MEMORANDUM

To: James Reardon, Commissioner of Finance & Management
From: Nathan Lavery, Fiscal Analyst
Date: April 25, 2012
Subject: JFO #2556, #2557, #2558

No Joint Fiscal Committee member has requested that the following items be held for review:

JFO #2556 – $159,776 grant from the Federal Emergency Management Agency (FEMA) to the Vermont Department of Public Safety. This grant is pass-through funding for hazard mitigation projects in the towns of Pawlet and Waitsfield in response to the December 2010 ice storm.

JFO #2557 – $10,000 grant from National Alcohol Beverage Control Association to the Vermont Department of Liquor Control. This grant will be used to create, produce and purchase community outreach and educational materials designed to prevent underage drinking.

JFO #2558 – $15,000 grant from National Historic Publications and Records Commission to the Vermont Secretary of State. This grant will be used to establish a program support local officials and other archives in the state to preserve and make accessible Vermont’s historical records.

The Governor’s approval may now be considered final. We ask that you inform the Secretary of Administration and your staff of this action.

cc: Keith Flynn, Commissioner
    Michael Hogan, Commissioner
    Jim Condos, Secretary of State
MEMORANDUM

To: Joint Fiscal Committee Members
From: Nathan Lavery, Fiscal Analyst
Date: March 23, 2012
Subject: Grant Requests

Enclosed please find four (4) items that the Joint Fiscal Office has received from the administration.

**JFO #2555** – $790,018 grant from the U.S. Department of Health and Human Services to the Vermont Department of Mental Health. This grant will be used to provide regular crisis counseling services to survivors of Tropical Storm Irene in Addison, Bennington, Caledonia, Chittenden, Franklin, Lamoille, Orange, Rutland, Washington, Windham and Windsor Counties.

*JFO received 3/19/12*

**JFO #2556** – $159,776 grant from the Federal Emergency Management Agency (FEMA) to the Vermont Department of Public Safety. This grant is pass-through funding for hazard mitigation projects in the towns of Pawlet and Waitsfield in response to the December 2010 ice storm.

*JFO received 3/22/12*

**JFO #2557** – $10,000 grant from National Alcohol Beverage Control Association to the Vermont Department of Liquor Control. This grant will be used to create, produce and purchase community outreach and educational materials designed to prevent underage drinking.

*JFO received 3/22/12*

**JFO #2558** – $15,000 grant from National Historic Publications and Records Commission to the Vermont Secretary of State. This grant will be used to establish a program support local officials and other archives in the state to preserve and make accessible Vermont’s historical records.

*JFO received 3/22/12*

Please review the enclosed materials and notify the Joint Fiscal Office (Nathan Lavery at (802) 828-1488; nlavery@leg.state.vt.us) if you have questions or would like an item held for legislative review. Unless we hear from you to the contrary by April 9 we will assume that you agree to consider as final the Governor’s acceptance of these requests.
STATE OF VERMONT  
FINANCE & MANAGEMENT GRANT REVIEW FORM

Grant Summary: This grant is to help to establish a regrant program to assist local officials and various archives in the state to preserve and increase accessibility of Vermont's historical records. There is a $15,887 (in-kind and cash) state match for this grant.

Date: 3/19/2012

Department: Secretary of State

Legal Title of Grant: State Board SNAP Grant

Federal Catalog #: 89.003

Grant/Donor Name and Address: National Historical Publications and Records Commission, 700 Pennsylvania Ave. NW, Washington, D.C. 20408-0001

Grant Period: From: 1/1/2012 To: 12/31/2012

Grant/Donation Amount: $15,000

<table>
<thead>
<tr>
<th>SFY 1</th>
<th>SFY 2</th>
<th>SFY 3</th>
<th>Total</th>
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<tbody>
<tr>
<td>$7,500</td>
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<td></td>
<td>$15,000</td>
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</table>

Position Information: # Positions Explanation/Comments

0

Additional Comments:

Department of Finance & Management
Secretary of Administration
Sent To Joint Fiscal Office

Date 3/30/12

[Stamp: RECEIVED MAR 2 2002]

[Stamp: JOINT FISCAL OFFICE MAR 0 9 2012]
### Basic Grant Information

1. **Agency:** Secretary of State  
2. **Department:** Vermont State Archives and Records Administration (VSARA)  
3. **Program:** Vermont State Archives  
4. **Legal Title of Grant:** State Board SNAP Grant  
5. **Federal Catalog #:** 89.003  

### Grant/Donor Name and Address:
National Historical Publications & Records Commission  
700 Pennsylvania Ave, NW  
Washington, DC 20408-0001

### Grant Period:
- From: 1/1/2012  
- To: 12/31/2012

### Purpose of Grant:
To establish a regrant program to support the efforts of municipal clerks, local historical societies, and other archives in the state to preserve and make accessible Vermont's historical records.

### Impact on existing program if grant is not accepted:
Without a regrant program, local repositories will not have access to pass-through funding from the National Historical Publications and Records Commission (NHPRC). Without this source of support, VHRAB will lack resources to conduct activities to help identify, preserve, and promote the state's historic records.

### Budget Information

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<thead>
<tr>
<th>Expenditures</th>
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<tr>
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<tr>
<td>(Departmental Indirect)</td>
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<td>$0</td>
<td>$</td>
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<td>$</td>
<td>$</td>
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<td>Grant (source )</td>
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<td>$</td>
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<td><strong>Total</strong></td>
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<td>$15,443</td>
<td>$</td>
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### Appropriation No:
- 2230010000  
- Amount: $15,000  
- $
### STATE OF VERMONT REQUEST FOR GRANT (*) ACCEPTANCE (Form AA-1)

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<tr>
<th>Description</th>
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<tbody>
<tr>
<td>Total</td>
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</tbody>
</table>

#### PERSONAL SERVICE INFORMATION

11. Will monies from this grant be used to fund one or more Personal Service Contracts? **Yes** **No**

If “Yes”, appointing authority must initial here to indicate intent to follow current competitive bidding process/policy.

Appointing Authority Name: James C. Condos Agreed by: [Signature] (initial)

#### Limited Service Position Information:

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<thead>
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<th># Positions</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total Positions

12a. Equipment and space for these positions:

- [ ] Is presently available.
- [ ] Can be obtained with available funds.

#### AUTHORIZATION AGENCY/DEPARTMENT

I/we certify that no funds beyond basic application preparation and filing costs have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant, unless previous notification was made on Form AA-1PN (if applicable):

- Signature: [Signature] Date: 3/17/12
- Title: Secretary of State

#### SECRETARY OF ADMINISTRATION

Approved: [Signature] Date: 3/17/12

#### ACTION BY GOVERNOR

- [ ] Check One Box: Accepted
- [ ] Rejected

[Signature] Date: 3/20/12

#### DOCUMENTATION REQUIRED

<table>
<thead>
<tr>
<th>Required GRANT Documentation</th>
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<tbody>
<tr>
<td>Request Memo</td>
</tr>
<tr>
<td>Dept. project approval (if applicable)</td>
</tr>
<tr>
<td>Notice of Award</td>
</tr>
<tr>
<td>Grant Agreement</td>
</tr>
<tr>
<td>Grant Budget</td>
</tr>
</tbody>
</table>

Department of Finance & Management
Version 1.6_4/1/2011
February 7, 2012

Scott Reilly
Archivist II
Vermont State Archives and Records Administration
1078 US RTE 2, Middlesex
Montpelier, VT 05633-7701

Dear Mr. Reilly:

I am pleased to notify you that the National Historical Publications and Records Commission awards a grant of up to $15,000 to the Vermont State Archives and Records Administration, for a State Board SNAP Grant. This outright grant is for 49 percent of the budgeted project cost of $30,887.

Enclosed with this letter of award is a summary of grant terms and conditions, performance objectives, administrative requirements, contacts, and payment instructions.

The summary of the grant terms includes new requirements that reflect recent changes from the White House Office of Management and Budget and the NHPRC. Specifically, your institution is required to:

- Maintain a current registration in the Central Contractor Registry (CCR) until the final report is submitted or final payment is received, whichever is later.
- Request written approval from the NHPRC if your institution cannot contribute the amount of cost share in the approved budget. A copy of our cost share policy is enclosed. It is also available on our website at: <http://www.archives.gov/nhprc/administer/costshare.html>.

Congratulations on your grant award. If you have any questions, please contact Daniel Stokes by phone at (202) 357-5487 or by email at daniel.stokes@nara.gov.

Sincerely,

Kathleen Williams
Executive Director
National Historical Publications and Records Commission

Enclosures
Performance Objectives for NHPRC Project #RC-10121-12

State Board SNAP Grant

The following constitutes the final list of performance measures for your project. Please note the following:

- The NHPRC will evaluate your project’s performance in terms of the accomplishment of these objectives.
- Failure to achieve 70% of the objectives will result in your project being rated unsuccessful.
- If your project is rated unsuccessful, your institution may be less competitive for future grants. In addition, NHPRC may require additional monitoring or place other conditions on future grant projects that receives approval.
- If at any time during the project you need to discuss possible modifications to these objectives or have any questions, please contact Daniel Stokes (Daniel.Stokes@nara.gov, 202-357-5487).

1. Submit complete reports by the deadlines in the Grant Award Summary.

2. Acknowledge the National Historical Publications and Records Commission in all print and electronic products, including web pages, that result from grant support. The Commission strongly encourages grantees to use the NHPRC logo in grant products and publications and to link to its website. The logo is available at: <http://www.archives.gov/nhprc/about/logo.html>. The final narrative report must include three copies of grant products, including items such as digitization guidelines and publicity materials.

3. Provide cost sharing that meets or exceeds the amount approved by the NHPRC.

4. Work with a project manager to design a regrant program to support local records programs. Various surveys, reports, and the results of past grants will be evaluated to help outline the objectives, priorities, and criteria for such a program.

5. Work with a project manager to develop plans for celebrating Archives Month over the next several years.
State and National Archival Partnership Proposal
Vermont Historical Records Advisory Board
September 2010
Project Summary

Summary of Plan of Work for the Grant Period

The Vermont Historical Records Advisory Board (VHRAB) is seeking to re-establish its leadership role in providing support for Vermont's historical records repositories and the publics they serve. Specifically VHRAB is seeking $15,000 in NHPRC funds to support a state-wide planning effort to be performed by a part-time project manager position for one year. VHRAB will recruit and hire the project manager in January 2012. The project manager will:

- Beginning in February 2012, analyze for VHRAB recent surveys and reports not only on Vermont records and repositories but also the current economic/social climate of Vermont, and report findings to the board by March 2012.
- Analyze for VHRAB past NHPRC grants to Vermont and VHRAB regrants, and report findings to the board by May 2012.
- In conjunction with the board, develop a plan for a regrant program to support local records programs based on the above analyses and in line with our strategic plan.
- In August 2012, assist the board in drafting and submitting a grant proposal to the NHPRC to help fund the regrant program.
- Help VHRAB design and develop programming for Archives Month in 2012, 2013, and 2014.

Methods

The part-time project manager will, at the Board's direction, compile and analyze information from recent surveys and reports on Vermont's historical records environment.
State and National Archival Partnership Proposal
Vermont Historical Records Advisory Board
September 2010
Project Summary

The project manager will review these reports; conduct follow-up interviews with the leadership of both projects to see what, if any, subsequent steps have occurred; and provide VHRAB with an analysis of the findings of each report and how they might shape a regrant proposal.

In addition, the project manager will analyze for VHRAB past NHPRC grants to Vermont and VHRAB regrants, including doing spot follow-ups with selected recipients. The project manager will review past grant applications and reports and use surveys, phone calls and other means to get a sense of the grants’ impact.

Following this analysis, the project manager and the Board will formulate a plan for a regrant program. We will then draft and submit an application to the NHPRC for a project to fund the program beginning in 2013.

Finally, the project manager will assist VHRAB in identifying opportunities, partners, and themes for Archives Month in 2012, 2013, and 2014, and help create plans for public programs to celebrate archives during those months.

Products to Be Completed During the Grant Period

- Reports of findings based on the analysis of the Vermont historical records environment and the review of previous NHPRC grants and regrants.
- A plan for a regrant program.
State and National Archival Partnership Proposal  
Vermont Historical Records Advisory Board  
September 2010  
Project Summary

- An application to the NHPRC for funding to support the regrant program.  

Project Staff

State Archivist: D. Gregory Sanford  
Project Director: Scott Reilly

Vermont Historical Records Advisory Board  
c/o Vermont State Archives and Records Administration  
1078 US RTE 2, Middlesex  
Montpelier, VT 05633-7701

gsanford@sec.state.vt.us  802-828-2369  
scott.reilly@sec.state.vt.us  802-828-2207

Project Manager: to be hired

Performance Objectives

The project will be evaluated against the following performance measures:

1) Number of reports prepared and submitted to the VHRAB board on the historical records environment in Vermont.

2) Number of NHPRC grants and VHRAB regrants analyzed and reported on to the VHRAB board.

3) Number of plans developed for regrant program.

4) Number of grant proposals submitted to the NHPRC for a regrant program.

5) Number of plans developed for Archives Month.
MEMORANDUM

TO: Jeb Spaulding, Secretary of Administration

FROM: James C. Condos, Secretary of State

RE: Request for Grant Acceptance

DATE: March 7, 2012

Enclosed is Form AA-1, State of Vermont Request for Grant Acceptance, and appropriate supporting documentation for the State Board SNAP Grant for the Vermont State Archives.

Thank you for your attention to this request.
NATIONAL HISTORICAL PUBLICATIONS AND RECORDS COMMISSION (NHPRC)  
GRANT AWARD SUMMARY  
Catalog of Federal Domestic Assistance (CFDA) No. 89.003

Grantee: Vermont State Archives and Records Administration  
Award Number: NAR12-RC-10121-12

Project Name: State Board SNAP Grant  
Grant Amount: up to $15,000

Project Director: Scott Reilly  
Grantee Cost Sharing: $15,887
Archivist II  
Budgeted Project Costs: $30,887
Vermont State Archives and Records Administration

Grant Period: January 1, 2012 - December 31, 2012
1078 US RTE 2, Middlesex
Montpelier, VT 05633-7701

By accepting this grant you agree to:
• Adhere to the performance objectives (enclosed)
• Unless you have an exemption under 2 CFR 25.110, you must maintain an active registration with the Central Contractor Registry (CCR) until either the final report or the final payment has been received, whichever is later.
• Provide the cost sharing as specified in your budget dated January 4, 2012. You must have written approval from NHPRC to make any reduction in your total cost share.
• Submit interim narrative report by:
  Due Date: July 31, 2012  
  Reporting Period: January 1, 2012 - June 30, 2012
• Submit final narrative and financial reports by:
  Due Date: March 31, 2013  
  Reporting Period: January 1, 2012 - December 31, 2012

NHPRC Contacts:
Grant Officer: Daniel Stokes, 202-357-5487 / daniel.stokes@nara.gov
For instructions on submitting financial and narrative reports, refer to:<http://www.archives.gov/nhprc/administer/reporting.html>

For instructions on receiving payment, refer to:
http://www.archives.gov/nhprc/administer/payment-instructions.html
DUNS Number: 360745301
EIN Number: 036000264
NHPRC Policy on Approving Changes to Grantee Cost-Share Obligations

When the NHPRC awards a grant to an institution, that institution is responsible for meeting the amount of cost share that appears in the approved budget. The following policy explains the criteria the NHPRC will use in considering approval to reduce the amount of cost share a grantee pledges toward a grant. The NHPRC will take into account whether the grantee notifies the NHPRC of cost share variances in a timely manner, is achieving the required minimum cost share amounts in the applicable grant announcement, and is meeting the agreed-upon performance objectives.

Cost Share Oversight

Since December 2010, grantees are required to report their current amount of cost share on any project payment requests and as a part of their federal financial reports. In addition, beginning in December grantees are notified at the time of their award that they must have written approval from the NHPRC to make any reduction in their total project cost share amounts.

If during the submission of a financial report or payment request a grantee falls short of its cost-sharing requirements, NHPRC payment/reporting instructions require an explanation of the shortfall along with an estimate of when the grantee expects to "catch up" on its cost share to meet the requirement. If the grantee does not expect to meet the amount of cost share agreed to in the award documents, the grantee must promptly notify the NHPRC.

Method of Notification

A grantee's authorized representative must send a signed letter to the NHPRC Executive Director that provides the necessary information to make a determination. In most cases, this will include an explanation of the changes in circumstances, a revised budget, and a revised work plan that indicates whether the original project performance objectives will be met.

NHPRC Policy in instances of Timely Notification

Timely notification is defined as a notification that occurs before the final payment request, or the last ninety days of the official project period, whichever is earliest.

1. NHPRC will approve a request to decrease a cost share amount where a grantee: 1) is able to meet the minimum required cost share amount as stipulated in the relevant grant announcement (usually 50% of total costs); 2) provides a revised budget indicating an adjusted cost share amount; and 3) provides an acceptable revised work plan that indicates the project will have the necessary resources to complete the agreed upon performance objectives.

2. NHPRC may approve a request to decrease a cost share amount where a grantee is within 5% of the required cost share as stipulated in the original grant announcement and the grantee provides an acceptable explanation for the shortfall. Acceptable explanations include indications that forces outside of the grantee's direct control occurred. These may include hiring freezes, unplanned restrictions on travel or spending, and/or unexpected staffing vacancies. In making its request for reduced cost share amount, a grantee must submit a revised budget and provide an acceptable revised work plan that indicates the project will have the necessary resources to complete the performance objectives.

Please Turn Over
NHPRC Policy in instances of Late Notification

If a grantee does not meet the above deadline for timely notification and its cost share obligation is not met, the NHPRC will withhold processing the final payment request. Further, the NHPRC will require that the grantee submit within 30 days a Final Financial Report and a detailed status report on the completion of the project's performance objectives. Based on the responses provided, the NHPRC will take one of the following actions:

1. If a grantee has met the required minimum amount of cost share that is stipulated in the relevant grant announcement and has completed the project successfully, the NHPRC will accept the shortfall. The grant performance objective that requires grantees to meet the amount of cost share pledged in the approved budget will be marked as unsuccessful.

2. If a grantee's amount of cost share is below the minimum required cost share in the original grant announcement, but the grantee has completed its project successfully, the NHPRC will require a proportional return of grant funds. Based on the total project costs reported in the Final Financial Report, new amounts for cost share will be calculated based on the minimum required amount of cost.

   For example, a grantee reports final total project costs of $90,000 but spent $50,000 in grant funds and supplied only $40,000 in cost share. The cost sharing requirement was 50%. The grantee will be required to return $5,000 so that NHPRC and the grantee each contributed $45,000 to the project.

   The grant performance objective that requires grantees to meet the amount of cost share pledged in the approved budget will be marked as unsuccessful.

3. If a grantee has not met its pledged cost share and has not completed its project successfully, the NHPRC will require a proportional return of grant funds.

   For example, originally the grantee had pledged $100,000 in cost share and received $50,000 in grant funds. The final financial report notes cost share of only $75,000. This represents a 25% shortfall. The NHPRC will ask for 25% of grant funds to be returned, i.e. $12,500.

   The grant performance objective that requires grantees to meet the amount of cost share pledged in the approved budget will be marked as unsuccessful.

Adopted July 2011
National Historical Publications and Records Commission

BUDGET FORM

Project Director: Scott Reilly
Applicant Organization: Vermont Historical Records Advisory Board
Requested Grant Period From (mo/yr): January 2012 Thru (mo/yr): December 2012

The method of cost computation should clearly indicate how the total charge for each budget item was determined. If more space is needed for any budget category, please follow the budget format on a separate sheet of paper. Click HERE to see the detailed instructions.

SECTION A - Year #1

Budget detail for the period FROM (mo/yr): January 2012 THRU (mo/yr): December 2012

When the proposed grant period is eighteen months or longer project expenses for each 12-month period are to be listed separately and totaled in the last column of the budget. For projects that will run less than eighteen months, only the last column of the budget should be completed.

1. Salaries and Wages

Provide the names and titles of the principal project personnel. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary for work done outside the academic year.

<table>
<thead>
<tr>
<th>Name/Title of Position</th>
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<th>Method of Cost Computation</th>
<th>NHPRC Funds</th>
<th>Cost Sharing</th>
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SUBTOTAL $14,450 $4,334 $18,784

2. Fringe Benefits

If more than one rate is used, list each rate and salary base.

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<th>Rate</th>
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<th>(b)</th>
<th>(c)</th>
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<tr>
<td></td>
<td>% of $</td>
<td></td>
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SUBTOTAL $0 $0 $0
### 3. Consultant Fees
Include payments for professional and technical consultants and honoraria.

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<thead>
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<th>Name or type of consultant</th>
<th>No. of days on project</th>
<th>Daily rate of compensation</th>
<th>NHPRC Funds (a)</th>
<th>Cost Sharing (b)</th>
<th>Total (c)</th>
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### 4. Travel
For each trip, indicate the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip. When a project will involve the travel of a number of people to a conference, institute, etc., these costs may be summarized on one line by indicating the point of origin as "various." All foreign travel must be listed separately.

<table>
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<th>(b)</th>
<th>(c)</th>
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<td>6</td>
<td>$0.0</td>
<td>$1,657</td>
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<td>6</td>
<td>$0.0</td>
<td>$1,657</td>
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<td>$1,657</td>
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<tr>
<td></td>
<td>6</td>
<td>$0.0</td>
<td>$1,657</td>
<td>$0</td>
<td>$1,657</td>
<td>$1,657</td>
</tr>
<tr>
<td>SUBTOTAL</td>
<td></td>
<td>$550</td>
<td>$1,657</td>
<td>$2,207</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

# - Number of persons  * - Total travel days

### 5. Supplies and Materials
Include consumable supplies, materials to be used in the project and items of expendable equipment (i.e., equipment items costing less than $5,000 and with an estimated useful life of less than a year).

<table>
<thead>
<tr>
<th>Item</th>
<th>Basis/Method of Cost Computation</th>
<th>(a)</th>
<th>(b)</th>
<th>(c)</th>
</tr>
</thead>
<tbody>
<tr>
<td>OFFICE SUPPLIES</td>
<td>ESTIMATE</td>
<td>$0</td>
<td>$200</td>
<td>$200</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$0</td>
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<td></td>
<td>$0</td>
<td>$200</td>
<td>$200</td>
</tr>
<tr>
<td>SUBTOTAL</td>
<td></td>
<td>$0</td>
<td>$200</td>
<td>$200</td>
</tr>
</tbody>
</table>
6. Services
Include the cost of duplication and printing, long distance telephone calls, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool. For subcontracts, provide an itemization of subcontract costs as an attachment.

<table>
<thead>
<tr>
<th>Item</th>
<th>Basis/Method of Cost Computation</th>
<th>NHPRC Funds (a)</th>
<th>Cost Sharing (b)</th>
<th>Total (c)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

SUBTOTAL $0 $0 $0

7. Other Costs
Include participant stipends and room and board, equipment purchases, and other items not previously listed. Please note that “miscellaneous” and “contingency” are not acceptable budget categories. Refer to the budget instructions for the restriction on the purchase of permanent equipment.

<table>
<thead>
<tr>
<th>Item</th>
<th>Basis/Method of Cost Computation</th>
<th>NHPRC Funds (a)</th>
<th>Cost Sharing (b)</th>
<th>Total (c)</th>
</tr>
</thead>
<tbody>
<tr>
<td>BOARD MEETINGS</td>
<td>$60 PER DIEM * 6 MEMBERS * 6 DAYS</td>
<td>$0</td>
<td>$1,800</td>
<td>$1,800</td>
</tr>
<tr>
<td>ADDITIONAL BOARD MEMBER SERVICES</td>
<td>$20/HR * 82 HRS</td>
<td>$0</td>
<td>$1,640</td>
<td>$1,640</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$0</td>
<td>$</td>
<td>$</td>
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<td>$0</td>
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<td>$</td>
</tr>
</tbody>
</table>

SUBTOTAL $0 $3,440 $3,440

8. Total Direct Costs (add subtotals of items 1 to 7) $15,000 $9,631 $24,631
### 9. Indirect Costs

This budget item applies only to institutional applicants. If indirect costs are to be charged to this project, **CHECK THE APPROPRIATE BOX BELOW** and provide the information requested. Refer to the budget instructions for explanations of these options.

- [x] Current indirect cost rate(s) has/have been negotiated with federal agency. (Complete A and B.)
- [ ] Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in A and show proposed rate(s) and base(s) and the amount(s) of indirect costs in item B.)
- [ ] Indirect cost proposal will be sent to NHPRC if application is funded. (Provide in B an estimate of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)
- [ ] Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of $5,000 per year. (Under B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or $5,000 per year, whichever value is less.)
- [ ] For Public Program projects only: Applicant is a sponsorship (umbrella) organization and chooses to charge an administrative fee of 5% of total direct costs. (Complete Item B.)

#### Item A.
Name of federal agency: ________________________________________________________________________

Date of agreement: ________________________________________________________________________

#### Item B.
<table>
<thead>
<tr>
<th>Rate(s)</th>
<th>Base(s)</th>
<th>NHPRC Funds (a)</th>
<th>Cost Sharing (b)</th>
<th>Total (c)</th>
</tr>
</thead>
<tbody>
<tr>
<td>25.4% of $24,631</td>
<td>$0</td>
<td>$6,256</td>
<td>$6,256</td>
<td></td>
</tr>
<tr>
<td>[ ]% of $</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>[ ]% of $</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td></td>
</tr>
</tbody>
</table>

**TOTAL INDIRECT COSTS**

- $0
- $6,256
- $6,256

#### 10. Total Project Costs

(Direct and Indirect) for budget period.

- $15,000
- $16,887
- $30,887
SECTION B

SUMMARY BUDGET

Transfer from Section A the total costs (column C) for each category of project expense. When the proposed
grant period is eighteen months or longer, project expenses for each twelve-month period are to be listed
separately and totaled in the last column of the summary budget. For projects that will run less than eighteen
months, only the last column of the summary budget should be completed.

<table>
<thead>
<tr>
<th>Budget categories</th>
<th>First year</th>
<th>Second year</th>
<th>Third year</th>
<th>TOTAL COSTS FOR ENTIRE GRANT PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>from: Jan 2012</td>
<td>thru: Dec 2012</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salaries and wages</td>
<td>$18,784</td>
<td>$0</td>
<td>$0</td>
<td>$18,784</td>
</tr>
<tr>
<td>Fringe benefits</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td></td>
</tr>
<tr>
<td>Consultant fees</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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<tr>
<td>Travel</td>
<td>$2,207</td>
<td>$0</td>
<td>$0</td>
<td>$2,207</td>
</tr>
<tr>
<td>Supplies and materials</td>
<td>$200</td>
<td>$0</td>
<td>$0</td>
<td>$200</td>
</tr>
<tr>
<td>Services</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td></td>
</tr>
<tr>
<td>Other costs</td>
<td>$3,440</td>
<td>$0</td>
<td>$0</td>
<td>$3,440</td>
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<tr>
<td>Total direct costs</td>
<td>$24,631</td>
<td>$0</td>
<td>$0</td>
<td>$24,631</td>
</tr>
<tr>
<td>Indirect costs</td>
<td>$6,256</td>
<td>$0</td>
<td>$0</td>
<td>$6,256</td>
</tr>
<tr>
<td>Total project costs</td>
<td>$30,887</td>
<td>$0</td>
<td>$0</td>
<td>$30,887</td>
</tr>
</tbody>
</table>

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

1. Indicate the amount of outright and/or federal matching funds that is requested from NHPRC.
2. Indicate the amount of cash contributions that will be made by the applicant and cash and in-kind
   contributions made by third parties to support project expenses that appear in the budget. Cash gifts that will
   be raised to release federal matching funds should be included under “Third-party contributions.” (Consult the
   program guidelines for information on cost sharing requirements.) When a project will generate income that will
   be used during the grant period to support expenses listed in the budget, indicate the amount of income that will
   be expended on budgeted project activities. Indicate funding received from other federal agencies.
3. Total Project Funding should equal Total Project Costs.

1. REQUESTED

<table>
<thead>
<tr>
<th></th>
<th>$</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outright</td>
<td></td>
</tr>
<tr>
<td>Federal Matching</td>
<td></td>
</tr>
<tr>
<td>TOTAL FUNDING</td>
<td>$0</td>
</tr>
</tbody>
</table>

2. COST SHARING

<table>
<thead>
<tr>
<th></th>
<th>$</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant’s contributions</td>
<td></td>
</tr>
<tr>
<td>Third-party contributions</td>
<td></td>
</tr>
<tr>
<td>Project income</td>
<td></td>
</tr>
<tr>
<td>Other federal agencies</td>
<td></td>
</tr>
<tr>
<td>TOTAL COST SHARING</td>
<td>$0</td>
</tr>
</tbody>
</table>

3. TOTAL PROJECT FUNDING (Total Funding + Total Cost Sharing): $0
Submission of a Revised Budget

When submitting a revised budget, the Institutional Grant Administrator or Individual Applicant should provide the information requested below. The signature of this person indicates approval of the budget submission and the agreement of the organization/individual to cost share project expenses at the level under “Project Funding.”

Name and Title: Scott Reilly, Archivist II

Telephone: 802-828-2207 E-mail: scott.reilly@sec.state.vt.us

Signature: ___________________________ Date: 01/26/2023
This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

| Application Filing Name: | VT Historical Records Advisory Board |

**Mandatory Documents**

- Application for Federal Assistance (SF-424)
- Assurances for Non-Construction Programs (SF-424)

**Optional Documents**

- Project Narrative
- Other Support

Enter a name for the application in the Application Filing Name field.

- You can save your application at any time by clicking the "Save" button at the top of your screen.
- The "Save & Submit" button will not be functional until all required data fields in the application are completed and you clicked on the "Check Package for Errors" button and confirmed all data required data fields are completed.
- Open and complete all of the documents listed in the "Mandatory Documents" box. Complete the SF-424 form first.
- It is recommended that the SF-424 form be the first form completed for the application package. Data entered on the SF-424 will populate data fields in other mandatory and optional forms and the user cannot enter data in these fields.
- The Project Narrative is a combination of both, "Mandatory Documents" are required for this application. "Optional Documents" can be used to provide additional support for this application or may be required for specific types of grant activity. Reference the application package instructions for more information regarding "Optional Documents".
- To open and complete a form, simply click on the form's name to select the item and then click on the => button. This will move the document to the appropriate "Documents for Submission" box and the form will be automatically added to your application package. To view the form, scroll down the screen or select the form name and click on the "Open Form" button to begin completing the required data fields. To remove a form/document from the "Documents for Submission" box, click the document name to select it, and then click the <= button. This will return the form/document to the "Mandatory Documents" or "Optional Documents" box.
- All documents listed in the "Mandatory Documents" box must be moved to the "Mandatory Documents for Submission" box. When you open a required form, the fields which must be completed are highlighted in yellow with a red border. Optional fields and completed fields are displayed in white. If you enter invalid or incomplete information in a field, you will receive an error message.

Click the "Save & Submit" button to submit your application to Grants.gov.

- Once you have properly completed all required documents and attached any required or optional documentation, save the completed application by clicking on the "Save" button.
- Click on the "Check Package for Errors" button to ensure that you have completed all required data fields. Correct any errors or if none are found, save the application package.
- The "Save & Submit" button will become active; click on the "Save & Submit" button to begin the application submission process.
- You will be taken to the applicant login page to enter your Grants.gov username and password. Follow all onscreen instructions for submission.
**Application for Federal Assistance SF-424**

*1. Type of Submission:*
- [ ] Preapplication
- [x] Application
- [ ] Changed/Corrected Application
- [ ] Continuation
- [ ] Revision

*2. Type of Application:*
- [x] New

*3. Date Received:*
- Completed by Grants.gov upon submission.

*4. Applicant Identifier:*

*5a. Federal Entity Identifier:*

*5b. Federal Award Identifier:*

*6a. State Use Only:*

6. Date Received by State: __________

7. State Application Identifier: __________

8. APPLICANT INFORMATION:

- **a. Legal Name:** Vermont State Archives and Records Administration
- **b. Employer/Taxpayer Identification Number (EIN/TIN):** 03-6000264
- **c. Organizational DUNS:** 3607453010000

- **d. Address:**
  - Street1: 1078 US RTE 2, Middlesex
  - Street2: __________
  - City: Montpelier
  - County: __________
  - State: VT: Vermont
  - Province: __________
  - Country: USA: UNITED STATES
  - Zip / Postal Code: 05633-7701

- **e. Organizational Unit:**
  - Department Name: __________
  - Division Name: __________

- **f. Name and contact information of person to be contacted on matters involving this application:**
  - Prefix: Mr.
  - First Name: Scott
  - Middle Name: __________
  - Last Name: Reilly
  - Suffix: __________
  - Title: Archivist II
  - Organizational Affiliation: Vermont State Archives and Records Administration
  - Telephone Number: 802-828-2207
  - Fax Number: __________
  - Email: scott.reilly@sec.state.vt.us
<table>
<thead>
<tr>
<th>Application for Federal Assistance SF-424</th>
</tr>
</thead>
<tbody>
<tr>
<td>9. Type of Applicant 1: Select Applicant Type:</td>
</tr>
<tr>
<td>Type of Applicant 2: Select Applicant Type:</td>
</tr>
<tr>
<td>Type of Applicant 3: Select Applicant Type:</td>
</tr>
<tr>
<td>* Other (specify):</td>
</tr>
<tr>
<td>* 10. Name of Federal Agency:</td>
</tr>
<tr>
<td>11. Catalog of Federal Domestic Assistance Number:</td>
</tr>
<tr>
<td>CFDA Title:</td>
</tr>
<tr>
<td>* 12. Funding Opportunity Number:</td>
</tr>
<tr>
<td>* Title:</td>
</tr>
<tr>
<td>13. Competition Identification Number:</td>
</tr>
<tr>
<td>Title:</td>
</tr>
<tr>
<td>14. Areas Affected by Project (Cities, Counties, States, etc.):</td>
</tr>
<tr>
<td>* 15. Descriptive Title of Applicant's Project:</td>
</tr>
</tbody>
</table>

Attach supporting documents as specified in agency instructions.
**Application for Federal Assistance SF-424**

**Version 02**

16. Congressional Districts Of:
   * a. Applicant  **VT-001**
   * b. Program/Project  **VT-001**

17. Proposed Project:
   * a. Start Date:  **01/01/2012**
   * b. End Date:  **12/31/2012**

18. Estimated Funding ($):

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>a. Federal</strong></td>
<td>15,000.00</td>
</tr>
<tr>
<td><strong>b. Applicant</strong></td>
<td>15,000.00</td>
</tr>
<tr>
<td><strong>c. State</strong></td>
<td>0.00</td>
</tr>
<tr>
<td><strong>d. Local</strong></td>
<td>0.00</td>
</tr>
<tr>
<td><strong>e. Other</strong></td>
<td>0.00</td>
</tr>
<tr>
<td><strong>f. Program Income</strong></td>
<td>0.00</td>
</tr>
<tr>
<td><strong>g. TOTAL</strong></td>
<td>30,000.00</td>
</tr>
</tbody>
</table>

19. Is Application Subject to Review By State Under Executive Order 12372 Process?
   - [ ] a. This application was made available to the State under the Executive Order 12372 Process for review on
   - [ ] b. Program is subject to E.O. 12372 but has not been selected by the State for review.
   - [x] c. Program is not covered by E.O. 12372.

20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)
   - [ ] Yes
   - [x] No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

   ** I AGREE

   ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

<table>
<thead>
<tr>
<th>Prefix:</th>
<th>* First Name: Scott</th>
</tr>
</thead>
<tbody>
<tr>
<td>Middle Name:</td>
<td></td>
</tr>
<tr>
<td>Last Name: Reilly</td>
<td></td>
</tr>
<tr>
<td>Suffix:</td>
<td></td>
</tr>
<tr>
<td>Title: Archivist II</td>
<td></td>
</tr>
<tr>
<td>Telephone Number: 802-828-2207</td>
<td>Fax Number:</td>
</tr>
<tr>
<td>Email: <a href="mailto:scott.reilly@sec.state.vt.us">scott.reilly@sec.state.vt.us</a></td>
<td></td>
</tr>
</tbody>
</table>

**Signature of Authorized Representative:** Completed by Grants.gov upon submission.  **Date Signed:** Completed by Grants.gov upon submission.

Authorized for Local Reproduction
* Applicant Federal Debt Delinquency Explanation

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.
CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

*APPLICANT'S ORGANIZATION
Vermont State Archives and Records Administration

*PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Mr.          * First Name: Scott          Middle Name:
Last Name: Reilly          Suffix:          
Title: Archivist II

*SIGNATURE: Completed on submission to Grants.gov  * DATE: Completed on submission to Grants.gov
ATTACHMENTS FORM

Instructions: On this form, you will attach the various files that make up your grant application. Please consult with the appropriate Agency Guidelines for more information about each needed file. Please remember that any files you attach must be in the document format and named as specified in the Guidelines.

Important: Please attach your files in the proper sequence. See the appropriate Agency Guidelines for details.

<table>
<thead>
<tr>
<th>Attachment Number</th>
<th>File Name</th>
</tr>
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ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

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NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4783) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1688, and 1685-1695), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-225), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1965, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).


14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cease to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

Completed on submission to Grants.gov

* APPLICANT ORGANIZATION

Vermont State Archives and Records Administration

* TITLE

Archivist II

* DATE SUBMITTED

Completed on submission to Grants.gov

Standard Form 4246 (Rev. 7-97) Back
1. Project Scope

The Vermont Historical Records Advisory Board (VHRAB) is seeking to re-establish its leadership role in providing support for Vermont’s historical records repositories and the publics they serve. Specifically VHRAB is seeking $15,000 in NHPRC funds to support a state-wide planning effort to be performed by a part-time project manager position for one year. The project manager’s specific duties will include:

- Analyze for VHRAB recent surveys and reports not only on Vermont records and repositories but also the current economic/social climate of Vermont.
- Analyze for VHRAB past NHPRC grants to Vermont and VHRAB regrants, including spot follow-ups to selected recipients.
- Develop a regrant program to support local records programs based on the above analyses and in line with our strategic plan.

VHRAB’s Current Strategic Plan

VHRAB’s first strategic plan was adopted in 1995. After 15 years it was reviewed and revised; our current strategic plan was adopted in August 2011. The high level goals have remained consistent:

- To help Vermonters obtain the knowledge and resources to identify, preserve, and make accessible historical records;
State and National Archival Partnership Proposal
Vermont Historical Records Advisory Board
September 2010
Project Narrative

- To facilitate cooperation and communication among historical record repositories and information agencies within the state.
- To enhance an understanding of the Vermont experience through the use of historical records.
- To serve as a liaison with the NHPRC for statewide planning, as well as grant promotion and review.

The success of our proposed project will establish the necessary groundwork for fulfilling each of the goals set forth in our strategic plan. The project also will advance NHPRC’s goals of having active state historical records advisory boards able to provide statewide services; assess the health of local record programs; and encourage collaboration among repositories. In turn, to the degree VHRAB can assess what types of grants – at least in the Vermont environment – produce sustained results, the proposed project can assist the NHPRC’s planning discussions.

Background

Between 1994 and 2000 VHRAB successfully completed three projects with NHPRC funding that supported Board goals. A 1994 grant (94-004) supported creation of a strategic plan, which led to two successful regrant projects (96-041 and 2000-52). The Board also encouraged numerous NHPRC applications, many of which grew out of the Board’s regrant work. An example of the latter was a collaborative project embracing
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Vermont Historical Records Advisory Board  
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five repositories in St. Johnsbury, VT (99-054) that had initially been formed under a regrant.

The 1996 regrant (96-041) for $49,500 resulted in 32 regrants to 27 different institutions or organizations; attracted 168 individuals to workshops; and improved access to collections as diverse as the Vermont Eugenics Survey (1925-1931) and the Northern New England Weather Center (1890s to 1997). A second regrant for $74,074 (2000-052) supported 14 workshops; 52 on-site consultancies by archivists to local repositories; and three publications including one on disaster planning and another focused on disaster response for municipal electronic records. Beyond these quantifiable results communication among Vermont’s repositories was improved; partnerships were forged with groups such as the Center for Rural Studies at the University of Vermont, the Vermont Museum and Gallery Alliance (VMGA), the Vermont Archives Network (VAN), and the Vermont Municipal Clerks’ and Treasurers’ Association (VMCTA); and VHRAB established visibility as a resource for Vermont’s records communities.

After 2004 VHRAB board members focused on their own institution’s needs. In 2003, the state coordinator/state archivist focused on his institutional goals and in 2003 gained statutory recognition for the State Archives; in 2008 added records management, creating the Vermont State Archives and Records Administration; and in 2010 completed an $8.1 million project to construct an archival facility.
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In June 2010 Governor Jim Douglas appointed eight new board members to the VHRAB. The state archivist remains as coordinator for the Board. In November 2010 the board reviewed two NHPRC grant proposals. At its August 2011 meeting, the Board adopted an updated strategic plan and developed this SNAP grant proposal. During the fall of 2011, the Board plans to familiarize itself with the prior regrant programs results.

2. Plan of Work

From its previous experience VHRAB believes that it can best sustain its revitalization by having a position to research, compile, and analyze information that can inform the Board’s planning and decision making. Specifically we are requesting funding for a part-time project manager who will, at the Board’s direction, compile and analyze information. In January 2012 the Board will recruit and hire the project manager and the position will be attached to the Vermont State Archives and Records Administration.

Four specific tasks have been identified as priorities for the project manager:

1. Analyze recent surveys and reports on Vermont records and repositories and on the current economic/social climate of Vermont. In 1994-95 VHRAB guided a full scale strategic planning process. The plan that came out of that process was refined and updated though the course of two subsequent regrants. In the wake of several recent surveys that took in-depth looks at Vermont records and the environments in which Vermont’s recordkeepers work, the Board revised its strategic plan.
The Vermont Historical Society received an Institute of Museum and Library Services "Connecting to Collections" grant and during 2008-09 sent surveys to 776 collecting institutions in Vermont and received 292 completed surveys. In 2007-2009 the Council on Vermont's Future, created by the Vermont Rural Development Council, developed an extensive profile of the state through the collection and analysis of data by St. Michael's College and through forums, focus groups, and other events around the state. In the end over 3,900 Vermonters offered their perspectives on the state's current environment and what they would like to protect or encourage going into the future.

The project manager will review these reports; do follow-up questions with the leadership of both projects to see what, if any, subsequent steps have occurred; and provide VHRAB with an analysis of the findings of each report and how they might shape a regrant proposal.

2. Analyze for VHRAB past NHPRC grants to Vermont and VHRAB regrants, including doing spot follow-ups to selected recipients. The Board knows that some previous grants/regrants have had a sustained impact on recipients. Shelburne Farms (2000-113) successfully integrated its photograph collections into its programs after the photos were better described and preserved. The St. Johnsbury Archives Collaborative grant (99-054) created enough momentum that the five participating institutions have sustained the goals of the collaboration, most recently in 2011 by conducting a review of archival
practices for the staff. In other cases the Board is aware that grant-inspired momentum was not sustained beyond the life of the grant or regrant.

In planning for a future regrant program, it is important to have some understanding of what types of grants, institutions, or training produce success beyond funding cycles. Are cooperative projects more likely to be sustained, as VHRAB maintained during the regrants? Is there a difference in outcomes between graduated training cycles, onsite visits, or publications tailored to Vermont’s record communities? Is there any way to sustain success among the majority of Vermont repositories who rely on volunteers and small local memberships?

The project manager will review past NHPRC grants to Vermont and use surveys, phone calls and other means to get a sense of the grants’ impact. Since current Board members represent institutions that have received over half of all NHPRC grants to Vermont, it will not be difficult to learn about the impacts of those grants. Learning about the impact of projects supported through the regrant programs will be a little more complex. Contact information will have to be updated; a survey devised that can capture simple metrics for determining grant impacts; and criteria established for when more in-depth, follow-up interviews should be conducted. The project manager will also explore reaching past recipients through roundtables held at the meetings of organizations like the League of Local Historical Societies or the Vermont Municipal Clerks and Treasurers’ Association. Surveying past recipients does not have to be comprehensive but any
understanding of the sustained impact of different types of grants on different types of institutions will be very useful to the Board.

3. Develop a regrant program to support local records programs based on the above analyses and in line with our strategic plan. The findings of the project manager relative to Vermont’s historical records environment and previous NHPRC grants and regrants will provide the Board with the necessary information to craft an effective regrant program. The project manager in conjunction with the VHRAB board and selected institutional partners will draft and finalize a plan for a regrant program and an application to the NHPRC for a project to fund the program beginning in 2013.

The plan for the regrant program will not only be a fundamental guide for the Board’s decision-making, but it also will be an essential resource for Vermont institutions that seek regrant funding. The plan will outline objectives, priorities, and criteria for regrant projects in light of the project manager’s analysis. While that analysis ultimately will establish specific funding priorities for the program, it is anticipated that those priorities generally will include activities that support the abilities of local repositories to understand and apply archival management principles, including but not limited to collection policies, disaster preparedness and response, and arrangement and description.

To support the regrant program, the project manager and the Board will then draft and submit an application to the NHPRC to fund a comprehensive grant project. The project
will have three components. First, it will include regrants to small, rural historical institutions, town clerks and libraries to support projects that meet the priorities and objectives established under the regrant plan. Second, the grant project will provide topical workshops related to the objectives of the regrant program. Third, it will create programs with selected institutional partners to teach specific audiences (e.g. school children, interested adults, historical society volunteers, etc.) the value and diverse uses of historical records.

4. Help VHRAB identify opportunities and partners for Archives Month in 2012, 2013, and 2014. VHRAB has not actively participated in Archives Month for several years. While the recently active Board has little time to organize a larger effort this year, the project manager will assist the Board in identifying themes, partners, and activities for Archives Month in 2012 and beyond. Some of the efforts of the project manager related to the regrant program also will support Archives Month planning. For example, the survey of local repositories and former grant recipients will help identify possible meeting or publicity themes. In addition, there are several other opportunities that can be explored by the project manager and Board members; several Board members, for example, are already serving on groups commemorating the Civil War sesquicentennial. Given the interest in the Civil War, this could be a productive outreach vehicle.
Schedule of Work for 2012

January-February: Upon notification of funding, VHRAB will recruit and hire the project manager. VHRAB will interview and hire position no later than 4 weeks after funding is received and finalize expectations and detailed plan of work with the project manager.


February-April: Analysis of previous grants will be done; while this may be ongoing, preliminary findings should be presented to the Board by early May. This will allow the Board to prioritize what types of projects produce sustained results.

May-July: With input from the project manager, the Board will use the analyses to develop a regrant proposal.

August-September: The Board will seek funding to help implement the regrant program.

June-October: Working with the Board, the project manager will identify themes for Archives Months and help plan events.
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September 2010  
Project Narrative

October-December: Project manager will assist the Board in presenting reports and  
strategic plans to repositories, the public and other interested parties, including online  
presentations.

3. Outcomes

The project will produce:

- Reports of findings based on the analysis of the Vermont historical records  
environment and the review of previous NHPRC grants and regrants.
- Metrics for determining what VHRAB activities are most likely to produce  
sustained results within the Vermont environment.
- A plan for a regrant program and an application to the NHPRC for funding to  
support the program.

4. Project Staff

The success of the project will rely on the effective collaboration of the Board and the  
project manager who will be hired under this proposal. The majority of the work  
however will be the responsibility of the project manager. In order to evaluate the  
Vermont historical records environment as well as the impact of previous grants, the  
project manager must be well-versed in the principles and practices of archival  
management. He or she will have obtained a master's degree from an accredited  
university in the areas of preservation; archives, library science, history, and/or
conservation of cultural property. He or she will have had some archival training and/or related work experience associated with archives and records. Knowledge about outreach activities in archives also will be particularly valuable in preparing plans for Archives Month.

To successfully review and analyze the previous studies and grants, the project manager moreover must be organized, detail-oriented, and able to collect and evaluate information from a variety of sources. In contacting and conducting follow-up interviews with past grant recipients, he or she must have exceptional communication skills in order to explain the purposes and goals of the project and to solicit the necessary information from participants. The project manager also will have solid writing skills and some experience writing analytical reports and grant applications for use by the Board.

The Board in turn will be responsible for setting the overall plan of work for the project; for providing the requisite support and guidance to the project manager; and for acting on the findings of the project manager in a timely manner. VHRAB is chaired by State Archivist Gregory Sanford and the Vermont State Archives and Records Administration/Office of the Secretary of State will administer the grant. Scott Reilly will serve as Project Director and be responsible for all grant management responsibilities, including reporting requirements.
5. Performance Objectives

The project will be evaluated against the following performance measures:

1. Number of reports prepared and submitted to the VHRAB board on the historical records environment in Vermont.

2. Number of NHPRC grants and VHRAB regrants analyzed and reported on to the Board.

3. Number of plans developed for regrant program.

4. Number of grant proposals submitted to the NHPRC for a regrant program.

5. Number of plans developed for Archives Month.
Vermont Historical Records Advisory Board
Strategic Plan
Revised and Adopted August 2011

Purpose

The purpose of the Vermont Historical Records Advisory Board (VHRAB) is to support the identification, preservation and use of records with continuing or historical value in Vermont.

Goals

To fulfill its purpose, the VHRAB’s specific goals are:

I. To help Vermonters obtain the knowledge and resources to identify, preserve, and make accessible historical records.
II. To facilitate cooperation and communication among historical record repositories and information agencies within the state.
III. To enhance an understanding of the Vermont experience through the use of historical records.
IV. To serve as a liaison with the National Historical Publications and Records Commission (NHPRC) for statewide planning, as well as grant promotion and review.

Background

The National Publications and Records Commission is affiliated with the National Archives and Records Administration. It encourages efforts by government and private organizations to preserve and make available for public use those records that further the understanding and appreciation of American history.

Historical records include manuscripts, personal and family papers, and organization, corporate, and government archives. They may be papers, photographs, motion pictures, architectural drawings, and electronic records. In seeking to assure the preservation and use of historical records, the NHPRC works with advisory boards in the states.

The Vermont Historical Records Advisory Board is composed of volunteers appointed by the Governor to three year terms. A majority of the members must have experience in archival administration. The State Archivist serves as coordinator.

Environment

In understanding Vermont’s recordkeeping environment, VHRAB reviewed past studies and surveys of Vermont’s historical records and the results of past VHRAB re-grant programs. Of particular use was the Vermont Historical Society’s 2008-2009 Connecting
to Collections survey on the condition of Vermont’s historical records. The survey, funded by the Institute of Museum and Library Sciences, received 292 responses from local historical societies, libraries, municipal clerk offices, museums, and probate courts. Board members also attended the June 2009 conference on the survey results. Also of value was the Council on Vermont’s Future 2007-2009 effort to document the state’s economic, demographic, environmental, educational and cultural realities and to survey Vermonters on a common vision for the future of their state. The Council, which was created through the Vermont Rural Development Council, involved 4,000 Vermonters in its study.

Many factors—social, demographic, economic, cultural, and technological—contribute to the environment in which historical records programs operate in Vermont. While some of them present serious challenges, they also provide opportunities that programs can turn to their advantage. The most significant findings follow:

- 53% of Vermont’s population is native born, a percentage that has been dropping over the last several decades.
- 35.5% of Vermont’s population is college-educated, the 6th highest rate in the country.
- 90% of Vermonters have access to at least one mass-market broadband service (though not all are actually connected, with rural areas the most difficult to serve).
- The Council on the Future of Vermont (CFV) found that “whether they are new to Vermont or have lived here all their lives, residents are proud of the history of their state.”
- The CFV also reported that “Vermonters are passionate about the state identity but are even more connected to their local community. There are distinct regions within Vermont, each of which has a sense of identity separate from the rest of the state.”
- 31% of the institutions responding to the Connecting to Collections (CTC) survey had annual budgets of less than $5,000, the lowest range option in the survey. Only 28% of the collecting agencies reported annual budgets of over $100,000.
- 89% of the historical societies in the CTC survey had no paid staff, while 44% had no volunteer staff.
- High turnover among volunteer and part-time staff results in the loss of knowledge of resources and record care practices.
- 42% of the historical societies in the CTC survey had no catalogues to their holdings, while 28% reported that less than a quarter of their holdings were catalogued.
- 74% of the CTC respondents had no public, online access to their catalogues, though 8% were planning to do so in 2009.
- 67% of the CTC respondents have no emergency response plans, including 84% of the historical societies.
- 26% of the CTC respondents had some form of environmental control monitoring system; 63% of the historical societies reported no such systems.
• New digital formats challenge the definition of "Vermont historical records" and standards for the identification and preservation of digital records are not uniformly understood or applied.
• Based on previous grants, there is strong support for grant-supported roving archivists or consultants who can provide on-site assistance and training.
• Based on previous grants, collaborative projects within a community or region are most likely to sustain success.
• Based on previous grants there is support for graduated re-grant programs that allow a recipient to move from planning to implementation in stages.

Strategies

The following strategies for improving the identification, preservation and use of Vermont's historical records are based on the Board's review of recent surveys and on their experience and discussions.

The Board will use these strategies in encouraging and evaluating grant applications to the NHPRC, in applying for funding that it can re-grant to eligible projects and organizations, and in choosing projects it can undertake itself. Other organizations and individuals are encouraged to consider these strategies in plans for their own activities.

Strategy #1. To make collections available:

a. Support projects to arrange and describe collections of archival materials [Goals I, IV]

b. Support projects that provide access to archival records created electronically [Goal I]

c. Support projects that put selected manuscript and archival images on line [Goal I]

d. Support development of a statewide database of manuscripts, archival records, repositories, and finding aids [Goal I, II]

Strategy #2. To increase caretakers' ability to preserve and make historical records available:

a. Hold workshops in basic archival management; arrangement and description; preservation; and appraisal [Goal I]

b. Provide on-site advisory and instructional services for small repositories with archival collections [Goals I, II]

c. Develop networking and knowledge-sharing opportunities through meetings, social media, and other communication tools [Goal II].
Strategy #3. To promote awareness of the value of historical records:

a. Support programs that use archival materials for specific audiences, such as students [Goal III]

b. Organize an annual Archives Month to coordinate publicity for historical records programs in the state [Goals I, II, III]

c. Set up an awards program to recognize exemplary or important programs or projects involving archival records [Goal I]

Strategy #4. To improve documentation of life in Vermont:

a. Support the identification of important subjects that are not well represented in Vermont repositories [Goal I]

b. Support efforts to clarify the responsibilities and procedures for collecting, maintaining and making accessible state and local government records. [Goal I]

c. Support development of documentation strategies for specific geographic regions and topical areas (such as agriculture, tourism, the environment) [Goals I, II, III]

Board Actions

To further these goals the Board will:

Apply for regrant funds to be used
1) for small repositories to arrange & describe records, 
2) for professional organizations to provide workshops and advisory services, 
3) for projects introducing audiences to the use and value of historical records, 
4) for projects to improve the identification of historical records in Vermont;

Encourage and provide advice for applications to the NHPRC for projects that will help meet these goals;

Apply for additional NHPRC funds to carry out additional projects;

Continue to add new Board members to represent a broader range of people who care about historical records;

Report Board priorities and activities regularly to groups whose members have an interest in its purpose;

Evaluate these goals and the effectiveness of these methods for achieving them in three years, making a new plan based on those findings.
Timetable for Board Action

Ongoing

Meet at least four times annually.
Organize events annually to celebrate Archives Month (October).
Encourage and provide advice for grant applicants meeting NHPRC guidelines.
Review grant applications.
Report on activities and priorities to other organizations.

2011

Revise and adopt strategic plan.
Apply for NHPRC SNAP grant.
Create VHRAB Web site.

2012

Implement SNAP grant.
Set up an awards program to recognize exemplary or important programs or projects.
Apply for regrant funding.

2013

Administer regrant funds.

2014-2015

Continue to administer regrant funds.
Evaluate and revise regrant program.
Evaluate and revise strategic plan.

VHRAB Grant Evaluation Priorities

VHRAB will evaluate applications to the NHPRC for projects within the state against the following priorities:

1) Projects to arrange and describe collections of historical records.

2) Projects that put selected manuscript and archival collections online.

3) Projects that preserve and provide access to electronic records.
4) Development of documentation strategies for specific geographic regions and subject areas important to Vermont, including those which may be under-represented in Vermont repositories.

5) Development and implementation of a research agenda to better understand record creating and collecting in Vermont.

6) Collection analysis projects to evaluate the documentation presently in Vermont repositories.

7) Development of a statewide database of manuscripts, archival records, repositories, and finding aids.
VERMONT HISTORICAL RECORDS ADVISORY BOARD

State Coordinator:
Gregory Sanford, State Archivist, Vermont State Archives and Records Administration
Term ends May 31, 2013

Members:
Chris Burns, Curator of Manuscripts, Special Collections, University of Vermont
Term ends May 31, 2013

Paul Carnahan, Librarian, Vermont Historical Society
Term ends May 31, 2013

Mary Jo Davis, Private Conservator
Term ends May 31, 2012

Ann Lawless, Executive Director, American Precision Museum
Term ends May 31, 2012

Scott Reilly, Archivist II, Vermont State Archives and Records Administration
Term ends May 31, 2012

Elizabeth B. Scott, College Archivist, St. Michael’s College
Term ends May 31, 2012

Andrew Wentink, Curator, Special Collections & College Archives, Middlebury College
Term ends May 31, 2012