Narrative Section of a Successful Application

The attached document contains the grant narrative and selected portions of a previously funded grant application. It is not intended to serve as a model, but to give you a sense of how a successful application may be crafted. Every successful application is different, and each applicant is urged to prepare a proposal that reflects its unique project and aspirations. Prospective applicants should consult the Research Programs application guidelines at http://www.neh.gov/grants/research/scholarly-editions-and-translations-grants for instructions. Applicants are also strongly encouraged to consult with the NEH Division of Research Programs staff well before a grant deadline.

Note: The attachment only contains the grant narrative and selected portions, not the entire funded application. In addition, certain portions may have been redacted to protect the privacy interests of an individual and/or to protect confidential commercial and financial information and/or to protect copyrighted materials.

Project Title: The Mark Twain Project

Institution: University of California, Berkeley

Project Director: Robert H. Hirst

Grant Program: Scholarly Editions and Translations

Significance and Impact

If funded, this proposal would enable the professional staff of the Mark Twain Project to finish preparing the *Autobiography of Mark Twain,* publishing the first half electronically on its new Web site, Mark Twain Project Online, and also the first of a three-volume print edition, by the centenary of Mark Twain's death in 2010. The *Autobiography* is by far the largest and arguably the most important of the works that Mark Twain left deliberately unpublished, specifically prohibiting publication of parts of it for one hundred years after his death. All existing editions of it are radically incomplete, unreliable, and inadequate. Its publication in complete form will be a signal event both in Mark Twain studies and for American literature.

This proposal will also allow the editors to continue populating Mark Twain Project Online with editions of Mark Twain's major works, drawing on converted forms of the twenty-six scholarly editions in print they have published to date. Before the start of the grant period, the site will have editions of *Adventures of Huckleberry Finn, Connecticut Yankee,* and *Roughing It.* Renewed funding will permit the addition of "Villagers of 1840–3" and at least two volumes of *Notebooks & Journals.* It will also permit the addition of approximately ten more years of Mark Twain's letters, through 1895.

At this point, most of the truly daunting technical problems are behind us, and the focus of our work is on adding content. The impact of worldwide open access to reliable Mark Twain texts and annotation is not difficult to imagine. We are confident that it will be significant for both the study of American literature and the cause of making electronic editions easier to create and to use.

Contents

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† = deceased

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Mark Twain Project Online (MTPO)
http://www.marktwainproject.org/

1 NOVEMBER 2007

• **Substance and context**. The purpose of the Mark Twain Project is to create and publish responsibly edited texts, both for scholars and general readers, of everything Mark Twain wrote. Over the last forty years we have prepared, and the University of California Press has printed and published, twenty-six scholarly critical editions of his letters, notebooks, novels, travel books, sketches, and essays—including some of the most important works in his canon *(Huckleberry Finn, Connecticut Yankee, Tom Sawyer,* and *Roughing It)*. All of these editions have been inspected and approved either by the Modern Language Association's CEAA or its Committee on Scholarly Editions. Two of them have won distinguished-edition awards given biennially by the MLA: *Roughing It* in 1995, and *Mark Twain's Letters, Volume 6,* in 2003. Since 1982 we have also prepared and issued nine readers' editions of the most important texts, the so-called Mark Twain Library. These editions exactly duplicate (except when they correct) the scholarly edition texts, while omitting most of the technical apparatus in order to keep their cost within the reach of students. They are now widely used in college classrooms and by general readers. Our revised edition of *Adventures of Huckleberry Finn* ranked in the Press's "Top 10 paperbacks (by copies sold)" for 2005–6 (53,607 copies since 2001). Our previous edition of the same title, published in 1985, sold 79,720 copies. Copies sold for each of our books are listed in Appendix p. 1. A complete bibliography of Mark Twain Project publications since 1967 may be found in Appendix pp. 34–35.

Mark Twain was nothing if not prolific. So despite the large number of texts already edited and published, there are dozens more that still need to be—enough important texts, large and small, to require a second generation of editors to complete them. Partly for that reason, since 2001, the Project has focused almost all of its efforts on devising a comprehensive, Web-based scholarly critical edition, now called Mark Twain Project Online (MTPO). The plan is to publish all newly created editions henceforth on the Web site, and to accompany them with print volumes

only where appropriate (i.e., where classroom use might require print, or where general interest and length might make print versions much easier to read and enjoy). We have begun populating the site with useful texts already edited, leaning heavily but not exclusively on converted forms of our twenty-six printed editions, so that eventually everything we edit or have edited will be available on MTPO.

We are one year into our current two-year grant from NEH, which supports work on this comprehensive Web site, with particular emphasis on preparation of the *Autobiography of Mark Twain* to be issued by the end of 2010, the centenary of Mark Twain's death. We have recently launched a "beta" version of MTPO with some 2,300 letters online, relying on converted forms of the six printed volumes of Mark Twain's letters (1853–75), plus born-digital texts for five additional years of letters (through 1880) and one additional year of annotation (1876). (As an experiment, we had previously published unannotated PDF versions of the letters from 1876 to 1880, but all the letters now on the Web site are fully encoded in TEI-compliant XML.) The site is still in "beta" and all of the materials now available on it require further checking, correction, and sometimes adjustment in the way they are displayed on screen, but we nevertheless urge reviewers and panelists to see for themselves what has been accomplished in this past year:

http://www.marktwainproject.org/

By the end of the current grant period, September 2008, or at worst by the end of the year, we will have completed most of the needed corrections and adjustments to the letters and made substantial additions to them (through 1886). We are even now poised to add, six months hence, converted forms of our print editions for *Huckleberry Finn, Roughing It,* and *Connecticut Yankee,* along with some beefing up of existing functionalities and navigation techniques. We also hope to make the full Writings Catalog accessible, which relies upon our in-house Unified Database (content and metadata management), although this requires continued weekly interaction with the California Digital Library (CDL), and we are not entirely sure when that will be possible. (The point needs to be repeated here that the converted and born-digital texts have been encoded with the goal of seamless compatibility.)

This application for renewed funding has three principal goals: (**a**) to complete editorial work on the only comprehensive, reliable, and fully annotated edition of the *Autobiography of Mark Twain,* and to publish the first printed volume thereof; (**b**) to continue to refine and add functionality to MTPO, while also adding more texts to it, thereby greatly enriching what can be searched and read there; and (**c**) to continue work on correcting transcriptions and

encoding letters in TEI-compliant XML through the year 1895, once again putting these letters online *before* creating the extensive annotation that will eventually accompany them.

• **History and duration.**   Since each of these three distinct but related elements of the proposal has its own history and projected duration, it will be best to take them up one by one in what follows here.

(a) *Autobiography of Mark Twain*.   Our edition of this work was begun in the current grant period and will be largely completed in the proposed grant period. The text has never before been published in its complete form, and it is comprised of roughly three hundred separate texts written or dictated between 1870 and December 1909, when Mark Twain wrote the final installment about the death of his daughter Jean, four months before his own death in April 1910. The edition will make available for the first time many passages that the author specifically required *not* be published until one hundred years after his death. It will be published both electronically and in printed volumes. In its electronic form there will be a complete, searchable text plus full scholarly apparatus, textual and explanatory, accessible without fee on MTPO. The UC Press plans also to issue a three-volume print edition containing just the text, explanatory notes, and illustrations, but not the textual apparatus. The first print volume is expected to appear by the end of 2010 (with the second and third following shortly thereafter) as part of what will no doubt be a national and even international celebration of the centenary of Mark Twain's death.

In 1870, when Clemens was thirty-five, he wrote a substantial autobiographical account of his family's endlessly frustrated efforts to realize vast wealth from the sale of a "monster tract of land" in Tennessee, originally purchased by his father, who died when Clemens was eleven. From then until 1904, at irregular intervals, he prepared still other autobiographical narratives, always pigeonholing the results until he felt ready to revise and continue them, or to shape them for publication, which he almost never did. Finally in 1904 he hit on a plan that particularly appealed to him: dictating to a secretary, he would ignore the chronology of his own life and instead "wander" through its events as his mood and current events dictated. This plan made "the narrative a combined Diary and Autobiography," and permitted "the vivid things of the present to make a contrast with memories of like things in the past." Under this scheme, in January 1906, Clemens began almost daily dictations to a hired secretary, Josephine Hobby, who promptly

typed up the result of each session and returned it to him. The work continued through 1909, relying on a succession of stenographers and typists who generated thousands of typed pages, almost all of them now in the Mark Twain Papers at Berkeley, where they occupy roughly ten file-feet of storage space.

> I intend that this autobiography shall become a model for all future autobiographies when it is published, after my death, and I also intend that it shall be read and admired a good many centuries because of its form and method—a form and method whereby the past and present are constantly brought face to face, resulting in contrasts which newly fire up the interest all along like contact of flint with steel. Moreover, this autobiography of mine does not select from my life its showy episodes, but deals merely in the common experiences which go to make up the life of the average human being. . . . It is a deliberate system, and the law of the system is that I shall talk about the matter which for the moment interests me, and cast it aside and talk about something else the moment its interest for me is exhausted. (Dictation of 26 March 1906, CU-MARK)

The essence of the form was spontaneity, the goal was unfettered frankness. "It has seemed to me that I could be as frank and free and unembarrassed as a love letter," Clemens wrote in a preface he prepared in 1906, "if I knew that what I was writing would be exposed to no eye until I was dead, and unaware, and indifferent." On the typewritten title page for what he was then calling the "Autobiography of Mark Twain" he drafted a statement to his "heirs & assigns":

> 1. Whereas about a twentieth part of this Autobiography can be published (in serial form, not in book form) while I am alive, no large portion of it must see print in any form during my lifetime.

> 2. Words of mine which can wound the living must *wait* until later editions. This book is not a revenge-record.

> 3. It will be noticed that I have marked certain chapters which are to be kept suppressed, sealed up, and unprinted for a hundred years. These must not be shown to any one, but kept sealed—as I shall leave them. (CU-MARK)

The author's prohibitions aside, both the length (several thousand pages of manuscript and typescript) and the complexity of these documents have worked to prevent their full publication. But between 1906 and 1959 there were four distinct efforts to publish substantial selections from them. All four are incomplete, all four undertook to select from and even to reorganize the surviving documents to suit the views of their editors or the author's sole surviving daughter.

Clemens himself oversaw the first selections, in twenty-five chapters, published in the *North American Review* (1906–7). These he edited so as not to "wound the living," while making it clear the public would have to wait for the full "quarter-million of words already written." Dissatisfied with the circulation of the *Review,* Clemens arranged to have these chapters immediately *reprinted,* on Sundays, in a series of newspapers. With Clemens's full approval, Paine mined
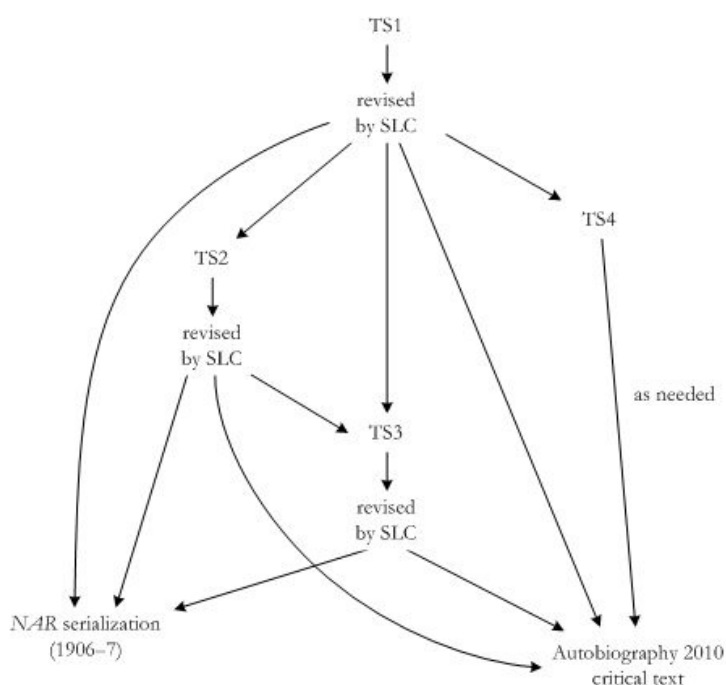
the *Autobiography* for information he used in *Mark Twain: A Biography* (1912), but not until fourteen years after Clemens's death did he publish selections from the text. His two-volume edition, *Mark Twain's Autobiography* (1924), relied almost entirely on manuscripts and dictations produced *before* mid-1906—the earliest third of the whole work. In an interview in July 1933, Paine acknowledged that the "complete autobiography"

> would fill about six volumes, including the two already published, and probably would not be made public for "many, many years." To adhere literally to Mr. Clemen[s]'s orders the "Autobiography" would have to be withheld until 2010, the 100th anniversary of the author's death. ("Canard Blasted by Biographer of Mark Twain," New York *Herald Tribune,* 8 July 1933)

Paine never produced those four additional volumes, but his successor as literary executor, Bernard DeVoto, did publish *Mark Twain in Eruption* (1940), in which he gathered some of the material excluded by Paine. Drawing on dictations of mid-1906 through October 1908, DeVoto arranged the texts thematically, thereby overriding Mark Twain's explicit desire for randomness. Finally, Charles Neider published *The Autobiography of Mark Twain* (1959), in which he reprinted only those sections already published, but radically reordered them in order to achieve the chronological narrative that the author had explicitly sought to *avoid*. Both DeVoto and Neider were also obliged to accept Clara Clemens Samossoud's veto of various sections that they wanted to publish. Clearly, in view of this history, the time has come for an edition of the *Autobiography of Mark Twain* which adheres to his various texts as faithfully as the surviving documents permit.

Fidelity of that kind is harder to come by than one might suppose. Much of the past year has been given over to hammering out a comprehensive solution to the problem of understanding exactly how the numerous pages of typescript produced between 1906 and 1909 are related to each other, where or whether they had been revised, where they were partly lost, and ultimately how to reconstruct an authorially intended text, free from interference by Paine, DeVoto, and others who felt free to write on the typescripts and of course to change them in ways not governed by the author. A typical folder for one day's dictation might contain as many as four separate typescripts (sometimes ribbon copy, sometimes carbon copy) of approximately the *same* text, all seemingly generated by the author and his several helpers. As of a year ago, no one—including Paine and all later editors of Mark Twain (not excluding ourselves)—repeat, no one understood how these four similar but not identical typescripts were related to each other—which was copied from which, which contained authorial revisions and for what purpose, or what their

relevance (if any) was to the text intended for ultimate publication by Mark Twain. That problem has now been solved by the principal editors of the *Autobiography,* Salamo and Smith, who undertook extensive collation of the various typescripts; minute investigation into the various typewriters and typing styles of the typists who worked on the material, the different pagination of various copies, and the kind of paper used in them; and painstaking scrutiny of handwritten additions to the several copies (for a sample of this physical data, see Appendix p. 7). Understanding how these various typescripts are related to each other is fundamental to establishing the text, but it is also essential to our understanding far better than we did before what Mark Twain's "final" intentions for his text were. (Although he did not publish the text or fully prepare it for publication, his intentions for it turned out to be considerably better formed and more settled and particular than was suspected even two years ago.)

TS1
↓
revised
by SLC

TS2
↓
revised
by SLC

TS3
↓
revised
by SLC

TS4

as needed

NAR serialization
(1906–7)

Autobiography 2010
critical text

This schematic represents the overall pattern of transmission uncovered for the 1906 (and later) typed dictations, including their several revisions by Clemens (SLC), their partial serialization in the *North American Review,* and their import for the authorially intended text being produced by the Mark Twain Project. Not every individual dictation went through all of these permutations, and often one or more of the successive typescripts is missing. Being able to identify which typescript is TS1, which TS2, etc., is essential to understanding the relationship between them, which is in turn the key to knowing which document to use when, say, TS1 is lost, or when revisions to a dictation were made on a

now-missing document. The final intention text is, in general, to be constructed by starting with the earliest dictation, TS1, and emending it from authorial revisions that survive as inscribed changes, or that can be reliably inferred even when a revised document is now lost. Knowing the overall pattern as well as the particular path of a dictation is also crucial to understanding and sometimes even identifying many of the handwritten additions to the typescripts which were made not by Mark Twain, but by various editors from Paine to DeVoto.

And here is how the editors currently *define* the four separate (but related) typescripts designated TS1 through TS4 in the schematic:

TS1 typescripts created between 9 January 1906 and 24 December 1909, from short-hand notes of Clemens's dictation; revised by him, but also sometimes marked up as printer's copy for the *North American Review;* also marked by Paine and DeVoto for their projects (see Appendix pp. 3–4).

TS2 on the heels of TS1, a new typescript beginning with some pre-1906 autobiographical texts Clemens decided to incorporate, and continuing with retyped versions of TS1 as revised by Clemens, and with further revisions added on the new typescript by him; also sometimes marked up as printer's copy for the *North American Review;* discontinued after July 1906.

TS3 typescripts made specifically to serve as printer's copy for excerpts of the autobiography serialized in the *North American Review* in 1906–7, covering *NAR* installments 1–6 and 16; often extensively revised by Clemens for this limited form of publication.

TS4 the security copy of the autobiography, retyped to include Clemens's TS1 revisions, and newly paginated, starting with the pre-1906 texts and continuing through the dictation of 29 August 1906; not further revised by Clemens.

This schema is, to repeat, a necessary foundation for preparing the edited text, which is now going forward rapidly for roughly 48 percent of the whole, with the remaining 52 percent expected to be completed by 2012. Annotation is likewise well advanced for roughly 48 percent of the text. For a comparison of the work plan of the current grant with what has been accomplished so far on the *Autobiography,* see the table following this section. Several samples of material to be edited illustrate parts of the ongoing annotation and how it will be displayed electronically, as well as some of the textual problems just referred to (see Appendix pp. 3–6, and pp. 8–13).

(**b**) **Mark Twain Project Online.** The functions of the Web site are increasingly entangled with editorial goals and functions, but the "beta" version is as yet so incomplete that it makes sense to describe proposed additions and improvements to it as a distinct goal of this application. Although we began serious efforts to produce an electronic edition in 2001, it was not until mid-2004 that we succeeded in partnering with the California Digital Library (CDL) and UC Press on the creation of what is intended to be a comprehensive critical edition for all of Mark Twain's work. Catherine Candee, Director of eScholarship in the Office of Scholarly Communication at CDL, along with her

colleague Lynne Withey, Director of UC Press, committed top-level management and technical personnel as well as very significant funding resources to help us invent, plan, design, and produce the kind of Web site needed for such an ambitious undertaking (letters and novels, notebooks and speeches, short published texts and short unpublished manuscripts). It will come as no surprise that no one accurately predicted how much time and expense the basic steps toward launching a "beta" version would entail, but our partners are still with us and game for more. Their commitment of resources and technical expertise greatly accelerated most aspects of what we were attempting to do, while it also forced some of our planned tasks to wait their turn, at least for the time being. It also meant that the Mark Twain Project now had two partners, both with very large stakes in this electronic enterprise: UC Press, our publisher, and CDL, our technical, electronic guide and mentor as well as the actual implementor of the site. Decisions about how to proceed and where to spend time and money have been necessarily influenced by our partners, and deliberations with their representatives (Laura Cerruti and Catherine Mitchell) have occurred on a weekly basis for the last eighteen months, as have technical meetings between Mark Twain Project staff (Sharon Goetz and Leslie Myrick) and CDL's lead XTF programmer, Kirk Hastings, as well as its technical lead for this project, Lisa Schiff.

The alliance with CDL immediately solved certain vexing problems, such as who would archive the digital information generated for MTPO. It also obliged us to consider and decide matters that were simply not countenanced in our plan of work. For instance, several weeks were devoted to true business-model planning, the upshot of which was a decision (subscribed to by both CDL and UC Press) to make MTPO *open access* for at least the first five years of its existence. More recently we spent several months writing and rewriting the so-called "static copy" needed to populate the "About MTPO" section, and another few weeks to design and redesign what would actually appear on the home page, and on landing pages for the Letters and Writings areas. At an even more technical level, it became apparent that the wireframes we had painstakingly generated for the information architecture of the site were far more complicated and ambitious than anything CDL or MTP could afford to support. They were of necessity modified, simplified, and rethought from the ground up. It was not possible, let alone advisable, to allow this detailed thinking about how the site would function to be decided solely by personnel from CDL. The editorial needs of the Project, and the expected needs of our users, had to be continuously addressed and protected by members of the Project staff. The result was a collaboration between MTP, UCPress, and CDL which was far more intricate, complex, and time-

consuming than any previous collaboration we had ever undertaken, even with various independent-minded academic editors. It took a full year longer and consumed far more person-hours than anyone had expected, but it has culminated in the launch of the "beta" site already mentioned.

Going forward in the next year, and in the grant period here applied for, we will continue that kind of close collaboration and discussion in order to resolve a host of questions and problems: (**a**) we will need to decide exactly how literary works will be displayed; (**b**) decide which of the books already encoded by our vendor, codeMantra, are ready for post-processing and then of course to carry out that processing; (**c**) continue cleanup of the various data now part of the Unified Database that is intended to serve both the demands of the site and the ongoing needs of the working editors; (**d**) decide whether and when to add functionalities like increased cross-referencing between text, catalog record, biographical data, and images, or enriching the browse-based search through deep tagging of authority metadata in the texts (persons, places, subjects); (**e**) find out whether any of this can be automated and at what cost. It is obvious that there is a long list of possible improvements, and it is not possible to say with much conviction at this point which of the items on our wish list will be tackled first, or at all. What we can say is that we now need to add at least one programmer-analyst to the staff in order to strengthen the two-member team (Goetz and Myrick) who have hitherto borne an unacceptably onerous work load, simply in order to keep the "beta" launch on schedule.

Allowing for some tentativeness, then, we are proposing to add two volumes of *Notebooks & Journals* and an important autobiographical essay called "Villagers of 1840–3" with its very extensive biographical directory (this may require some technical adjustments to the Writings object view). Although the volumes from the print edition now exist in XML files, we know from recent experience that very meticulous proofreading will almost certainly be needed before they meet our normal standards of accuracy. And bear in mind that these additions will be over and above the Web publication of the *Autobiography of Mark Twain*.

(c) Mark Twain's Letters through 1895. The demands of the *Autobiography* and of the evolving Web site have, to some extent, forced us to compromise on how many of the letters we can proofread and encode in what remains of the current grant period. At the moment it looks as though we will get only as far as 1886, and that our original goal of 1895 will not be reached unless this proposal or something like it is successful. The choice here is between concentrating on Web site functions and designs that will enable us to move forward with different kinds of

texts, and preparing those texts for publication (i.e., the *Autobiography*), as against simply adding more letters to the 2,300 already online. We would never say either choice was unimportant, but we have leaned toward new functions and otherwise unavailable texts, thereby somewhat cramping the rate of newly available letters. Adding letters without annotation is, relatively speaking, almost routine: it requires an editor's time for six months to perfect the transcriptions for 330+ letters (a year), and much less than that to supply XML encoding. A compromise on the rate of progress for letters is also encouraged by the sheer size of the *Autobiography*, which also has a more or less immovable deadline, the end of 2010. And the work on the Web site is in many ways tied to the availability of technical personnel from CDL: when they are available to us (which is not always), site work must take precedence.

The "beta" launch has also raised for us another problem, not really visible until it was possible to work with fully functional style sheets during the quality assurance process: the conversion from print to XML files by codeMantra, albeit 99.9% accurate, still left too many typographical and encoding errors, and a full proofreading of the letters from all six printed volumes will be necessary to make the electronic texts conform to the same standard we insist on for printed texts. (The problem does not occur for letters that are born digital, since we apply our methods of proofreading directly to the files that are used on the site.) We are now trying to see whether it is possible to farm out this chore of proofreading texts that we first published in print, using non-NEH funds to pay for it.

Some of the other looming chores for letters are: (**a**) the annotation and then the installation in chronological order of roughly 100 letters (and growing) newly found for the period covered by the first six printed volumes, 1853–75; and (**b**) continuing the annotation for letters in 1877 and following. The first chore will require us to establish a protocol for choosing how much time and effort to expend on adjusting the *existing* annotation when we insert these new letters with their notes in sequence. We obviously cannot afford to re-edit these letters, but we also cannot afford to publish annotation with them that is misleading or simply mistaken. How to strike the balance is a challenge we will face in the next few years. As for item (**b**), continued annotation for newly published letters is highly desirable, and also highly expensive and time-consuming. We do not yet know how rapidly we will be able to proceed down that path.

But I ought not to leave the subject of Letters without crowing, at least a little bit, about what even the "beta" version of the site does for them. Full academic citations to everything from an entire letter to an individual explanatory note can be easily gathered by the user by pushing the "cite" button. All superscript numbers for notes in the text are

hyperlinked to the note in the right-hand panel. The same is true for all emendations of the copy-text, vastly improving the ease with which a scholar can verify that nothing has been changed which might affect his understanding of the text. A full-text search can be carried out over the corpus of letters, and they can be browsed by date or a variety of facets in the left-hand panel. And facsimiles of many of the original letters may be easily viewed side-by-side (in various enlargements) with the plain-text transcriptions, another check on the accuracy of those transcriptions. These are the kinds of things editors of letters who are confined to print publication can only dream about.

The following table is designed to give the reader an easy way of comparing what we expected to get done on the current grant (half of which has now been expended) with what we were actually able to accomplish in that year.

Grant period: Oct 2006–Sept 2008 Work Plan	Accomplished as of Nov 2007	Comment
To establish texts and encode Mark Twain's letters through the year 1895.	Letters transcribed but not encoded through 1884 plus 1886.	Encoding for 1881 through 1886 will be completed before the end of the grant period (see the last entry in this table).
To establish texts for Mark Twain's *Autobiography* (multiple volumes in progress simultaneously).	On schedule: texts proofread and collated from 1870 through August 1906 (400 pp of MS, 2,600 pp of TS).	Texts and apparatus for volume 1 (through June 1906) will be fully established by mid-2008, as planned.
To annotate Mark Twain's *Autobiography*.	Ahead of schedule: annotation has been completely drafted for all texts before 1906, roughly 25% of volume 1. (Annotation was not scheduled to begin until October 2007.)	Texts through June 1906 will be annotated by the end of the grant period, as planned.
To check the notes and texts for Mark Twain's *Autobiography*.	Just begun.	Checking is scheduled for October 2007 through September 2008, as planned.
To encode the texts and notes for Mark Twain's *Autobiography*.		Encoding is scheduled for October 2007 through September 2008, as planned.
Interface with CDL and UC Press; infrastructure and site programming (databases, XSLT, etc.); extend information architecture.	Slated for 20% of the Publication Manager's time, this actually took almost 90% of her time plus 90% of one other Programmer/Analyst	Since these jobs were shifted forward in time, work on encoding has been shifted to the second year of the grant (Oct 2007–Sept 2008), but will be completed as planned.

• **Project staff.** In addition to an administrative assistant, Neda Salem, who doubles as a proofreader and in various other tasks of editorial and archival maintenance (including assistance to roughly 100 visitors to the archive every year), the staff now consists of eight full-time editors, including the project director: Victor Fischer, Michael Frank, Lin Salamo, Harriet Elinor Smith, and Bob Hirst are the grizzled veterans of this shop; Sharon Goetz, Benjamin Griffin, and Leslie Myrick, have all joined us recently as the demands of electronic editing have required new kinds of expertise. As already mentioned, we are proposing to add one Programmer/Analyst to the staff to help manage the load of digital work.

The Project has a Board of Directors on whom the editors rely for various kinds of expert editorial advice and counsel: Jo Ann Boydston, retired editor-in-chief of the John Dewey edition; Laura Cerruti, Acquisitions Editor at UC Press; Don L. Cook, former general editor of the Howells edition; Frederick Crews, retired professor of English at Berkeley; Charles B. Faulhaber, director of The Bancroft Library; Thomas C. Leonard, University Librarian at Berkeley; Michael Millgate, distinguished editor of Thomas Hardy; George A. Starr, professor of English at Berkeley; G. Thomas Tanselle, an editor on the Melville edition (among many other distinctions); and Elizabeth Witherell, editor-in-chief of the Thoreau edition.

There are also three student interns who work somewhat less than half-time during the school year, full-time during the summer months, and who are offered work for no longer than three years. Only the director (Hirst) and the administrative assistant (Salem) are paid from state funds. In addition, we draw significant help from a group of four or more volunteer undergraduates who can earn course credit for their work with the project. (Our access to these extremely talented and productive students is through the Undergraduate Research Apprentice Program, or URAP, funded by UC Berkeley) As the **Work plan** (p. 21) indicates, the electronic edition will occupy the time of the project director as well as all seven staff members (Fischer, Frank, Goetz, Griffin, Myrick, Salamo, and Smith).

• **Methods.** The digital methodology for MTPO is discussed in **Final product and dissemination** (pp. 17–19). The editorial methods developed for the print volumes of Mark Twain's writings will be applied, with appropriate adaptation, to the electronic edition.

Document search, control, and selection. The search for Mark Twain's letters has been reasonably comprehensive, but it is, and must remain, ongoing. By various methods and from various sources we still find an average of two new letters a week. Between 1982 and 1984 the editors conducted a complete canvass by mail of all known or suspected repositories of letters. This canvass was repeated once again in 2000 and 2001 in preparation for the electronic edition. In addition to a very long list of institutions, including local historical societies, the Project has extensive contacts with private collectors and manuscript dealers. It has access to a private collection of some 25,000 auction catalogs. It has a cumulative list of published sources such as memoirs, biographies, and the like. It systematically pursues any manuscript offered for sale or auction, usually by trying to acquire a photocopy of it, sometimes by purchasing the original. When permitted to do so by the seller, the editors verify transcriptions against any original documents being offered at auction. Our control of Mark Twain's letters has been through the *Database of Letters Written by and to Samuel L. Clemens (Mark Twain),* which is based on the *Union Catalog of Clemens Letters* and the *Union Catalog of Letters to Clemens* created by Paul Machlis. The *Database of Letters* is to be a part of the Unified Database, and building a front end for that database is high on the list of priorities for Myrick, now a Programmer/Analyst III. Our print volumes of letters have been as inclusive as possible, but when letters have come to light too late to be published in true chronological order, the policy has been to gather and publish them as an appendix to every fifth volume in the *Letters* series. The first such appendix, containing eleven letters or letter fragments, appeared in 1997 with *Letters 5*. But MTPO will obviate such a frustrating and piecemeal kind of publication: we are currently preparing texts and annotation for more than one hundred letters which have come to light since the publication of *Letters 1–Letters 6* between 1988 and 2002. These will be integrated with the letters now available on MTPO, placed in their proper chronological position, and the MTPO user will be carefully apprised of which letters are new or newly edited from better sources.

Access to literary manuscripts has in the past been largely via a standard card file, maintained now for four decades, but it is being replaced at this very moment by the electronic database designed by editor Salamo and soon to be accessible as the Writings Catalog to all users of MTPO. The Project also has a rough card index to the autobiographical dictations, and a very detailed card index to the unpublished notebooks. These more or less formal means of access are supplemented by the various lists and records of editors who were compiling short-title volumes

for the original Iowa edition of the Works (now defunct). All of the original Mark Twain manuscripts in The Bancroft Library have been microfilmed, and that microfilm, previously only available for interlibrary borrowing, has now been published. The contents of the microfilm have been given a highly detailed electronic catalog, which is now available to visitors to the Project and may also become available on our Web site. In addition, the Project maintains an ongoing file for Mark Twain's marginalia, a subject file (for research), a chronological file of secondary documents (also for research), a file of dealer and auction catalogs, a file and database of the kinds of writing papers Mark Twain used, a file to identify various handwritings known to appear on Mark Twain documents, a file of critical articles about Mark Twain and related matters, and a file of photographs, arranged chronologically in viewing-print albums and also scanned for, and cataloged in, the *Mark Twain Papers Image Database,* soon to be added to the Unified Database.

Transcribing, emending, and regularizing. The documents that comprise the *Autobiography* were created over a period of forty years and include just about any kind or combination of kinds of text imaginable. There are holograph manuscripts revised by the author, then typed and revised again on the typescript, which may survive with or without a carbon or may be known only through a text printed from it in the *North American Review*. There are typescripts created by stenographic secretaries from Mark Twain's dictation, sometimes using a typewriter which had only capital letters (see Appendix p. 8), sometimes a more conventional machine, which may or may not have produced normal underscoring, or been used to produce a ribbon and carbon copy. Obviously in such records of dictation the spelling and punctuation may depart from the author's own because they have been supplied by the typist. There may also be errors in such things as proper names, where the secretary transcribed what she heard, not necessarily what Mark Twain said or intended to say. But apart from the mysterious relationship between various copies of the same dictation (now solved, as described above), by far the most challenging problem is that the typewritten texts were frequently corrected and edited, in pencil or pen, by Mark Twain himself, as well as by Albert Bigelow Paine and Bernard DeVoto and others who have had access to the documents since 1910. As already discussed, it is absolutely crucial to the accurate construction of Mark Twain's text that these various handwritten changes by others be carefully discriminated from his own, and that nonauthorial changes be excluded from the edited text. We are quite sure that this could not be done successfully without the 30 or 40 years' experience of the principal editors.

The autobiographical documents are now arranged in the chronological order of their creation, and this order must prevail for the first part of the edited text, which will reproduce early drafted sections of the autobiography, followed by what might be called the *Autobiography* proper, the text reconstructed as nearly as we can in the order and content intended by Mark Twain in 1906. His 1906 selection of contents included some of these early drafts, while rejecting others. He edited and condensed some of the dictations for the *Review*, but by and large those changes must be set aside as less than final. We will therefore report all of them in detail (and eventually supply images of the original pages), but decline to incorporate them in the text unless they are manifestly corrections of what that text contains. Many of the dictations also contain original clippings, letters or parts of letters, and other documents which are sometimes pinned or glued in place, but sometimes transcribed by the typist. Where the original document in these cases can be found, it will be the basis of the text, not the typist's transcription (see Appendix p. 3). The typescripts were sometimes repaginated and reorganized to serve as printer's copy for Paine or DeVoto, so restoring the original order becomes necessary. (We have appended several additional samples to illustrate the complexity of what confronts the editors.) Finally, it should be said that so far as possible we will be treating the *Autobiography* not as a private document, but as something intended for publication, albeit after Mark Twain's death, and without having received his final decisions about at least some of the textual choices. For that reason, we will apply the same criteria to emendation that we would to any published work: expanding ampersands ("&" to "and"), correcting typographical errors ("CENTURE" for "Century"), and supplying inadvertent omissions. Other things peculiar to manuscript, such as deletions and insertions, will all be carefully emended out of the clear text, and the record of what has been changed or omitted published in the textual apparatus (which can be made immediately visible in the electronic edition). To see roughly how, refer to Appendix p. 6.

To publish private documents that were never intended for publication, such as letters and notebooks, the Project has used, since 1988, a system called plain text, invented by the editors. The most recent published rationale for plain text ("Guide to Editorial Practice") fills 29 closely printed pages in *Letters 6* (pp. 697–725), so it seems neither prudent nor possible to summarize it here (it is of course also reproduced, and can be summoned at will, in the electronic edition). Suffice it to say that plain text requires the editor transcribing an original document to emend it as little as possible, but when obliged to rely on printings or transcripts instead of originals, to emend them as much as

necessary in order to recover as many of the readings of the lost original as possible. Plain-text transcriptions therefore include all canceled text, signal all insertions, and preserve all errors that can be intelligibly transcribed. Whenever the copy-text is emended, the change is recorded in a textual apparatus accessible, at least in the electronic version, immediately next to and hyperlinked with the text. The texts of letters are never regularized or modernized. We submit all volumes for inspection by the Committee on Scholarly Editions (CSE) and of course try to meet or exceed the standards it requires for approval.

Publishing electronically on the Web poses its own problems, of course. Although the full version of the TEI DTD that we have adopted—with well-defined local guidelines in place—can handle all the editorial requirements of plain text, HTML/CSS cannot now replicate all aspects of the transcriptions we routinely publish in the print volumes. As Web technology becomes more advanced we can hope to incorporate new display capabilities that render fully our XML markup.

Annotation. In our print volumes, private documents and literary works are provided with two kinds of annotation: *explanatory notes* designed to explain what the text means or refers to, and *textual notes* designed to explain why the edited text reads as it does. For printed literary works both kinds of notes are placed at the back, keyed to the text by page and line but with no overt sign in the text itself (so-called "clear text"). For private documents in book format, such as notebooks and letters, the explanatory notes are either at the foot of the page or the end of the letter, and textual notes are relegated to the back. In the electronic edition they are and will be in the panel immediately to the right of the text, hyperlinked to it. The year 1876 has now been supplied with our usual level of annotation. The annotation of the electronic edition of Mark Twain's letters from 1877 on will be minimal at the outset, providing just the correspondent's name, the place and date of writing (all of which, though commonly taken for granted by readers of letters, frequently have to be painstakingly established from sources outside the letter text itself), and the location of the letter's source. We expect to gradually expand the contextual information for all letters after 1876 so as to bring the annotation up to the level of our print volumes. For if these documents are worth publishing, whether electronically or in print, then they are worth making clear and understandable within the fullest possible context. Moreover, the whole experience of the editors has shown repeatedly that letters cannot be transcribed with maximum accuracy, nor arranged in their true chronology, without fully documenting their content (the role of explanatory notes in assisting

the editor, rather than the reader, is not commonly recognized). The electronic medium will of course give us the opportunity of refreshing and improving the documentation as new information continues to come to light.

Annotation for the *Autobiography,* however, will be made substantial from the outset (see Appendix pp. 9–13). The basic questions—"What is he talking about?" and "Is what he recalls here accurately recalled?"—need to be answered as well as possible if readers are not to be misled. (With the exception of an edition by Michael Kiskis of the *North American Review* selections, none of the previous, partial publications of the *Autobiography* has any explanatory notes at all.) The time-limit posed by the hundred-year mark of 2010 will, however, ensure that basic factual explanation is our goal.

Accuracy. The procedures long employed and proven in our print volumes will be adapted to our electronic edition. To verify for publication any transcription of a Mark Twain text, the Project routinely deploys two teams of proofreaders and permits no doubling (i.e., no one forms part of more than one team reading a given text). It also carries out at least three single-person readings of letter texts, including, when possible, at least one against the original documents. (The pace of the electronic project means that some letter texts will probably go online before we have examined the original, but the user will always be warned in such a case, and the editors will persist in trying to check all transcriptions against the original and to make adjustments in the published transcriptions as needed.) We also experiment continuously with ways to reduce the number of separate readings needed—testing the results for error by repeated readings of random samples. The factual contents of notes and introductions are independently checked by an editor who took no hand in writing them.

• **Final product and dissemination.** Our exclusive right to continue to publish Mark Twain texts that are under copyright until 2047 is ensured by a legal agreement of 1982 between the Mark Twain Foundation and the U.C. Regents. A new contract granting U.C. exclusive electronic rights to the same materials has now been signed, effective from January 2002 for ten years, and of course subject to renewal. Anything published electronically by the Project in that ten-year period ensures the Regents' exclusive right to *continue* to publish it electronically for the life of the copyright (through 2047).

As a critical edition enhanced by rich cross-referencing and rich media, Mark Twain Project Online encompasses TEI files, their associated images (inline illustrations, photographs, manuscript facsimiles), and several types of descriptive metadata that yoke together these pieces of content and enable a reader to access them. MTPO uses XML and related tools, such as Extensible Stylesheet Language Transformation (XSLT) scripts and XQuery, as the underpinning for most of its processes. MTPO complies with digital library and publishing standards in its adherence to Digital Library Federation- and Library of Congress-supported schemas, including Text Encoding Initiative (TEI) P4, Metadata Encoding and Transmission Standard (METS) 1.6, Metadata Authority Description Schema (MADS) 1.0, Metadata Object Description Schema (MODS) 3.2, NISO Metadata for Images in XML Schema (MIX) 1.0, and the DLF's Aquifer best-practice guidelines for MODS implementation.

The digital object model described by METS establishes the Web site itself as the top-level complex digital object and delineates a stemma of descendent objects through a chaining process. The first layer of filiation consists of the broad categories of material—Letters, Writings, Images—from which individual data-object children branch off. In MTPO's Letters area, for example, each of the seven "volumes" has a corresponding METS object containing the pointers to each child object in sequence: front matter, letters arranged by editorially determined date, back matter. Thanks to this modular structure, readers may select a particular document either via "facets" on a search results page or amidst its fellows in a chronological list. Appendix p. 22 shows a letter object's `<mets:mdRef>` pointing "up" to the volume-level object that contains it; Appendix p. 15 offers a screen shot of MTPO's dynamic Letters by Date page. The structure also facilitates extension. To make a newly encoded "drop-in" letter visible on MTPO, for example, one need only create a corresponding METS object, add a pointer to its parent object, regenerate the sort-sequence, and place the files on the Web server.

Our TEI encoding practices have changed little since the previous grant period, with editors continuing to use oXygen to encode texts in XML and supply Unicode code points. Preparing for the MTPO site's "beta" launch has prompted minor adjustments in markup to support display features and document retrieval. (Our colleagues at CDL led the development of XSLT, JavaScript, and CSS code to render and manipulate all aspects of the Web site; we supplied additional code to reflect important nuances—pseudo-typesetting?—established by the printed volumes.) As we prepare the *Autobiography of Mark Twain* for digital publication, we will evaluate the *TEI Guidelines*' P5 release,

slated for November 2007, and determine how best to incorporate P5's advances and refinements, particularly regarding the *Autobiography*'s complex textual transmission described above. We intend also to revisit our encoding workflow, which proceeds currently from WordPerfect files to OpenOffice, courtesy of OpenOffice's recently released WordPerfect import filter; OpenOffice exports valid XML, which is edited into TEI conformance. Though this import/export process accelerates encoding and reduces typographical error, further refinement will enable semi-automated encoding from WordPerfect directly to TEI-XML. Such workflow enhancements will also keep revisions from being the exclusive domain of the technical staff.

Digital images accessible via MTPO comply with the Digital Image Standards established by CDL, which were determined in conjunction with the U.C. Berkeley Library. The master image files created by the Library Photographic Service for ninety-eight Mark Twain letters owned by The Bancroft Library and written between 1876 and 1880 have been integrated with their TEI-encoded letter texts in MTPO. (Scans of the Bancroft-owned letters before 1876 and after 1880 are planned but not yet funded.) The images created to date by LPS have been saved as uncompressed RGB TIFF files captured at 1200 dots per inch; MTPO serves derivatives to readers at reduced resolutions of 96 and 600 dpi. We have also arranged with other repositories and institutions to publish digital scans of many of the plates that illustrate the 1853–75 letters, and derivatives of their high-quality images will replace these plates within the current grant period.

Further details about MTPO's technical underpinnings are available at the site itself in a [Technical Summary](http://www.marktwainproject.org/about_technicalsummary.shtml) essay (http://www.marktwainproject.org/about_technicalsummary.shtml).

• **Summary** This application asks for $850,000 from NEH—$200,000 in outright funds, $650,000 in matching funds. The structure of that request therefore commits the Mark Twain Project to raising $650,000 in gifts to be matched during the proposed two-year grant period. The application asks support for work needed to publish Mark Twain's *Autobiography* on MTPO and the first of three print volumes by 2010, and to add another ten years' worth of letters by that date as well.

Access to MTPO will be *free*. BUILDING it is not free, it is costly. In the current grant period the Project has raised not only $500,000 toward the grant's matching offer, but an additional $200,000 to sustain editors whose work

contributes indirectly to the electronic edition. Beyond that, CDL and UC Press have contributed what amounts to $250,000 of labor in-kind toward the costs of conversion, information architecture, database design, Web page design, and basic site infrastructure, while The Bancroft Library has supplied an additional $50,000 for constructing the Unified Database. CDL and UC Press are committed to several more rounds of addition and revision to the site, following the "beta" phase just made public. Without this generous support from our partners, the editorial work that NEH has long supported—and that we hope it will continue to support—could not be made available on the Web. The current request of NEH is designed to enable the creation of *content* for a site that already exists, but needs to grow and expand to really serve its intended function. We are confident that MTPO will be a boon to research on Mark Twain, and we have some hope it will be a useful model for electronic editions of other writers as well.

• **Work plan.** The project now has the following objectives for the period October 2008–September 2010:

1. To establish texts and encode Mark Twain's letters from 1887 through the year 1895.
2. To establish texts for Mark Twain's *Autobiography* (1 print volume, 2 volumes electronically, and another print volume ready for the press).
3. To annotate Mark Twain's *Autobiography* (same).
4. To check the notes and texts for Mark Twain's *Autobiography* (same).
5. To encode the texts and notes for Mark Twain's *Autobiography* (same).
6. Book production (proofreading and other details, like jacket copy etc.) for one volume of the *Autobiography* to be published by the end of 2010.

The following table clarifies the assignments of each of the editors:

TASKS	October 2008–March 2009	April 2009–September 2009	October 2009–March 2010	April 2010–September 2010
Establish texts, complete proofreading, and create textual apparatus for Mark Twain's letters from 1887–95	Fischer (100%) Hirst (40%)	Fischer (100%) Hirst (40%)	Fischer (100%) Hirst (40%)	Fischer (100%) Hirst (40%)
Encode transcriptions of Mark Twain's letters from 1887–95			Goetz (20%) Griffin (20%)	Goetz (20%) Griffin (20%)
Establish texts for Mark Twain's *Autobiography*	Hirst (40%) Salamo (50%) Smith (20%)	Hirst (40%) Salamo (40%) Smith (40%)	Hirst (40%) Salamo (40%) Smith (40%)	Hirst (40%) Salamo (40%) Smith (40%)
Annotate Mark Twain's *Autobiography*	Frank (100%) Salamo (50%) Smith (80%) Griffin (30%)	Frank (100%) Salamo (40%) Smith (40%) Griffin (30%)	Frank (100%) Salamo (20%) Smith (20%)	Frank (50%) Salamo (20%) Smith (20%)
Check texts and notes of Mark Twain's *Autobiography*	Griffin (50%)	Griffin (30%)	Salamo (20%) Smith (20%) Griffin (30%)	Salamo (20%) Smith (20%)
Proofread and oversee print and digital publication of Mark Twain's *Autobiography* (v. 1)		Griffin (20%) Salamo (20%) Smith (20%)	Griffin (30%) Salamo (20%) Smith (20%)	Griffin (30%) Salamo (20%) Smith (20%)
Prepare and check index for Mark Twain's *Autobiography* (v. 1)				Frank (50%) Griffin (30%)
Design Web interface for Mark Twain's *Autobiography*	Goetz (40%)	Goetz (40%)	Goetz (10%)	Goetz (10%)
Automate encoding and post-process Mark Twain XML texts	Goetz (40%) Griffin (20%) Myrick (20%)	Goetz (40%) Griffin (20%) Myrick (20%)	Goetz (50%) Griffin (20%) Myrick (20%)	Goetz (50%) Griffin (20%) Myrick (20%)
Create and maintain XML-based content management system	Myrick (80%) Programmer/Analyst (20%)	Myrick (80%) Programmer/Analyst (20%)	Myrick (80%) Programmer/Analyst (20%)	Myrick (80%) Programmer/Analyst (20%)
Data Clean-up	P/A (80%)	P/A (80%)	P/A (80%)	P/A (80%)
Interface with CDL and UC Press	Goetz (20%) Hirst (20%)	Goetz (20%) Hirst (20%)	Goetz (20%) Hirst (20%)	Goetz (20%) Hirst (20%)

R. H. H.