

**Society of American Archivists Foundation  
Board of Directors Meeting  
November 4-5, 2018  
Chicago, Illinois**

**Proposed Revisions to the  
Grant Application Process and Guidelines  
(Prepared by Scott Cline)**

**BACKGROUND**

The SAA Foundation Grant Review Committee is responsible for regularly reviewing the grant application process and guidelines to ensure that they remain current and take into account any insights gained from the most recent grant review cycle.

**DISCUSSION**

In the 2018 grant cycle, one application indicated that a current Board member would be the primary consultant on the project and would thus be the direct recipient of grant funds. The Board determined that the current conflict-of-interest statement is not specific enough and asked the Grant Review Committee to revise the statement accordingly.

Although these revisions were made, the Review Committee thought it important to recommend further editorial and organizational changes to ensure that the guidelines are comprehensive and easy to understand.

**MOTION**

**THAT the following revisions to the SAA Foundation Grant Application Process and Guidelines be approved** (*underline=addition, strikethrough=deletion*):

**Grant Application Process and Guidelines**

~~Applications for grants will be considered and decided by the SAA Foundation Board of Directors. The program will be administered under the direction of the Board and its appointed Grant Review Committee, and the SAA Executive Director. The application and grant process will follow standard guidelines established by the SAAF Board.~~

**2018-2019 Grant Application Deadlines**

**December 1, 2018** – Letter of Inquiry

**December 31, 2018** – Grant Review Committee Feedback

**February 1, 2019 – Grant Applications Due**  
**May 15, 2019 – Final Decisions Made by Board**

**[Button to online application, if applicable.]**

## **Funding Priorities**

The SAA Foundation Board awards grants that meet the [mission and goals](#) of the [SAA Foundation](#) and/or the [strategic planning](#) priorities of the Society of American Archivists. ~~These statements provide a broad spectrum of possible ways to enhance the work of archivists and serve as guiding tools for the Board's fund-raising and grant-making activities.~~ Applicants ~~are expected to~~must make direct and substantive reference to the way(s) in which an award of funds will advance one or more of the strategic goals of the SAA Foundation and/or the Society of American Archivists. To set reasonable expectations for applicants, the Board endeavors to publicize special concerns within the [SAA Foundation](#) funding priorities and invite applications in those areas.

The SAA Foundation does not fund the following:

- [Indirect or overhead costs;](#)
- [General internships and fellowships that are not related to a specific Foundation-funded project;](#)
- [Travel, registration, or other costs associated with attending a professional conference;](#)
- [Scholarships or tuition; or](#)
- [Costs associated with attending trainings.](#)

## **Funds Available**

The Board encourages grant requests in amounts ranging from \$500 to \$5,000, although the [SAA Foundation](#) will consider larger funding requests that could have an unusual impact on the profession. The [SAA Foundation](#) does not pay for indirect costs.

### **2017-2018 Grant Application Deadlines**

**December 1, 2017**— Letter of Inquiry

**December 31, 2017**— Grant Review Committee Feedback

**February 1, 2018**— Grant Applications Due

**May 15, 2018**— Final Decisions Made by Board

## **Eligibility**

Individuals, groups, and organizations are eligible to apply for an [SAA Foundation](#) grant. Among the categories of applicants who are encouraged to apply are practicing archivists, [SAA component groups](#), other organizations of archivists, and allied professionals.

## **Grant Timing**

The [SAA Foundation](#) follows a July 1 to June 30 fiscal year cycle. To be fairly considered by the Board, initial Letters of Inquiry should be received no later than December 1. All formal Grant Applications must be submitted by February 1. The Board reserves the right to consider a proposal at any time for unusual or special circumstances, and for similar reasons may streamline the grant request process to address an urgent need.

## **Applying for an SAA Foundation Grant**

The Board will endeavor to follow a transparent, fair, and simple process of application and evaluation. ~~No current Society of American Archivists~~ [SAA Foundation \(SAAF\) Board member may be the direct or indirect recipient of Foundation grant funds.](#) No Board member will participate in consideration of a grant application in which the member has, or could be perceived as having, a personal interest, benefit, or relationship that could create a conflict of interest.

~~The Executive Director and the Board will use the following standard process to consider a grant request.~~

## Letter of Inquiry

[\[Button to online application/collector for letters of inquiry?\]](#)

The initial ~~Letter~~ [letter](#) of ~~Inquiry~~ [inquiry](#) should be a brief introductory exchange. It is designed to reduce the work for an applicant by providing a quick answer to the question: Is my proposal something that fits the funding priorities of the SAA Foundation?

The applicant should begin with a brief, introductory statement of interest (maximum 750 words) to explore the appropriateness of a proposal to the [SAAF Foundation](#). The letter should provide ~~the SAAF~~ [with](#) summary information on the overall purpose and goals of the proposed work as follows:

- Identifying information on the applicants, participants, and/or sponsoring organization;
- A short abstract of the project's goals, activities, product, and potential impact;
- The precise connection to [the SAAF Foundation's](#) priorities and/or SAA's strategic plan; and
- Estimated total project costs and amount of funds requested from [the SAAF Foundation](#).

Letters of inquiry are due no later than December 1. Letters can be submitted by email to [saahq@archivists.org](mailto:saahq@archivists.org) or [by mail to the SAA Office](#). Each inquiry will be reviewed by the SAA Foundation Grant Review Committee within ~~two~~ [three](#) weeks of the deadline to determine its appropriateness within the guidelines and funding priorities for that grant period. If appropriate, the proposer will be invited to submit a formal grant application.

## Grant Application

[\[Button to online grant application, if applicable.\]](#)

~~Applicants must use the online grant application form.~~ The ~~Grant a~~ [Application](#) is a refinement of the initial letter of inquiry. It includes a narrative proposal and budget statement that should not exceed three pages in total length. The proposer is asked to elaborate on the five points of information from the initial letter of inquiry as follows:

- Ways in which the project advances the [SAAF Foundation's](#) mission and vision; or the [archival archives](#) profession with reference to SAA's strategic plan; or other professional call to action.
- The goals, methods, work plan, and expected products/outcomes of the project.
- Benchmarks and assessment criteria that will provide a measure of the impact and performance of the activity.
- A timetable and expected delivery date for a final report [to the SAAF Foundation](#) on outcomes. ~~to SAAF~~ (required).
- The roles performed by the principals and credentials and résumés, and/or a description of the sponsoring body.
- A copy of the determination letter regarding 501(c)(3) status.
- An endorsement from an officer of the sponsoring organization (if the applicant is not an independent agent).

- A copy of the Institutional Review Board statement of approval for any research sponsored by institutions that require approval when utilizing human subjects.

**Budget.** The total requested funds should be stated under separate heading in the proposal. A project budget should indicate the specific allocation of requested funds by program activity or resource. In-kind contributions and other income sources are encouraged and should be identified. Applicants are expected to produce a standard statement of income and expense and brief narrative description of account lines being to be funded by the proposed SAA Foundation grant.

**Due Diligence Attachments.** The SAA Foundation Board may optionally require one or more of the following additional documents to evaluate an organization's ability to carry out the activities described in the proposal.

- Financial reports or audited statements.
- List of trustees or directors.
- Annual report and/or Form 990 or 990EZ.
- Diversity data report.
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### Decisions

All grant applications will be received and processed by the SAA Foundation's Executive Director. The Executive Director will conduct an initial administrative review of the proposal to determine if it:

- Meets baseline requirements for funding according to the Board's criteria and guidelines, and
- Conforms to the mission, resources, and granting priorities of the SAA Foundation.

The Executive Director will forward the requests that meet those two criteria with recommendation to the Grant Review Committee. The Review Committee will act to accept or decline the Executive Director's recommendation. If a formal Grant grant Application application is invited from a proposer, the Grant Review Committee will review the proposal according to standards established by the Board. The Executive Director, in consultation with members of the Grant Review Committee, will advise the applicant if additional information or due diligence documents are needed. The Grant Review Committee will evaluate present the grant applications and make funding recommendations to the Foundation Board requests to the Board with or without recommendation. All grant awards will be decided by majority vote of the Board of Directors. The SAAFoundation President will notify applicants of the Board's decision by May 15.

~~The deadline for Grant Applications is February 1. The SAAF President will notify applicants of the Board's decision by May 15.~~

~~The Grant Review Committee will deliver an annual report to the Board on the disposition of all inquiries and proposals. Decisions on awarded grants will be reported to the SAA Foundation's donors and SAA~~

~~members. The Board will make itself available to advise the Grant Review Committee and the Executive Director as questions or special circumstances arise about specific proposals.~~

### **Post-Project Report**

A final report ~~is required to~~must be filed with the SAAF by a date agreed upon in the award letter.

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**Support Statement:** The proposed revisions clarify the conflict-of-interest statement to ensure that current Board members do not benefit directly from Foundation funds. Editorial changes and reorganization of the documents make them easier to understand.

**Fiscal Impact:** None.