline for a historic property planning document
- Draft of the construction documents at each stage (SD-30%, DD-60%, and CD-90%) and a draft Grants Office Scope of Work
- Mortar analysis and test shall be submitted to the Grants Office prior to purchasing materials or starting work; Repointing mortar must match the color, texture, strength, composition, joint width and joint profile of historic masonry.

- Good quality overall and close-up color photographs of a sample area of the masonry both before and after repointing must be submitted, reviewed and approved by the Grants Office before proceeding with this work.
- Historic bricks shall be salvaged and reused whenever possible.
- Good quality color photographs of the proposed replacement stone or masonry alongside original stone or masonry must be submitted, reviewed and approved by the Grants Office before proceeding with this work.
- Quality color photographs of the proposed replacement roof tile, shingle or shake adjacent to existing for comparison prior to purchasing materials or beginning roofing work.
- Replacement door shop drawings to the Grants Office prior to purchasing materials or starting work.
- Window shop drawings to the Grants Office for review and comment prior to purchase materials or proceeding with work.

## 5. Payments and Reporting

- 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 (100%) American Institute of Architects (AIA) AIA Document G702-1992 Application and Certificate for Payment and G703-1192 Continuation Sheet (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 a 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.
- **Small Grants and Structured Grants (\$10,000 and less)**
  - A check for the full grant award will be released to the grantee once the grant agreement is fully executed. The Grants Office retains the rights to change the payment schedule if the application and/or past grant performance has not met expectations.
  - 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 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. The Grants Office retains the rights to change the payment schedule if the application and/or past grant performance has not met expectations.
  - 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**
    - A payment schedule for up to 80% of the grant award will be negotiated with the grantee based on the appropriate needs and scale of the project. Agreements will include the payment schedule that may include an advance payment at the start of the project with interim payments tied to the project schedule or reimbursable expenditures. The Grants Office retains the rights to change the payment schedule if the application and/or past grant performance has not met expectations.
    - 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

MNHS Grants Office

FOR OFFICE USE ONLY

Grantee: \_\_\_\_\_

Grant No.: \_\_\_\_\_

Attachment: \_\_\_\_\_

PROPERTY NAME: Waseca County Courthouse

DATE: 9/13/2017

PROPERTY ADDRESS: 307 North State Street Waseca, MN 56093

NRHP LISTING NO.: 82003070

ITEM NO:	<b>FEATURE:</b> Windows - B, 1, 2	CONST. DATE: 1992 (approx)	FUNDING SOURCE(S): <input checked="" type="checkbox"/> GRANT <input type="checkbox"/> OTHER	BUDGET ITEM NO.: 3
<p>DESCRIBE EXISTING FEATURE AND ITS CONDITION</p> <p>Aluminum frame system with insulated glass panes. The typical window operation is either double hung or fixed. Many of the glass panes have failed gaskets and/or damaged portions of the window pane that have failed due to construction in plastic or other nonmetal material. There is visible staining from condensation on a number of window sills which suggests that the metal window frames are not thermally broken.</p> <p>DESCRIBE WORK AND IMPACT ON EXISTING FEATURE</p> <p>New aluminum-clad wood windows will be installed throughout the building, replacing the 1992 windows. New windows will be double hung to match the appearance of original windows in the building per the original construction documents and historic photos. Glazing will be clear insulated glass. The attached construction documents identify seven conditions at the basement, first, and second floors with distinctive treatments. (1, 1A, 1B, 2, 3, 4, 5).</p> <p>PHOTOS: 1-4, 25      DRAWING SHEET NO.: A240-A541      ADD'L DOCUMENTATION: Window Shop Drawings</p>				
<p>UPDATES AFTER PROJECT IS COMPLETED</p>				

ITEM NO: 2	<b>FEATURE:</b> Stone steps at entry	CONST. DATE: 1897	FUNDING SOURCE(S): <input checked="" type="checkbox"/> GRANT <input type="checkbox"/> OTHER	BUDGET ITEM NO.: 2
<p>DESCRIBE EXISTING FEATURE AND ITS CONDITION</p> <p>Existing Kasota stone steps are in fair to poor condition. The lower left stairs are in the worst condition, with multiple locations of spalling and chipped stone, displacement, and open mortar joints.</p> <p>DESCRIBE WORK AND IMPACT ON EXISTING FEATURE</p> <p>Remove stone steps and salvage for re-installation. Footings and structural support for stairs will be inspected and repaired/reconstructed as required with compatible masonry detailing. Steps will be reinstalled with mortar bed and joints. Joints will be finished with sealant. Lowest tread on left to be replaced with stone to match existing material and detailing. Clean stone to remove biological staining to the extent possible without damaging the stone, in no more than two applications.</p> <p>PHOTOS: 11-14      DRAWING SHEET NO.: A200      ADD'L DOCUMENTATION: n/a</p>				
<p>UPDATES AFTER PROJECT IS COMPLETED</p>				

ITEM NO: 3	<b>FEATURE:</b> Wood sills & trim	CONST. DATE: 1897 - 1992	FUNDING SOURCE(S): <input checked="" type="checkbox"/> GRANT <input type="checkbox"/> OTHER	BUDGET ITEM NO.: 4
<p>DESCRIBE EXISTING FEATURE AND ITS CONDITION</p> <p>The existing wood window sills are in a range of conditions, based on the amount of water damage and what modifications were made during previous window installations.</p> <p>DESCRIBE WORK AND IMPACT ON EXISTING FEATURE</p> <p>The attached construction documents identify seven conditions with distinctive treatments at the wood trim and sills. (1, 1A, 1B, 2, 3, 4, 5). In most locations, the wood trim and stops installed during the 1992 window replacement will be removed and replaced with new as required during new window installation. Original wood trim, stops, and sills will be retained and refinished when possible. Replacement stops will be finished to match original wood work.</p> <p>PHOTOS: 2-4, 6-10      DRAWING SHEET NO.: A240-A541      ADD'L DOCUMENTATION:</p>				
<p>UPDATES AFTER PROJECT IS COMPLETED</p>				

# APPENDIX D

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## SUPPLEMENT VS. SUPPLANT

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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).

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## SUPPLEMENT VS. SUPPLANT EXAMPLES

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**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 Example: 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 for the 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 Example: Salaried**

An eligible applicant has a full-time salaried employee 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 Example: 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**

At most of Minnesota's colleges and universities, faculty are paid on a 3/5 schedule. In other words, faculty members are paid for the 3 semesters they teach out of the 5 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

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## LETTERS OF CRITICAL REVIEW

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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. Grant reviewers will want to see critical reviews 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.

The grant program applies existing standards to proposed projects. Historical interpretation has a standard of peer review. Because of this, 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. Grant reviewers need to see critical reviews of any text that has a public education component to it.

A critical review letter should analyze the research product to determine whether it answers the questions of "What do we have?" and "What does that mean?" Further, it should also judge if the interpretation is built upon solid research. The letter should focus on the accuracy and inclusiveness of the interpretation, and consider whether the story being told does not engage with relevant information or perspectives. Each Letter of Critical Review must include information about the credentials and experience of the writer. Competitive applications will address the comments provided, and if and how they affected the final interpretation.

Grants staff can assist in locating letter-writers and discuss potential compensation in the form of honoraria for them.

## EXAMPLE 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. 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. However, 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 tenets 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

# APPENDIX F

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## DEFINITIONS/GLOSSARY

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**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.

**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.

**Condition:** A requirement that must be met to ensure that the grant project meets the Secretary of the Interior's Standards and/or the Grant Guidelines. Conditions can be placed on any size grant and must be met in order for the 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.

**Construction Drawings:** The plans, specifications and drawings professionally prepared after correcting for permit review requirements and incorporating addenda and approved change orders. Construction documents communicate design decisions to others including permitting authorities, lenders and builders.

**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.

**Enduring Value:** The purpose of the grant application's Enduring Value field is to provide assurance that the products created and the projects completed will be accessible not just in the present, but to Minnesotans in the future. Each grant category may differ slightly in how they provide Enduring Value but all of them need to state a plan to save the product or a record of it for the future. For example, exhibits that may be open for a determined amount of time can provide enduring value by placing a copy of the exhibit text and planning materials in a public repository that will provide continued access. Similarly, a research report that, in the short term, produces content for an interpretive project should also be available for researchers in the future. Your application must answer how the specific and discrete product from this project will be available and beneficial to Minnesotans in the future.

**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 manages only the financial aspects of the grant. Fiscal agents are not allowed to be applicants to the Minnesota Historical and 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](https://mnhs.fluxx.io) and administration of the grants happens (including payment information and access to Milestone/Condition Reports and Final Reports): <https://mnhs.fluxx.io>

**Historical Architect:** According to Secretary of Interior's Standard— an historical architect must possess a professional degree in architecture or a State license to practice architecture, plus one of the following:  
At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or closely related field; or  
At least one year of full-time professional experience on historic preservation projects.  
Such graduate study or experience shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

**Implementation:** The final stage of multiphase 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.

**In-Kind match/time/contribution:** Donations, that are not cash, made by the grantees or their supporters to help the project. Often time devoted to the project by staff who cannot be paid in grant funds for some reason. Proposed as an estimate in the application with the actual time recorded and included with the final report.

**Letter of Critical Review:** A letter from an independent qualified person knowledgeable about the grant project subject matter 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 an unbiased, independent content review. The people providing critical reviews must have proper credentials (e.g., an expert in the subject matter).

**Match:** The amount of time and/or money the applicant organization estimates they or a community partner will contribute to the project to supplement grant funds. A funding match is not required at any level in the Minnesota Historical and 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 viewed 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 Minnesota Statute 129D.17 Subd. 2. (a) which states "a project or program receiving funding from the Arts and 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 the 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 on and documented sequentially and must all 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; to use another's production without crediting the source ([OxfordDictionaries](#)© Oxford University Press). The Grants Office cannot accept plagiarism in applications, drafts, or final products.

**Pre-application (a.k.a initial or draft application):** This is a required part of the application process for Large Minnesota Historical and 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.

**Segmentation:** The process of breaking down a project into smaller pieces in order to avoid professional review or for other reasons that would have an adverse effect on the resource. Segmenting a project is not possible because each funded project needs to be a standalone project with a final product that is functional, useful, and accessible to the public. The Grants Office has the right to decline funding when the proposal divides the work in a way that risks harm to the resource or results in partial, unfinished work. Segmentation suggests half-measures without a broader view or commitment to the goal.

**Single/Sole Sourcing:** When only one supplier (source), to the best of the requester's knowledge, based upon thorough research, is capable of delivering the required product or service.

**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 Heritage Preservation Office (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\_Funded» given to the GRANTEE through the Minnesota Historical and Cultural Heritage Grants Program through the SOCIETY from the State of Minnesota (MNHS 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»

\_\_\_\_\_  
Mary Green Toussaint,  
Contract & Purchasing Manager

\_\_\_\_\_  
*signature – authorized officer*

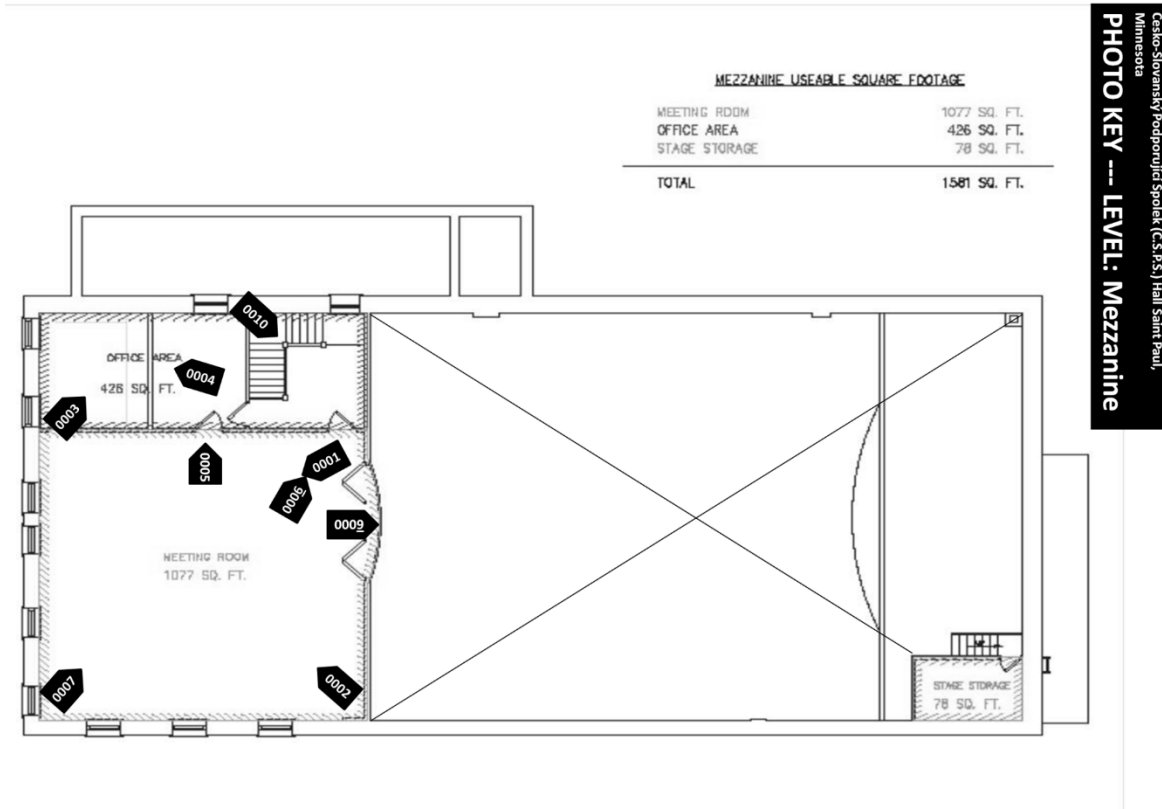
Date: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
*print name and title*

# APPENDIX H

## SAMPLE PHOTO KEY



### **LABELED PHOTO EXAMPLE:**

**PHOTO 0001:**  
Existing ceiling plaster  
w/wood box beams

# APPENDIX I

## PROCUREMENT PROCESS AND PUBLIC NOTICE REQUIREMENTS

Good faith effort to solicit or receive bids or quotes for goods to be purchased 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. Procurement precedes purchasing or hiring. It's a process of researching products or services, looking for the best providers and doing value analysis. Allowing for Open and Effective Competition in the spirits of Ethics and Fair Dealing to find the best Value for Money.

As a recipient of state grant funds, grantees must comply with the procurement requirements according to the dollar threshold as listed below. 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. It is established by the Minnesota Historical Society based on the Office of Grants Management policy and 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 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 solicit a minimum of 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 requirement.

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. A hiring decision may not be based solely on applicant convenience or prior relationships with a potential vendor, consultant or contractor unless requesting a pre-existing contract.

**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 Minnesota Statutes 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 contract in which the project is phased, the grantee may substitute an applicable contract with the application rather than repeating procurement.

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 5 years. The original contract must not exceed 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 approval of a pre-existing contract that satisfies the procurement requirement, the following needs to be submitted with the application:

- Description of the need for continuation of work in the Project Personnel section
- Explanation of the procurement process utilized and how it followed the dollar threshold above
- 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 is subject to examination by the Minnesota Historical Society, its designated representatives, or any applicable agency of the State of Minnesota for a minimum of 6 years from approval date of the final report.

## ADDITIONAL GUIDANCE

### 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](#) and corresponding [Minnesota Rules 5200.1000 to 5200.1120](#)) requires that 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 contact Minnesota Department of Labor and Industry at (651) 284-5091 or [dli.prevwage@state.mn.us](mailto:dli.prevwage@state.mn.us)

### *Labor Standards--Prevailing wage and contracting agencies*

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 in 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 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](mailto:dli.prevwage@state.mn.us)

# APPENDIX K

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## SCANNING/DIGITIZATION WORKSHEET

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Scanning/Digitization Worksheet -

[https://www.mnhs.org/sites/default/files/preservation/grants/worksheet\\_scanning.pdf](https://www.mnhs.org/sites/default/files/preservation/grants/worksheet_scanning.pdf)



### Scanning/Digitizing Worksheet

Minnesota Historical Society Grant Office

This document designed to facilitate answers about a scanning project. A little preparation goes a long way to making your digitization grant project a success.

To help you fill out this form please refer to either document: [Digital Imaging for the Small Organization](#) or [Western States Digital Imaging Best Practices](#).

**Project Manager:** \_\_\_\_\_

**Date:** \_\_\_\_\_

## RIGHTS MANAGEMENT

Who owns the original source material? Who owns the copyright on the source material? (they can be different owners). Does your organization have clear copyright? Do you have permissions/rights to publish the content (images, video, etc.) on the web? How do you intend to license the digital material you own?

## COLLECTION



# APPENDIX L

## MICROFILM BUDGET WORKSHEET

Microfilm Budget Worksheet

[https://www.mnhs.org/sites/default/files/preservation/grants/structured\\_microfilm\\_fiche.pdf](https://www.mnhs.org/sites/default/files/preservation/grants/structured_microfilm_fiche.pdf)

**BUDGET—Provide detailed project budget.**

Budget Item—List Microfilm/fiche to be Ordered	Number of Reels or Sheets	Price/Reel or Sheet	Total
			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00
			\$0.00

# APPENDIX M

## WEB STRATEGY WORKSHEET

Web Strategy Worksheet -

[https://www.mnhs.org/sites/default/files/preservation/legacy-grants/grants-manual/web\\_strategy\\_worksheet\\_cve.pdf](https://www.mnhs.org/sites/default/files/preservation/legacy-grants/grants-manual/web_strategy_worksheet_cve.pdf)

### Web Strategy Worksheet

Prepared By: \_\_\_\_\_

Project Manager \_\_\_\_\_

Web Manager \_\_\_\_\_

*This web project worksheet answers the what, why, when, who and how questions about embarking on a web project. **This is a living document that should be updated through the life of the project as new information becomes available.** So, don't put it away after you've filled it out once. It is used to communicate project information to project team members and key stakeholders throughout the project.*

Note: the answer boxes expand when you type into them.

**PROJECT NAME:**

*What is the name of your web site project?*

# VERSION CHANGES

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## VERSION 7.0

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- Separation of conservation work from collection care.
- Archaeological collections survey now under Collections Care category.
- Requirements for a 2nd Microfilm reader/printer grant.
- New structured grant: create a disaster response kit.
- Retired the structured bookshelf category - now an option through Interpretive Programs & Public Education.
- New terms added to the glossary.
- New appendices for required worksheets.