

## Grant Announcement:

### *Publishing Historical Records*

The following grant application information is for **Publishing Historical Records**.

- See also [Publishing Historical Records-Founding Era](#) grants and [Publication Subvention](#) 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.

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### *Grant Program Description*

The Commission supports projects to publish historical records of national significance. *Publishing* means those activities necessary to make copies of historical documents readily accessible outside of the repositories where the originals are held.

- Projects may include the papers of major figures from American life or cover broad historical movements in politics, military, business, reform movements, the arts, and other aspects of the national experience. The historical value of the records and their expected usefulness to broad audiences must justify the costs of the project.
- Grants are awarded for collecting, describing, preserving, compiling, editing, and publishing documentary source materials.
- The NHPRC does not fund proposals to purchase historical records.

#### *Eligible Activities Include:*

- Scholarly documentary editions in printed and bound volumes.
- Scholarly documentary editions in online, compact disc, and other formats.
- Image editions in online, compact disc, microfilm, and other formats.
- Conversion of existing print and microfilm editions to electronic publications.
- Combinations of the above.

The Commission also encourages projects that improve the methods and processes for cost-effective publishing of archival collections as digital images of the originals.

#### *Grants for Publishing Historical Records Projects cannot be used for:*

- Supporting the publication of the papers of anyone who has been deceased for fewer than ten years.

## Previously Funded Projects

A publishing project that has received NHPRC support can apply for a grant for a new or subsequent stage of that project. These proposals receive no special consideration and will be judged by the same criteria as others in the grant competition. However, the proposals must be substantially updated, including a description of the new activities and a justification of the new budget. The applicant must also describe how the previously-funded project met its goals.

## Award Information

Awards normally are for one, two, or three years and have ranged between \$35,000 and \$185,000. Projects that have been supported or endorsed by the NHPRC are also eligible for [Publication Subventions](#).

## Cost Sharing

Cost sharing is the financial contribution the applicant pledges to the cost of the project.

- For long-term Publishing projects initially funded prior to 1992, the Commission will supply as much as 75 percent of the direct costs.
- For all other long-term Publishing projects, the Commission will provide no more than 50 percent of direct costs.
- For short-term (3 years or fewer) Publishing projects, the Commission will give preference to applicants who provide at least 50 percent of the projects' total costs.

## 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.

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## *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](#).

New Publishing projects, or those ongoing projects contemplating major changes, are encouraged to contact the [Director for Publications](#) 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.

### ***Formal Endorsement***

Applicants seeking formal endorsement of their project, without funding, must meet general criteria for eligibility. Applicants need to submit the Applications for Federal Assistance form (Standard Form 424) as well as a project narrative of no more than 20 pages and a 2-page summary as described below. It is not necessary to submit the detailed budget forms required for applicants seeking funding. Proposals for endorsement will undergo the same review process as those seeking funding.

## **Step one — Project Planning**

The first step of the process is to prepare a draft description and budget. You may submit a draft, no later than August 1, and consult with NHPRC staff to revise a final, 20-page project narrative, detailed budget, and three-page project summary.

### **A. Draft a 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 sources of funding for the project?
6. What are the qualifications of the personnel?
7. What are your performance objectives?
8. What is the completion date for the entire project?

### **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.

### **C. Compile and Draft 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**

After receiving feedback on your draft, the second step is to prepare 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 making the case for the significance of the documentary source materials you wish to edit and publish. Show how their publication 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. Describe the historical importance of individuals, events, developments, organizations, and places whose history would be documented by 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 work over the proposed time period. Describe which part(s) of the process for which you seek funding, e.g., document collection, selection and arrangement, transcription, annotation, indexing, and publication.

Outline each stage of the planned work with the grant period and clarify complex work plans with a time chart identifying anticipated activities.

The Commission expects documentary publishing projects, including electronic versions, to be maintained in their entirety in a non-software-dependent format for long-term access. Explain how the project will comply with archival preservation requirements.

Please indicate what has been done to secure necessary permission for publication of materials from holders of literary rights or copyrights.

**Question 4:** *What publications will be produced during the grant period?*

Describe the total number of volumes or other products you plan to produce for both the grant period and the completed project; indicate the project's anticipated year of completion; and explain any changes in previous projects in these areas.

In accordance with Federal regulations, the Commission reserves, for Federal Government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work.

The Commission requires that you acknowledge NHPRC grant assistance in all publications and other projects that result from grant support.

**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.

The Commission encourages using advisory boards as a source of special expertise. If you have an advisory board, identify the members and give their qualifications, and share copies of the grant application with them.

**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.

**Prepare Supplementary Materials**

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

- Endorsements from institutional officials and scholars
- Publication contracts or expressions of interest from potential publishers
- Reviews of project director's books, articles, and other works dealing with subjects closely related to the proposed project
- Samples of work, including facsimiles of originals, annotations, and other materials
- Resumes

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

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**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 cost of a project. 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 (e.g., registration fees).

### ***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.

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## *Application Review*

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

1. *Peer Reviewers*

We may ask 5 to 10 external peer reviewers to evaluate the proposal.

2. *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. 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.

3. *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 recommended is issued and posted on our web site as soon as possible after the Commission meeting.

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## *Grant Administration*

For more information on how to comply with Federal regulations, see our [Administering a Grant](#) section.

\* Please see our [Privacy Statement](#)

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Page URL: <http://www.archives.gov/nhprc/announcement/publishing.html>

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