Grant Announcement:

Archival and Records Project Grants

The following grant application information is for **Archival and Records Projects.**

- *See also* Electronic Records Projects grants.

NHPRC support begins no earlier than June 1, 2007.

- Draft Deadline: August 1, 2006
- Final Deadline (postmark):   October 2, 2006

See the Application Cycle for additional information.

Grant Program Description

The Commission supports projects to facilitate the use of historical records held by archives and other repositories and to assure their long-term preservation.

The NHPRC supports identifying, collecting, describing, reformatting (including microfilming and other means of reproduction and migration), and preserving documentary sources significant to the history and culture of the United States. This program also supports projects to develop tools and techniques for the profession and projects to address professional education activities.

- The NHPRC does not fund proposals to purchase historical records.

Eligible activities include:

- Creating and developing archival programs and archives-related records management programs.
- Creating and implementing collection development plans and documentation strategies, including conducting surveys of holdings and of historical records outside of archival custody; actively acquiring historical records; implementing retention schedules; and conducting oral histories related to American Indians.
- Archival preservation of records, regardless of format, including preservation planning and reformatting (microfilming and converting audio and motion picture recordings to other formats).
- Archival processing for access, including developing or updating descriptive systems.
- Disseminating information about documentary sources through guides, directories, and other related publications.
- Promotion of the use of records by teachers, students, and the public as part of a larger archival project.
- Development of standards, tools, and techniques to advance the work of archivists and records managers, and development and implementation of archival education programs.

Grants for Archival and Records Projects cannot be used to:

- Purchase property or construct, renovate, or furnish a building;
- Purchase manuscripts or other historical records;
- Conserve or exhibit archaeological artifacts, museum objects, or works of art;
- Undertake an oral history project unrelated to American Indians history and culture;
- Acquire, preserve, or describe books, periodicals, or other library materials;
- Acquire, preserve, or describe art objects, sheet music, or other works primarily of value as works of art or entertainment;
- Undertake a records project centered on the papers of an appointed or elected public official who remains in major office, or is politically active, or the majority of whose papers have not yet been accessioned in a repository;
- Process documents, most of which will be closed to researchers for more than five years, or not be accessible to all users on equal terms, or will be in a repository that denies public access;
- Undertake an arrangement, description, or preservation project in which the pertinent documents are privately owned or deposited in an institution subject to withdrawal upon demand for reasons other than requirements of law;
- Undertake an arrangement, description, or preservation project involving Federal Government records (If the project deals with Federal records, consult with the NHPRC staff); or
- Undertake a records-management project without an archival component or objective except educational projects.

Award Information

Awards normally are for one, two, or three years and have ranged between $40,000 and $200,000. For projects that deal exclusively with electronic records, please see the Electronic Records grant announcement.

Cost Sharing

Cost sharing is the financial contribution the applicant pledges to the cost of a project. The Commission provides no more than 50 percent of project costs for Archival and Records Projects. Cost sharing can include both direct and indirect expenses, in-kind contributions, non-Federal third-party contributions, and any income earned directly by the project.

Eligibility

The following types of institutions, organizations, agencies, or individuals are eligible:

- Nonprofit organizations or institutions, including colleges and universities and other academic institutions
- State or local government agencies
- Federally-acknowledged or state-recognized Native American tribes or groups
- United States citizens applying as individuals rather than for an organization.
- Federal agencies are not eligible to apply.

Eligible organizations must be legally established and located within a state within the United States, the District of Columbia, the Commonwealth of Puerto Rico, or a United States territory.

How to Prepare an Application

Before beginning the process, you should decide how you will submit your application. We encourage you to submit via Grants.gov, but you may also download and submit your application via email, or download the forms and mail in your final application.

- For more information on your choices, see How to Submit Applications.

Applicants are encouraged to contact the program staff at the NHPRC who may:

- advise the applicant about the review process;
- answer questions about what activities are eligible for support;
- supply samples of successful applications; and
- read and comment on a preliminary draft. Applicants should submit a draft at least 2 months before the deadline.

Step one — Project Planning

A. Prepare a Draft Project Description

Answer the following questions in preparing your draft:

1. What is the purpose of the project and what are its goals?
2. What is its significance in relation to the NHPRC's mission, vision, and goals?
3. What is the plan of work for the grant period?
4. What publications or other products will be produced during the grant period?
5. What are the qualifications of the personnel?
6. What are your performance objectives?

B. Prepare a Draft Budget

You can find general suggestions, definitions, budget categories, and other information in the Preparing the Budget section of this announcement.

- Submit a draft, preferably no later than August 1, and consult with NHPRC staff.
- Revise your draft to produce a final, 20-page project narrative plus a three-page summary.

C. Prepare Supporting Documents

This includes staff resumes and up to 20 pages of supplementary appendices.

- For additional information, see the Supplementary Materials section of this announcement.

Step Two — Completing the Final Application

Complete the Project Summary

Prepare a three-page Project Summary that includes: purposes and goals of the project; significance and relationship to NHPRC goals and objectives; plan of work for grant period (including references to techniques); products and publications to be completed during the grant period; and names, addresses, phone numbers, and e-mail addresses of the project director and other key personnel.

Complete the Project Narrative

The Project Narrative is a description of the proposal. Address the following questions in your narrative:

- Answers should be no more than 20 double-spaced pages in 12-pt type with standard margins.
- You should supplement the narrative with resumes, examples, and illustrations, which should also be no more than 20 pages.

Question 1:   What is the purpose of the project and what are its goals?
Begin by summarizing your organization's history, mission, and goals. If appropriate, briefly describe the nature and scope of your holdings. Summarize the overall goals of the project and its relationship to your organizational goals. Make the case for the significance of any documentary source materials that may be affected by the project. Characterize the project's proximate and ultimate audiences, and show how the proposed activities will increase public understanding of history, culture, and the national experience.

Question 2:   What is the significance of the project in relation to the NHPRC's programs and goals?
Please explain how the project relates to the Commission's overall mission, vision, and goals, particularly the Commission's goals to promote access and use of documentary materials held in historical records repositories. Be as specific as possible about the historical importance of individuals, events, developments, organizations, and places whose history is documented by collections like those addressed in the project.

Question 3:   What is the plan of work for the grant period?
Please provide ample evidence of preliminary planning. Applicants should have a realistic idea of the scope of the project. Outline each stage of the planned work within the grant period and clarify complex work plans with a timechart identifying anticipated activities.

Question 4:   What products, if any, will be produced during the grant period?
Describe the products you plan to produce for the completed project. This includes reports to the profession issued as articles, papers, seminars, and web sites. It also includes archival finding aids (e.g., guides, catalogs, inventories, registers, etc.) which should be described in enough detail to demonstrate knowledge of their appropriate use. Discuss the next steps your institution will take after the grant period.

For archival preservation projects, explain the level of description. Support is generally limited to the preparation of folder-level finding aids. Proposals to provide item-level descriptions of archival collections must justify the need for this degree of access. Applicants who intend to place finding aids on the Internet should use Encoded Archival Description (EAD) or explain why they are not doing so. Applicants are expected to contribute MARC records to the appropriate national bibliographical utilities.

Question 5:   What are the qualifications of the personnel?
Please provide vitae of not more than two pages per person for all staff named in the project budget. For those staff to be hired for the project, provide job descriptions, specify the qualifications that will be sought in candidates for vacant positions, and describe the roles to be played by all project staff, consultants, and contractors. Explain any special training planned for personnel.

Question 6:   What are your performance objectives?
A list of Performance Objectives — measurable outcomes of your Federally-funded work — should also be included in the proposal. List four to seven quantifiable objectives in the proposal by which the project can be evaluated following the submission of the final report and the closing of

the grant. If the project deals with a specific set of records, the performance objectives should include the number of cubic feet to be arranged and described or preserved.

Prepare Supplementary Materials
Please attach up to 20 pages of Supplementary Materials to your Narrative, such as:

- Examples of finding aids and other discovery tools
- Statements of commitment to the project by partners
- Appendices

If these materials are available on a web site, please provide a URL.

Preparing the Budget

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or non-Federal third-party cash and in-kind contributions. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable and necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period.

Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

- You must submit a budget on NA Form 17001. (You may use an exact replica.) Note that the form itself contains additional instructions. You may include with your application a narrative budget supplement for budget categories not otherwise explained in the project narrative.
- You may request funding for up to 3 years, but if the project will take 18 months or longer, you must fill out a separate budget form for each project year or fraction thereof.
- Provide specific budget figures, rounding off figures to the nearest dollar.

We strongly suggest that applicants consult the Federal grant administration rules and regulations governing grants from the NHPRC listed in the Administering an NHPRC Grant section. You should also review the appropriate Office of Management and Budget circulars on cost principles.

Definitions

In preparing the budget section of the application, please be aware of the following definitions:

Direct costs – expenses attributable directly to the cost of a project, such as salaries, project supplies, travel expenses, and equipment rented or purchased.

Indirect costs – costs incurred for common or joint objectives and therefore not attributable to a specific project or activity. Typically, indirect costs include items such as overhead for facilities maintenance and accounting services. NHPRC prefers not to provide grant funds for indirect costs.

Cost Sharing– the financial contribution the applicant pledges to the costs of a project. The Commission provides no more than 50 percent of project costs for Archival and Records projects. Cost sharing can include both direct and indirect expenses, in-kind contributions, non-Federal third-party contributions, and any income earned directly by the project.

Budget Categories

In preparing the budget, please follow the suggestions below in each of the categories:

Salaries: List each staff position and the full salary for that position.

- Show the percentage of time each staff member will devote to the project.
- Indicate which positions are to be filled for the proposed project and which personnel are already on the staff of the applicant institution.
- Grant funds may be used only to pay the salaries of individuals actually working on the project.
- You may count the time provided by advisory board members as cost sharing.
- You may use a daily rate comparable to the allowable maximum for Commission-funded consultants ($400) when board member contributions will be fifteen days or less per year.
- Board member contributions to the grant must be allocable to the specific project for which they are requested.

  Grant funds may not substitute for or supplement salaries of regular, full-time staff members. (For example, a faculty member with a 12-month, full-time appointment, whose salary for that appointment is paid in full by an applicant university, should not request supplemental salary support for summer work.) Grant funds may be used to pay existing full-time personnel working on a project only if the institution uses its own funds to hire substitute staff for their regular duties during the grant period.

Fringe Benefits: If you use a daily rate or honoraria no separate benefits should be included.

- For other staff indicate the percentage basis for each amount. The Commission encourages the provision of benefits comparable to those accorded for a similar non-grant-funded position within the given institution.

Consultant Fees: Include payments for consultant services and honoraria.

- Include consultant travel expenses in the "Travel" category.
- The Commission needs justification for a daily consulting fee above $400.

Travel: List the destination for each trip and the basis for individual trip costs and transportation rates (airfare, mileage, and taxis).

- In the case of projected meetings use the cost based on the actual mileage of those involved or on an established average cost for the board. Per diem (food and lodging) rates should be the applicant institution's standard rate. If the institution has no standard rate of its own, please use standard Federal rates, which you may obtain by calling the Commission office. Please note that the NHPRC does not fund staff travel to professional meetings unless the travel is essential to accomplish the goals of the project.

Supplies and Materials: Itemize the estimated cost of specialized materials and supplies. Justify them in the proposal narrative or a narrative budget supplement.

- Note that the "Supplies and Materials" category of the budget also includes expenditures for equipment costing less than $5,000 per unit. You may request grant funds for purchasing permanent equipment when you can demonstrate that purchasing will be less expensive than renting.
- The Commission does not provide grant funds for the acquisition of routine equipment such as office furnishings, shelving, and file cabinets, but we will provide grant support for the purchase of technical equipment, such as computers and peripherals essential for a project, if those costs are divided evenly between grant funds and cost sharing. This

applies both to expendable equipment included in the "Supplies and Materials" category and to permanent equipment included in the "Other Costs" category of the budget.

Services: Include the cost of duplication and printing, long-distance telephone, equipment leasing, postage, and other services that you are not including under other budget categories or as indirect-cost expenses.

- Note that, except for conferences and SHRAB meetings, the NHPRC does not provide grant funds for rental space.

Other costs: Cash awards or other subgrants should be listed here.

Application Review

The NHPRC staff will acknowledge receipt of the application soon after we receive it. We then begin the evaluation process:

1. *State Boards*
   Your State Historical Records Advisory Board may evaluate the application on technical merits as well as its relation to state plan priorities.
2. *Peer Reviewers*
   We may ask 5 to 10 external peer reviewers to evaluate the proposal.
3. *Commission Staff*
   Approximately 2 months after the submission deadline, the Project Director receives blind copies of reviewers' comments and questions from the Commission staff. Applicants have an opportunity to expand on the material provided, clear up any misconceptions, and generally strengthen the proposal before the Commission meeting.
4. *NHPRC staff*
   Staff make overall recommendations to the Commission based on reviewers' comments, the appropriateness of the project in meeting the Commission's goals, the proposal's completeness, conformity to application requirements and overall eligibility, and answers to the questions letter.
5. *The Commission*
   After reviewing proposals, the comments of peer reviewers, the applicants' responses to the reviews, and evaluations by the Commission staff, Commission members deliberate on proposals and make funding recommendations to the Archivist of the United States who has final statutory authority. Throughout this process, all members of the Commission and its staff follow conflict-of-interest rules to assure fair and equal treatment of every application.

Possible Commission Actions on the Proposal

In making its decision on proposals, the Commission may decide to do the following:

1. Approve the proposal as submitted.
2. Approve the proposal with an offer of fewer funds than requested.
3. Approve the proposal, subject to the applicant satisfying particular conditions.
4. Approve the proposal contingent on availability of Commission funds.
5. Endorse the proposal.
6. Reject the proposal.

Application Cycle

This is a general guide to the Application Cycle:

1. August 1 – Submit draft to the NHPRC.
2. October 1 – Deadline - Final proposal postmarked by this date to the NHPRC.
3. May – Commission meets.
4. June 1 – Earliest possible starting date for project.

Notification

- Successful grant applicants are notified informally by telephone or e-mail within 2 days after the Commission meeting.
- Unsuccessful applicants are notified within 2 weeks.

A press release listing the grants awarded is issued and posted on our web site as soon as possible after the Commission meeting.

Grant Administration

For more information on how to comply with Federal regulations, see our Administering a Grant section.

* Please see our Privacy Statement