

# NATIONAL HISTORICAL PUBLICATIONS AND RECORDS COMMISSION

## SCOPE AND PURPOSE

Originally established by Congress in 1934, the National Historical Publications and Records Commission (NHPRC) is a statutory body affiliated with the National Archives and Records Administration (NARA). Representation on the Commission is fixed by law to include a member of the Federal judiciary, one member each from the United States House of Representatives and the Senate, two presidential appointees, the Librarian of Congress or an alternate, the Secretary of State or an alternate, the Secretary of Defense or an alternate, and one representative each from the American Association for State and Local History, the American Historical Association, the Association for Documentary Editing, the National Association of Government Archives and Records Administrators, the Organization of American Historians, and the Society of American Archivists (see Appendix E for a list of current Commission members). The Archivist of the United States chairs the Commission.

Under the provisions of Public Law 100-365 (44 U.S.C. Chapter 25), the Commission is authorized to undertake a wide range of activities involving the preservation, publication, and use of documentary sources relating to the history of the United States, and to recommend to the Archivist of the United States the expenditure of funds (usually in the form of grants) to support state and local government agencies, nonprofit organizations and institutions, and individuals undertaking those activities. Congress appropriates funds annually to support these grants.

## GENERAL ADMINISTRATION

As head of the National Archives and Records Administration, the Federal agency with which the NHPRC is affiliated, the Archivist of the United States is authorized to prescribe regulations necessary to administer the agency and its programs. Specific regulations for the NHPRC have been developed and can be found in the *Code of Federal Regulations* (36 CFR Part 1206). The Commission's regulations are periodically revised to reflect changing administrative needs and practices. Federal regulations carry the force of law and, along with authorizing legislation, provide the legal authority for the Commission and its programs. The grant program is also listed in section 89.003 of the *Catalog of Federal Domestic Assistance*. [Copies of the NHPRC portion of the *Code of Federal Regulations* are available upon request from the Commission.]

In order to administer the grant funds appropriated by Congress and to undertake other activities, the Commission has established a grant program that provides support for a wide spectrum of activities relating to historical records. The Commission has defined goals and priorities in a long-range plan. In addition, guidelines have been developed to assist prospective applicants in preparing proposals for funding and to explain Commission policies, preferred procedures, and technical approaches to the work being undertaken. The Commission's grant program is also administered in accordance with Federal grant regulations promulgated by the Office of Management and Budget.

Commission staff members are employees of the National Archives and Records Administration. Funds to support the day-to-day administration of the Commission's programs (as opposed to grant funds) are allocated as part of the regular budget of the National Archives.

## **NHPRC GRANT PROGRAM**

### **SCOPE AND PURPOSE**

The National Historical Publications and Records Commission encourages efforts by government and private organizations to preserve and make available for use those records that further an understanding and appreciation of American history. In the public sector, historical records document significant activities of state, county, municipal, tribal, and other units of government. In the private and public sectors, historical records include manuscripts, personal and family papers, and organizational and corporate archives, as well as photographs, motion pictures, architectural records, and electronic records. In order to foster the development of programs to preserve and make available these records, the Commission supports projects to promote cooperative efforts among institutions and organizations and to improve the knowledge, performance, and professional skills of those who work with historical records. The Commission also supports projects to publish documentary editions, to increase the use of these editions, and to encourage the development of the documentary editing field. In addition, the Commission supports projects relating directly to the management, preservation, and use of collections of records and archival repositories.

### **ADMINISTRATION OF THE PROGRAM**

The grant program is a cooperative effort of the NHPRC, state historical records coordinators and advisory boards, and institutions, organizations, and individuals throughout the country concerned with the records of the nation.

### **COMMISSION STAFF**

The executive director, the program director, and the staff of the Commission administer the grant program under the guidance of the Commission and the immediate administrative direction of its chair, the Archivist of the United States.

### **STATE HISTORICAL RECORDS COORDINATORS**

As specified in the regulations governing the NHPRC (36 CFR Part 1206), the governor of each state desiring to participate fully in the program appoints a state historical records coordinator, who must be the full-time professional in charge of either the state archival agency or the state-funded historical agency. If the state has both agencies, the official who is not appointed state coordinator must be named a member of the state historical records advisory board. The state coordinator is appointed for a four-year term with the possibility of renewal.

### **STATE HISTORICAL RECORDS ADVISORY BOARDS**

A state historical records advisory board is also appointed in each state and consists of at least seven members, including the state historical records coordinator, who chairs the board. The board should be as broadly representative as possible of the public and private archives, records offices, and research institutions and organizations in the state. A majority of the members must have recognized experience in the administration of government records, historical records, or archives. Board members receive no Federal compensation for their service. They are appointed to three-year, staggered, renewable terms.

The state board is the central advisory body for historical records planning and for Commission-funded projects in the state, serving as a coordinating body to facilitate cooperation and communication among historical records repositories and information agencies within the state and as a state-level review body for proposals as defined in the Commission's grant program guidelines.

## THE COMMISSION'S LONG-RANGE PLAN: GOALS AND OBJECTIVES

At its February 1992 meeting the Commission adopted a long-range plan that defines goals and objectives to be achieved, in part, through the funding of grant proposals. Although each of the goals is of equal importance in its relation to the Commission's overall mission, this is not meant to imply that each goal will receive equal levels of funding. The objectives under each goal are ranked in priority order.

### **Goal: To Assure the Preservation of the Nation's Documentary Heritage through State Collaborative Efforts.**

*Level-One Objective: To strengthen the efforts of state historical records coordinators and boards by offering grants for creating and updating state strategic plans for meeting records needs, based on the previous state assessments, and encompassing both documentary preservation and publication.*

*Level-Two Objective: To help local organizations preserve records and make them accessible by providing grants to state historical records coordinators and boards for state regrants.*

*Level-Three Objective: To continue the current cooperative agreement whereby the Council of State Historical Records Coordinators informs the Commission on needs and progress nationally.*

*Level-Four Objective: To collaborate with the states to promote archival and records management by and among state and local governments.*

### **Goal: To Assure the Nation's People of Published Documentation of Both Common and Diverse Elements of Their Historical Experience.**

*Level-One Objective: To bring to completion within the next 20 years nine present projects that document the formation of basic American political institutions—editions of the papers of Adams, Franklin, Jefferson, Madison, and Washington, and papers on the ratification of the Constitution, the First Federal Congress, the early Supreme Court, and the beginnings of U.S. foreign relations.*

*Level-Two Objective: To bring to completion within the next 20 years 36 present, Commission-funded projects that help document a range of historical subjects including the history of American women, the history of minority groups, and historical developments during and after the founding era.*

*Level-Three Objective: To assist new documentary projects, in various forms of publication, that help teachers improve history education and that help researchers pursue significant lines of inquiry in historical scholarship, as determined in consultation with the Organization of American Historians, the American Historical Association, and the American Association for State and Local History.*

### **Goal: To Improve Conditions for the Creation and Use of Documentary Editions.**

*Level-One Objective: Through matching grant offers and other means, to develop consortia and centers to edit documents, deal with documentation problems, raise funds for projects, share equipment and staff, and provide training as well as editing.*

*Level-Two Objective: In collaboration with the Association for Documentary Editing, to help editors resolve issues and improve techniques, tools, media, training, and standards for documentary editing.*

*Level-Three Objective: To increase document use by teachers, students, scholars, and the public.*

### **Goal: To Achieve Progress in the Preservation and Use of Original Source Material.**

*Level-One Objective: To carry out the recommendations in the report of the Working Meeting on Research Issues in Electronic Records.*

*Level-Two Objective: To increase access to and use of records, based on recommendations in the reports of the Historical Documents Study and the Society of American Archivists' Task Force on Goals and Priorities.*

*Level-Three Objective: To help carry out the national agendas for archival progress put forward by the Society of American Archivists and the National Association of Government Archives and Records Administrators, with particular attention to needs for preservation, planning, training, and institutional self-evaluation.*

**Goal: To Generate Public Support for an Accessible Historical Record.**

*Level-One Objective: To publish an annual “State of the American Record” report to identify needs, establish priorities, and gauge progress, using indices both qualitative and quantitative and regular channels of communication about needs from the field.*

*Level-Two Objective: To increase financial contributions for documentary preservation and publication from private foundations, corporate donors, host institutions, state and local governments, and other organizations that might be persuaded by the availability of NHPRC funds to contribute more of their own.*

*Level-Three Objective: To increase support for records work from a broad community of beneficiary parties—archivists, documentary editors, historians, patriotic organizations, state and local government officials, lawyers, jurists, educators, journalists, genealogists, local historians, historic preservationists, museum curators, and others with responsibility for historical records or with the need to use them.*

*Level-Four Objective: To increase even more broadly the attention of the general public to the benefits of historical documentation.*

## **GRANT APPLICATIONS AND PROCEDURES**

As outlined in the pages that follow, the priority ranking of the objectives listed under the goals determines which types of applications will be eligible for submission in each of the Commission’s three funding cycles: proposals addressing **level-one objectives** will be eligible for submission against the **June 1** deadline, proposals addressing **level-two objectives** will be eligible for submission against the **October 1** deadline, and proposals addressing **level-three and level-four objectives** will be eligible for submission against the **February 1** deadline. Applicants whose projects fall under more than one Commission objective should apply either in stages or under the objective to which the major project component relates. Level-one proposals will be considered at the first meeting of the fiscal year, level-two proposals at the second meeting, and level-three and four proposals at the third meeting, thereby enabling available funds to be allocated in priority order. Note that grant funds will not be allocated for the objectives under the goal “To Generate Public Support for an Accessible Historical Record.” **All applicants are encouraged to discuss their proposal ideas with Commission staff prior to developing a formal application in order to ensure that their applications are eligible and will be submitted against the appropriate deadline.**

### **JUNE 1 SUBMISSION DEADLINE (NOVEMBER MEETING)**

#### **LEVEL-ONE OBJECTIVES**

- *To strengthen the efforts of state historical records coordinators and boards by offering grants for creating and updating state strategic plans for meeting records needs, based on the previous state assessments, and encompassing both documentary preservation and publication.*

In 1981 the Commission began funding state studies to assess records conditions and problems and to lay the groundwork for addressing some of these problems. Although these reports analyzed conditions and developed agendas for change, the challenge remains for the states to develop effective statewide plans for the preservation and use of their documentary heritage. States may apply for full planning efforts or to support annual monitoring and updating of plans, as well as other routine board activities, such as travel and meeting expenses and the hiring of consultants. Although state boards may apply for whatever kind of planning assistance they need, they should still have as their goal preparation of a state plan that addresses the required elements outlined for level-two planning grants in the special guidelines for state board planning.

**Special guidelines for state board planning grants (not included in this booklet) are available from the Commission staff and should be used by all applicants in this category.**

- *To bring to completion within the next 20 years eight present projects that document the formation of basic American political institutions—editions of the papers of Adams, Franklin, Jefferson, Madison, and Washington, and papers on the ratification of the Constitution, the First Federal Congress, and the early Supreme Court.*

The Commission has identified eight ongoing documentary editing projects for priority funding support. Applications for support of these projects will be considered at the first Commission meeting of each fiscal year. Applications for the support of other documentary editions will be considered in other cycles.

Subvention grants to university and other non-profit presses to help defray the costs of manufacturing the volumes of these eight book editions are also eligible for consideration only in this cycle. **Special guidelines and application forms for subvention grants (not included in this booklet) are available from the Commission staff and should be used by all presses applying in this category.**

- *Through matching grant offers and other means, to develop consortia and centers to edit documents, deal with documentation problems, raise funds for projects, share equipment and staff, and provide training as well as editing.*

The Commission's experience with consortia of editors working to find new sources of funding and to share resources has shown that cooperative approaches can muster increased support, foster valuable work among editors, and generate wide notice in the field. Grants in this category are intended primarily to support administrative directors' salaries, meeting costs, travel expenses, secretarial assistance, and other appropriate items. The costs of individual projects themselves are not intended to be part of these grants but would be handled in the normal grant submission and review process.

Two types of funding requests are eligible for submission under this objective:

- Outright grants may be awarded to assist a consortium or center during the first year of its development, or to assist existing consortia in undertaking new fund-raising ventures (suggested level of grant funding - \$25,000 or less for one year).
- A matching grant may be awarded for full-scale development of a new center (suggested level of grant funding - \$100,000).

An institution that receives one of the smaller, outright grants in one year may also apply for a larger matching grant in a subsequent year.

- *To carry out the recommendations in the report of the Working Meeting on Research Issues in Electronic Records.*

Proposals eligible for submission under this objective must involve one of the four categories of activities identified in the report, *Research Issues in Electronic Records*, developed at a Commission-funded meeting in January 1991. Copies of this report are available from the Commission staff upon request. **Special suggestions for electronic records projects (not included in this booklet) are available from the Commission staff and should be used by all applicants in this category.** Because the costs are potentially high and the Commission cannot be the sole support for all archival electronic records activities, applicants should be prepared to seek support from various sources. The four categories of activities include:

- **RESEARCH AGENDA:** Projects that incorporate one or more of the ten questions identified in *Research Issues in Electronic Records* as needing to be answered to ensure progress in the electronic records field.

- **BASIC PROGRAM DEVELOPMENT:** Projects that establish basic archival electronic records capabilities in institutions and launch programs for the effective management of archival electronic records in their jurisdictions.

- **ANALYSIS:** Projects that analyze the nature and significance of electronic records management problems, especially to determine how these problems affect specific constituencies (e.g., historians, the press, scientists) and the general public. Such projects could result in publications and other products intended to increase awareness of electronic records problems and build support for effective solutions.

- **ADVOCACY:** Projects that result in initiatives for organizing, coordinating, attracting funding to, and providing leadership for electronic records management research and program development.

## OCTOBER 1 SUBMISSION DEADLINE (FEBRUARY MEETING) LEVEL-TWO OBJECTIVES

- *To help local organizations preserve records and make them accessible by providing grants to state historical records coordinators and boards for state regrants.*

Regrant projects in the states have several purposes. First, regrant programs enable state boards to play an active role in addressing the problems identified in state assessment reports and planning efforts. Second, regrant programs encourage coordination of efforts within the states and can serve both to enhance existing statewide programs and to aid the development of new initiatives. Third, regrant programs reach institutions that might not normally participate in the Commission's programs and allow the funding of smaller projects that make important contributions. Fourth, with their potential for generating matching funds, regrant grants can leverage additional support from other sources and reduce the Commission's own administrative costs.

All state boards interested in applying for regrants must have either completed a state strategic plan for archival and records programs or be able to show adequate progress in planning and accept regrant funds contingent on completion of the planning process. In addition, the board must meet certain performance standards established by the Commission. **Special guidelines for regrant proposals (not included in this booklet) are available from the Commission staff and should be used by all applicants in this category.** Two levels of regrant funding are offered:

- **REGRAANT GRANTS FOR \$50,000 OR LESS:** State boards may apply for funding of \$50,000 or less to use for regranteeing or subcontracting for small projects such as consultancies for organizations lacking archival or records expertise, limited surveys of specific types of records or organizations, statewide meetings or other collaborative efforts that are of a limited nature, emergency preservation of endangered records, and public education about archival needs and techniques.

- **REGRAANT GRANTS OVER \$50,000:** State boards may apply for matching funds for a focused regrant program. Such a program could provide support in areas such as strengthening archives and records programs in local governments and historical agencies, establishing ongoing state grant programs to continue the work of the regrant project, or developing coordinated approaches to address a particular need, e.g., preservation planning or documentation of subject areas central to the state's history.

States applying for regrants may propose whatever kind of matching funding the state can make, with the understanding that the higher the matching proportion the more appealing the grant proposal.

- *To bring to completion within the next 20 years 36 present, Commission-funded projects that help document a range of historical subjects including the history of American women, the history of*

*minority groups, and historical developments during and after the founding era.*

As of February 1992, when the long-range plan was adopted, the Commission was providing funding support for the 36 documentary editing projects identified under the objective in addition to the eight previously identified as being of level-one priority. Applications for continuing support of only these 36 projects are considered.

Subvention grants to university and other non-profit presses to help defray the costs of manufacturing the volumes of these 36 editions are also eligible for consideration only in this cycle. **Special guidelines and application forms for subvention grants (not included in this booklet) are available from the Commission staff and should be used by all presses applying in this category.**

• *In collaboration with the Association for Documentary Editing, to help editors resolve issues and improve techniques, tools, media, training, and standards for documentary editing.*

As the primary professional organization in the field, the Association for Documentary Editing is in a key position to identify and collaborate on projects that should be undertaken to improve the state of the art for documentary editing and the professional skills of its practitioners. Types of projects that are eligible for support under this category include conference planning and implementation (but not attendance at professional organization meetings); developing educational workshops and other training programs; preparation of professional publications; and research activities addressing issues in historical documentary editing, such as the use of automation and electronic document delivery. Commission grant funds will also be allocated under this objective for support of the Commission's documentary editing fellowship program and the annual Institute for the Editing of Historical Documents. **Special guidelines and application materials for the editing fellowship program and the institute (not included in this booklet) are available from the Commission staff and should be used by all applicants for these programs.**

● *To increase access to and use of records, based on recommendations in the reports of the Historical Documents Study and the Society of American Archivists' Task Force on Goals and Priorities.*

Two reports supported by the Commission—*Using the Nation's Documentary Heritage: The Report of the Historical Documents Study* (1991) and *Planning for the Archival Profession: A Report of the SAA Task Force on Goals and Priorities* (1986)—include specific recommendations for better meeting the needs of users of the nation's archives. All types of institutions, including state and local governments, are eligible to apply for grants under this objective. The following types of activities, drawn from the recommendations in those reports, are eligible for support:

- Development of educational and promotional programs to encourage the use of archival records, including support for instructional manuals, brochures, other publications, model curricula, and training programs aimed at users and prospective users.
- Arrangement and description of historical records, including the creation of guides, finding aids, and other access tools, and the development of automated descriptive databases.
- Projects to improve access to archival records including, but not limited to, projects that facilitate the exchange and dissemination of descriptive information about historical records; the development and use of descriptive standards and the resolution of bibliographic problems that limit access to historical records in original and published form; the removal of barriers to access for users of all types; and the improved distribution of information about historical records.
- Projects to increase and improve the distribution and use of microform, printed, and electronic editions and copies of archival collections.
- Projects to increase and enhance accessible documentation in previously underdocumented subject fields.

Projects to use information technology to capture and make available archival materials whose originals are in a different medium (e.g., the digitization of paper, microfilm, photographs, sound recordings, or moving

images) should consult the “Considerations for Converting Materials to Electronic Form,” available from the Commission.

In some cases, projects to assist in the establishment of new institutional archives and records programs may also be supported. An institutional archives comprises the records created by that institution. In such projects the records involved should have historical research significance beyond the immediate applicant institution and should document key persons, events, or themes in local, state, or national history. Development of such programs should also be significant for overall archival development in the state; for example, system-wide approaches for publicly funded colleges and universities are preferred to projects at individual institutions. The Commission, however, feels that primary support for all institutional archives and records programs should come from the parent organization or political entity. **Special guidelines (not included in this booklet) for projects involving Native American records (American Indians, Alaska Natives, and Native Hawaiians), historical photographs, microforms, and consultant services are available from the Commission staff and should be used by all applicants whose projects involve these areas.**

## FEBRUARY 1 SUBMISSION DEADLINE (JUNE MEETING) LEVEL-THREE AND LEVEL-FOUR OBJECTIVES

- *To continue the current cooperative agreement whereby the Council of State Historical Records Coordinators informs the Commission on needs and progress nationally.*

Funding is provided to continue the work of the Council of State Historical Records Coordinators, specifically the cooperative agreement with the Commission that went into effect in January 1991. Under the terms of this agreement, the Council holds national and regional meetings each year and produces a published report summarizing the status and needs of archival programs in the states every other year.

- *To collaborate with the states to promote archival and records management by and among state and local governments.*

The needs of local governments have been a concern of the Commission since the establishment of its records program in 1975, and approximately \$3 million have been granted directly to local governments for the improvement of their archives and records programs. Serious problems, however, continue to exist, and a recent study by the National Association of Government Archives and Records Administrators found that local government-oriented grants administered by state archives and records agencies produced more positive, long-term progress toward improving local government records programs than did grants made directly to individual local governments. Moreover, without strong programs to deal with state records, it is difficult for states to deal adequately with local government records.

Applications submitted under this objective may involve either the improvement of state archives and records programs or the provision of state-based support for local government records projects and programs. In some cases, where state-based assistance is not feasible, funding for individual local governments may be provided. Such funding, however, will be limited to larger local governments or to local governments whose records have more than local significance. Also, for the purposes of the Commission’s grant program, local governments are defined to include “independent entities” such as school boards and “quasi-independent” units such as large transit authorities, as well as more traditional entities such as counties and municipalities.

- *To assist new documentary projects, in various forms of publication, that help teachers improve history education and that help researchers pursue significant lines of inquiry in historical scholarship, as determined in consultation with the Organization of American Historians, the American Historical Association, and the American Association for State and Local History.*

Despite the high priority given to completion of ongoing Commission-funded projects, the Commission is also interested in supporting new projects, especially those that result in products that further history education at all levels, respond to new and significant research needs, and assist state and local documentary publication programs. Projects leading to single-volume editions for use in high school and college classrooms, editions

that use electronic dissemination and publication techniques, and projects incorporating innovative ways of presenting original documents to users, as well as more traditional book and microform editions, are eligible for support under this objective. However, to be eligible for NHPRC support, new documentary editing projects should be designed for an electronic environment, capable of supporting publication electronically as well as in other forms. Also, in its review of these applications, the Commission will consult with key national organizations to determine the significance of the topics for the historical community as a whole.

All Commission-supported editions reproduce the text of the papers and records of outstanding persons and/or institutions and other documents that may be important for an understanding and appreciation of United States history. **Book editions** involve collecting, transcribing, annotating, and publishing such papers or documents and may result in single- or multi-volume editions.

**Microform editions** involve collecting, compiling, arranging, producing microfilm or microfiche, preparing guides and/or indexes, and distributing copies for sale and interlibrary loan. **Special guidelines for microform projects (not included in this booklet) are available from the Commission staff and should be used by all applicants proposing microform editions.** In all microform proposals, applicants should indicate the specific technical standards to be followed regarding equipment, filming, processing, quality control, storage of the film master, and generation of distribution copies of the film. If filming is to be done in-house by the applicant, the proposal should discuss the applicant's previous experience with microform projects and plans to involve qualified staff. If filming is to be done by a service bureau, commercial publisher, or other contractor, the proposal should describe how the contractor has been or will be selected, the contractor's qualifications for the task (i.e., experience in filming similar materials), and the terms of the contract, especially those relating to technical standards and quality control. Because of the technical nature of much microform work as well as the need for projects to meet technical standards and ensure the quality of the final product, it is recommended that the directors of microform projects undertake special training in preservation microfilm techniques prior to beginning their projects.

- *To increase document use by teachers, students, scholars, and the public.*

It is essential that historical documents of all types and in all kinds of media be widely used and understood by the American people. As President Harry S. Truman noted, "we need to turn to the sources of our own democratic faith for new inspiration and new strength." Yet transcriptions or facsimiles of documents generally are not found in the nation's textbooks and classrooms, and teachers are often unfamiliar with the techniques for locating and using documentary sources. Researchers as well as the general public frequently overlook the importance and usefulness of historical documents for diverse fields of study and inquiry. This objective seeks to confront and remove barriers to use through a variety of means.

Several types of activities are eligible for funding under this objective. Of key interest are development of packages of documents and special courses and workshops that introduce teachers—at all levels—to instructional techniques based on historical documents. Support for conferences or studies to evaluate or develop innovative teaching methods and potentially useful sources of documents will also be provided. In addition, projects that involve the multimedia use of historical documents relating to American history, such as exhibits, sound and video recordings, and motion pictures, are also eligible.

- *To help carry out the national agendas for archival progress put forward by the Society of American Archivists and the National Association of Government Archives and Records Administrators, with particular attention to needs for preservation, planning, training, and institutional self-evaluation.*

The Society of American Archivists and the National Association of Government Archives and Records Administrators are two key national archival organizations concerned with identifying national agendas and priorities of need. In addition to the need for increased access to and use of historical records (addressed separately in one of the Commission's other objectives), reports issued by these groups point to ongoing preservation, planning, education, and institutional self-evaluation as being essential for sound records programs and a forward-moving profession. It is the Commission's intention that projects funded under this objective should be designed to have a broad impact by serving multiple institutions or segments within the professional community. Such projects may address ongoing needs; or they may examine particular

problems and issues arising from the national agendas of SAA and NAGARA and develop plans for addressing them. Proposals, however, may be submitted by any eligible applicant, not just NAGARA and SAA.

Some examples of specific types of projects that might be supported under this objective include:

- Coordination and development of national educational programs, including curriculum development; training workshops, seminars, and institutes; and preparation and publication of educational materials for archivists and other records custodians.
- Programs to provide management training and research opportunities relating to archival issues for archivists.
- Projects to assess specific national problems and needs as well as ways to address them, especially within a broadly based, cooperative framework.
- Development of structured approaches to the self-evaluation of individual archival programs, including followup consultation as well as the administration of centralized programs to facilitate self-evaluation by individual institutions.

Funding will also be provided under this objective for continued support for the Commission's archival administration fellowship program. **Special guidelines and application materials for the archival fellowship program (not included in this booklet) are available from the Commission staff and should be used by all applicants for this program.**

## TYPES OF PROJECT FUNDING

The Commission makes funds available as outright or matching grants or as grants combining these two types of funding. Applicants may request the funding arrangement best suited to their needs, although occasionally the Commission will decide to offer a different mix of funding. Institutional cost sharing, in the form of cash (which can include matching funds raised by the applicant) and in-kind contributions (materials, services, or personnel provided to the grant project), is also an important part of each project's total funding. Income from project activities (registration fees, royalties, etc.) may also be a source of support.

**Direct Costs.** Direct costs are expenses that applicants can attribute directly to the cost of a project, such as salaries, project supplies, travel expenses, or equipment rented or purchased for a project.

**Indirect costs.** Indirect costs are those costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples are the costs of operating and maintaining facilities, and accounting and legal services.

**Commission Policy on Indirect Costs.** Many agencies of the Federal government negotiate indirect cost rates with grantees. These rates are usually a fixed percentage of all or part of the total direct costs of the project. The NHPRC does not negotiate indirect cost rates with its grantees, but does recognize rates negotiated between its applicants and other Federal agencies. The Commission prefers that indirect costs be provided as part of a grantee's cost-sharing contribution.

**Outright Funding.** In outright grants the Commission supports all or part of the cost of a project, minus the share of costs borne by the applicant and other funders. The institution's share of the costs should be substantial, although the percentage may vary depending upon the nature of the project. Any direct or indirect costs relating to the project that are contributed by the applicant or other parties may be included as cost sharing.

**Matching Funding.** This category of funding is different from outright funding because it includes a Commission "match" of a specific amount of non-Federal funds not previously available to an applicant. The Commission matches new monies (usually dollar-for-dollar) raised from non-Federal sources, including new monies from an applicant's usual funding source that are provided specifically for the proposed project.

Applicants need not have matching money in hand in order to make a matching grant request; they need only have reasonable prospects of obtaining the matching funds. Upon Commission approval of a matching grant request, the applicant must present written certification that a non-Federal source has provided matching funds for the project and indicate the budget lines and amounts for which those third-party matching funds will be used. Matching grants are a device for clearly demonstrating shared Federal/non-Federal support for projects, especially the involvement of third parties in overall project funding. The final page (Section B) of the budget form is the only place in the budget where matching funds can be specifically indicated (i.e., as matching requested from NHPRC, with the equivalent amount shown as a cash contribution under cost sharing).

**Cost Sharing.** While matching support **must** be in the form of new cash funds, usually from a third-party source, cost sharing is an all-inclusive term used to indicate other Federal grants, non-Federal cash, or in-kind contributions to the cost of a project. Cost sharing can include both direct and indirect costs and can also include any income earned directly by projects (for example, through registration fees or sales of publications). Cost-sharing columns on the budget form should incorporate any non-Federal matching funds anticipated for the project.

As originally adopted by the Commission in 1979 and reaffirmed in June 1991, **for documentary editions whose NHPRC funding began before February 1992**, the Commission will, as a general principle, provide a maximum of 50 percent of the total direct costs in a given project budget unless additional direct cost support is forthcoming from the project's sponsoring institution(s) or other sources. In such cases, if funds are available, the Commission may choose to provide a level of support beyond the 50 percent limit that is equivalent to the amount being contributed by the sponsor or other source, up to a maximum of 75 percent of the total direct costs. **For documentary editions undertaken under institutional sponsorship whose initial grants began in February 1992 or later**, the Commission will provide **no more than 50 percent of the direct costs** in any project budget and will look most favorably upon those proposals containing at least 25 percent cost sharing of the total direct costs by the project's sponsoring institution(s). In order to increase their cost sharing of direct costs, applicants may find it feasible to categorize certain items (e.g., space rental) as direct costs that are usually included as part of indirect costs, if they can be isolated for an individual project. If this is done, however, applicants should not also show standard indirect costs in their budgets.

**For all other types of projects**, the Commission suggests that cost sharing equal approximately 50 percent of the total cost of the project. Projects whose primary beneficiary is not the applicant institution but the broader records community may not warrant such substantial cost sharing. This may also be true for projects undertaken by professional organizations in the broad public interest. Cost sharing shown on project budgets should include only expenses that relate to the specific activities for which NHPRC funding is being sought.

Grantees are encouraged to earn program income to reduce program costs. Program income is gross income directly generated by a grant-supported activity during the grant period, e.g., workshop fees or sales of a manual or other publication produced by the project. Generally, program income will be applied to the grantee's cost sharing rather than being added to the total project budget. Program income, if earned, must be included on all financial status reports.

## WHO MAY APPLY

Nonprofit organizations and institutions, state and local government agencies, Federally acknowledged or state-recognized Native American tribes or groups, and, in some cases, individuals may apply for grant support. All applicants must be legally established and located within the United States, its territories, or the District of Columbia. Individual applicants must be United States citizens and should consult with the Commission staff regarding eligibility. Proposals for projects falling under the goals **To Assure the Preservation of the Nation's Documentary Heritage through State Collaborative Efforts** and **To Achieve Progress in the Preservation and Use of Original Source Material** will be accepted only from applicants in states in which a state historical records coordinator and a state historical records advisory board are currently appointed.

## PRELIMINARIES TO APPLICATION

**Read the general program guidelines in this booklet** carefully before beginning to prepare an application. **For the following types of grants and project activities, special guidelines, suggestions and/or application forms have been developed:**

- Consultant Grants and Services
- Digitization/Digital Imaging Projects
- Electronic Records Grants
- Fellowships in Archival Administration and Historical Documentary Editing (hosts/fellows)
- Historical Photograph Projects
- Microform Projects (including historical documentary editions)
- Projects Involving Native American Records
- Publication Subventions
- State Board-sponsored Regrant Projects
- State Board-sponsored Strategic Planning Projects

**If a project includes work in one of these areas, applicants must request the appropriate special guidelines or policy statements from the Commission staff and study them carefully *before* starting to prepare applications.** A form for guidelines and information may be found at the end of this booklet.

Applicants with proposals falling under the goals **To Assure the Preservation of the Nation's Documentary Heritage through State Collaborative Efforts** and **To Achieve Progress in the Preservation and Use of Original Source Material** whose project work will take place within a single state should contact their state historical records coordinator (see Appendix H) well in advance of preparing a proposal. Several boards request that applicants discuss proposal ideas with them before submitting a formal draft; others have earlier application submission deadlines (in some cases several months earlier) than those set by the Commission so that proposals may undergo a formal board review prior to their submission to the Commission.

**The Commission staff and the state historical records coordinators welcome and encourage preliminary conversations or inquiries about prospective grant applications and are willing (time permitting) to review drafts of proposals.** Often, the coordinator, state board, and Commission staff make suggestions that improve the prospects of funding. Drafts directed to the Commission staff should be sent no later than two months before the formal submission deadline (e.g., April 1, August 1, and December 1). Applicants should be aware that the proposal development process usually takes several months. Gathering information and making contacts well in advance of the application deadline are essential if proposals are to be competitive in the evaluation process.

## WHEN AND HOW TO APPLY

**Preparation and Submission of Applications.** Applications must be submitted using the standard application and budget forms and certifications bound in the center of this booklet. Photocopies of the forms may be used. Applications that do not use these standard forms, that are incomplete, or that miss the deadline will be returned to the applicant and will not be eligible for consideration during the funding cycle. **Application deadlines—June 1, October 1, and February 1—are postmark deadlines.** Extensions are not permitted.

A) All applicants must submit the **signed original** (no stamped or initialed signatures please) of their grant application to **Program Director, National Historical Publications and Records Commission - NHPRC, National Archives Building (Archives I), Room 607, Washington, DC 20408.** Applications should be prepared on one side of paper only. Do not staple the signed original and do not put applications in binders or folders. Do not fax proposals to the Commission. Except as noted under B), below, all applicants **must also submit two copies** to the Commission. Although Federal grant regulations do not require the submission of more than one original and two copies of the application, to expedite the review process the Commission strongly urges applicants

for all new projects to send the **signed original** and 10 copies (1 + 10 = 11) to the Commission. Applicants for continued support of ongoing documentary editing projects should send only the signed original to the Commission.

B) Applicants whose proposals fall under the goals **To Assure the Preservation of the Nation's Documentary Heritage through State Collaborative Efforts** and **To Achieve Progress in the Preservation and Use of Original Source Material**, and whose project work will take place within

■ *a single state*

should submit one copy of their application to the appropriate state historical records coordinator **as well as** one copy (in addition to the original) to the Commission. Note that Native-American applicants have the option of bypassing the state historical records coordinator and sending their application only to the Commission.

Although not required, applicants submitting applications under these two goals can facilitate timely state board review by checking with the state coordinator to determine the preferred number of additional copies to be submitted to the board (based upon the number of board members-usually 10 or more).

■ *more than one state*

will not be reviewed by a state board, and therefore must send the **signed original and two copies** of their application to the Commission. However, we suggest that these applicants also send a courtesy copy of the proposal to the state coordinator in the state in which the applicant institution is located.

Addresses for state coordinators may be found in Appendix H. All original copies of applications submitted to the Commission, as well as any materials submitted as supplementary information with the application (samples of photoprints, books about the applicant institution, etc.) become the property of the NHPRC and, because of the provisions of Federal records law, cannot be returned to applicants.

## **APPLICATION REQUIREMENTS AND SUGGESTIONS FOR APPLICANTS**

Except for subventions and fellowships, which have special application requirements, *all project proposals must include items 1-3* of the following six elements. The remaining three items are optional, depending on the nature of the application. **Applications submitted with improperly completed forms and summaries will be returned to the applicant institution and will lose their eligibility for consideration in the funding cycle.**

Evaluation by the NHPRC involves consideration of recommendations of state boards and other reviewers, comparison of the proposal with others submitted to the Commission, and scrutiny of essential proposal elements. Of particular relevance are the relationship of the proposal to objectives in the NHPRC plan; the historical value of the records to be dealt with; the anticipated impact of the project on archival program development (for archives projects); the potential impact of the project on other institutions and individuals; and the value of the products to be created by the project. Other important factors include the soundness of the plan of work and techniques; the suitability and qualifications of the staff to undertake the work outlined; the appropriateness of the budget for the planned work; the urgency of the project; and the need for outside funding. **Applicants must discuss these matters fully and frankly in each proposal.** Although applicants are encouraged to draw on the experience and work of others in developing their proposals, they are cautioned against directly copying language or phrasing from the previously funded applications of others. Occurrences of such copying that come to the attention of the Commission will be evaluated on a case-by-case basis and may result in a proposal's being declared ineligible for further consideration.

### **1. APPLICATION AND COMPLIANCE FORMS AND PROJECT SUMMARY**

- A signed "Application for Federal Assistance" form (Standard Form 424);
- A signed "Assurances—Non-Construction Programs" form (Standard Form 424B); and

- A signed “Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-free Workplace Requirements” form.

Applicants and grantees who actually engage in lobbying must also complete the “Disclosure of Lobbying Activities” form (Standard Form LLL). All of these forms may be found in this guidelines brochure.

- A two-page, usually single-spaced “Project Summary” statement providing concise information about the project’s purpose, significance, plan of work during the grant period, intended products, and key personnel.

The preparation of the “Application for Federal Assistance” form (Standard Form 424) and “Project Summary” are crucial to the success of the application. In particular, the “Project Summary” must be limited to two pages, must include information under each of the elements indicated on the standard “Project Summary” form, and must be able to stand alone as a brief description of the project. Applicants may use the formatted summary pages provided in this brochure, or a computer-generated facsimile. They may adjust the length of individual elements as needed, but **must adhere to the two-page limit**. In addition to not exceeding the two-page limit, the summary should not refer the reader to “see inside” or “see attached,” except in the case of references to vitae and similar supporting information found elsewhere in the application.

## 2. MULTI-PAGE NARRATIVE

A multi-page narrative, which expands on the information in the two-page summary, is required for all applications. Although the length and content of this narrative may vary depending on the nature of the project, **a maximum length of 20 double-spaced pages** is strongly recommended, with a minimum length of five pages. In addition to a description of the project’s significance, purpose, and goals, it should include a discussion of the work to be undertaken during the proposed grant period, covering those topics outlined below that are applicable to the project. Some topics may not apply to all projects.

**Importance of the Project for Program Development.** Because the Commission seeks to fund projects that will contribute to the development of new or improved records programs or to the strengthening of professional record keeping practices as a whole, applications should describe the project’s contribution in these areas and the extent to which a particular project would help to establish and develop an archival program. The most competitive applications will include evidence that an institutional assessment using an appropriate method has resulted in the development and implementation of plans for preservation, description, or other functional areas for which grant support is being sought. Such assessments may be undertaken by paid consultants or they may be undertaken by the institution’s own staff using tools such as *NAGARA GRASP: Guide & Resources for Archival Strategic Preservation Planning* (Atlanta: National Association of Government Archives and Records Administrators [NAGARA], 1990) or the *Archives Assessment and Planning Workbook* (Chicago: Society of American Archivists, 1989). Both publications may be purchased from the Society of American Archivists (see address in Appendix G); *GRASP* is also available on loan from each state or territorial archives.

**Need for Funding.** Applicants should discuss the circumstances which have led to a request for Commission funding. The Commission is especially responsive to applicants who demonstrate that NHPRC grant funds will be used to increase the status and visibility of and financial support for the applicant’s program. Particularly attractive to the Commission are proposals that promise continued support of the work by the applicant or some other non-Federal source after Commission funding ends. Grant funds should not be viewed as a substitute for regular funding of ongoing programs and are not intended to replace regular appropriations for existing programs that have been cut due to revenue shortfalls.

**Description of Records.** Indicate the volume of the records being dealt with by the project. Whenever possible, use standard archival measurements, such as cubic or linear feet (for paper records) or number of items (for photographs). If indicating numbers of boxes, describe the type and size of box. Describe the condition of the materials, commenting on past and present storage conditions; evidence of physical deterioration; type of paper or other medium; age; previous preservation measures; and any evaluation made by a professional conservator.

Describe the contents of records by noting particular subject areas; important individuals, types of correspondents, or types of records; and span and bulk dates of the records or particular segments of them. Applicants may wish to attach selected descriptive information or portions of completed finding aids to the proposal and refer to them in the text. Applicants should note expected historical research uses of the records and their relationship to similar materials elsewhere, as well as patterns of prior use of the institution's holdings. Indicate the number of researchers per year who use or are expected to use the records being dealt with by the project.

Discuss the institution's collecting policy and activities (attach the written policy statement as an appendix to the application) and its ability to service collections acquired or processed through grant funds.

**Plan of Work, Techniques, and Personnel.** Explain who is to do what, when, where, and how, and provide information about the facilities and equipment to be provided by the project's sponsoring institution. The NHPRC urges adherence to generally accepted archives and records procedures, standards, and terminology. A narrative plan of work should indicate the stages through which work will progress and describe the work at each stage. A time-line chart indicating activities during each month of the grant period is helpful in clarifying complex work plans and in showing exactly what will be accomplished by what date. For arrangement and description projects, indicate anticipated processing/cataloging rates and the basis for determining them.

Applicants should discuss standard approaches where these exist, refer to any earlier similar projects funded by the Commission, and, for description projects, indicate the planned level of analysis and description. Except as an integral part of a fuller documentary edition, the Commission does not ordinarily support item-level indexing and description, subject indexing below the series, box, or folder levels, calendaring, translation, or similar processes when there are less costly alternatives for describing records.

Grantees are required to enter descriptions of materials arranged and described with Commission support into such bibliographic networks as the Research Libraries Information Network (RLIN), the Online Computer Library Center (OCLC), or the Western Library Network (WLN), or to submit reports to the *National Union Catalog of Manuscript Collections* (NUCMC). Grantees are also encouraged to use such descriptive standards as the MARC (Machine-Readable Cataloging) format and *Archives, Personal Papers, and Manuscripts*.

Include draft forms and procedures for surveys, sample entries for guides, and sample pages from finding aids or on-line catalog entries in the proposal. Many proposals are not funded because reviewers and Commission members cannot envision the products or how the work will be accomplished. For conferences and workshops, attach a draft agenda and list of anticipated participants. For microform projects, include a discussion of technical standards and a signed microform standards agreement. The agreement may be found in the "NHPRC Microform Guidelines," available on request.

Project personnel should be qualified by training and experience to undertake the activities described in the proposal. On occasion, the Commission will agree to support limited training, such as attendance at technical workshops, for appropriate project personnel. The Commission, however, prefers to see well-trained and experienced personnel listed in the proposal.

The project director should play the major role in the design, execution, and administration of the project. **The project director should not be a figurehead or occasional visitor to the project.** Likewise, it is recommended that the project director be a permanent employee of the grantee institution, rather than someone newly hired with grant funds. The applicant should outline the roles of the project director and other personnel in the proposal and indicate their commitment of time and salary in the budget.

An effective way of utilizing unpaid experts is to establish a project advisory board. Individuals with strong credentials in subject areas or archival processes related to a project may be willing to devote some time and energy to it. Applicants should always ask potential advisors for permission before mentioning them in the proposal. Moreover, the proposal writer should give any named advisor who plays a significant role in preparing an application the opportunity to review it prior to submission. Documentary editing projects or other projects that have already appointed editorial or advisory boards should provide the names of their members and describe the nature of their involvement with the project.

**Products, Standards, and Copyright.** Describe how handbooks, pamphlets, guides, standards, and similar products, if any, will be publicized and distributed. Title pages of grant-funded products should include sufficient information (author, title, place of publication, publisher, date of publication) to facilitate library cataloging and information sharing. The Commission recommends that paper-based products be printed on paper that meets the minimum requirements of U.S. standards ANSI/NISO Z39.48-1992, or latest revision, for paper and Z39.66-1992, or latest revision, for bindings. For more information on standards see *Information Standards Quarterly*, the newsletter of the National Information Standards Organization.

New applicants for documentary editing projects should describe any copyrights or literary property rights involved in producing their respective editions. New applicants for support of editing projects should also include a detailed description of the editorial principles to be employed and should discuss such topics as collecting procedures, selection and arrangement criteria, transcription methods, and annotation and indexing principles.

Applicants should indicate whether they intend to copyright products or place them in the public domain. The Commission may request that an institution waive copyright privileges if it feels that doing so is in the best interest of the archives and records community. In accordance with Federal regulations, the Commission reserves, for Federal government purposes, a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. **All publications or other products must acknowledge the support of the Commission in preparing the work.**

**Documentary Editing Projects.** In addition to relevant items described above in this section, indicate the number of volumes, microfilm reels, or other products (such as CD-ROMs or other electronic media) expected to be produced, and the estimated completion date. For continuing projects, note any changes from previous projections and the reasons for those changes. New projects should incorporate into the narrative two or three copies of sample documents with transcriptions and annotations, as well as a discussion of any arrangements that have been made for publication of the edition. Plans for the edition's overall scope and format, including indexes and other features, should also be discussed and sample index entries provided. Microform projects should describe the proposed format and content of guides or indexes, as well as the technical standards that will apply to the edition.

Ongoing editing projects should note that narrative progress reports are no longer required as part of the grant application; rather, these progress reports should be submitted semi-annually, as specified in a letter sent to each project director at the time a grant award is made.

**Evaluation of Project Results.** Proposals should state clearly how the relative success or failure of the project's work will be judged. Not all projects will accomplish their intended goals, but the Commission, applicants, and others can learn from failure as well as success. The Commission encourages frank discussion when projects encounter difficulties or fail to achieve their goals.

### 3. BUDGET

**A budget that lists all items to be funded or supplied by the applicant and the Commission must be submitted on NA Form 17001** (included in this brochure). **Computer-generated facsimile paper forms may be used, but must replicate exactly the format and content of NA Form 17001.** Calculate a separate budget for each project year if the grant period is 18 months or longer. Instructions in addition to those given below may be found with the budget form.

**Allowable Costs.** Allowable expenditures under NHPRC grants are governed by the Federal cost principles (issued by the Office of Management and Budget) applicable to specific types of grantees as follows: OMB Circular A-87, Cost Principles for State, Local and Indian Tribal Governments; OMB Circular A-21, Cost Principles for Educational Institutions; and OMB Circular A-122, Cost Principles for Nonprofit Organizations. Copies of OMB circulars are available from the Publications Office, Office of Management and Budget, Washington, DC 20503, and on the World Wide Web.

**Format.** Consult the instructions on the budget form. Round all figures up or down to the **nearest** dollar amount. The budget must contain detailed information and show the basis of calculation for the indicated sums. It is a financial plan, which, with a minimum of change, will be followed during the project; it is not merely a rough total of estimated needs. Although applicants may request funding for up to three years, the Commission currently prefers one- to two-year projects. For multi-year projects, the Commission may choose to support only the first year, with further support contingent upon satisfactory progress and on the availability of funding. Separate budgets for each year of a multi-year project (i.e., projects lasting 18 months or longer), therefore, are required. Although applicants are required to complete only column c, the “Total” column, on the budget form, it is suggested that applicants complete columns a and b (“NHPRC Funds” and “Cost Sharing”) as well in order to provide sufficient detail to allow for a better understanding of their budget request.

**Size.** Grant amounts awarded by the Commission have varied from under \$1,000 to over \$300,000. During fiscal year 1992, records grants ranged in size from \$2,700 to \$250,000, while grants for editing projects (excluding subventions) ranged from \$10,000 to \$175,000. The average Commission grant was in the \$50-55,000 range. The legitimacy of costs outlined in the budget rather than the size of the request is a key factor in Commission funding. However, because the Commission can support only a limited number of large projects, applicants are urged to consult with Commission staff if they are applying for grants of \$150,000 or more. The Commission sometimes chooses to support only selected activities outlined in a grant proposal.

**Budget Elements. The budget may include the following items:**

1. **SALARIES.** List each staff position and the full salary for that position in the budget, show the percentage of time each staff member will devote to the project, and calculate the value of that time. Indicate which positions are to be filled for the proposed project and which personnel are already on the staff of the applicant institution. The salaries of all personnel directly associated with a project are appropriate costs in proportion to the time devoted to the project. Grant funds may be used only to pay the salaries of individuals actually working on the project. However, 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 the grant project only if the institution uses its own funds to hire substitute staff to assume their regular duties during the grant period or if their salaries are normally paid out of grant funds. Applicants should indicate which positions would be involved in such an action in a narrative budget supplement.
2. **FRINGE BENEFITS.** Indicate the percentage basis for each amount.
3. **CONSULTANT FEES.** Include payments for consultant services and honoraria. Include consultant travel expenses in the “Travel” category. With few exceptions, the current maximum daily consultant fee is \$350.
4. **TRAVEL.** List the destination for each trip and the basis for calculating all travel costs. Individual trip costs and transportation rates (airfare, mileage costs, etc.) should be as precise as possible. Per diem (food and lodging) rates should be the applicant institution’s standard rate. If the applicant institution has no standard rate of its own, standard Federal rates should be used. Information about Federal rates may be obtained from the Commission staff. All travel should be justified in the proposal narrative. See the section of this booklet entitled “Funding Restrictions” for further guidance regarding travel costs.
5. **SUPPLIES AND MATERIALS.** Itemize the estimated cost of specialized materials and supplies. The project’s need for them should be justified 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. See the section of this booklet entitled “Funding Restrictions” for further guidance regarding equipment costs.
6. **SERVICES.** Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or as indirect cost expenses.

[Note: the following paragraph relates to all grant funding provided for printing and publication costs *except that funding provided under the Commission's subvention program for documentary editions*, which has its own guidelines and policies.] The Commission will consider requests for printing and other publication preparation and manufacturing costs if widespread distribution is important. If printing or manufacturing costs are awarded by the Commission, items produced using grant funds are to be made available free or for the cost of shipping and handling. For any project involving a publication or other product to be sold, the applicant should discuss the production cost, number of copies to be produced, projected selling price, and distribution plans in the proposal narrative or in a narrative budget supplement. The Commission prefers that grant products be distributed free or at cost and that any profits realized after the grant period from product sales be reinvested to support activities of the grantee similar to those undertaken under the grant. All revenues from product sales during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing.

7. **OTHER COSTS.** Itemize all other direct costs of the project. The Commission will disallow any requests for "contingency," "general," "administrative," or "miscellaneous" funds. See the section of the booklet entitled "Types of Project Funding" for a discussion of cost sharing, direct costs, and indirect costs.

**Applicants should submit a narrative budget supplement when it is needed to explain unusual lines in the budget.** Such a supplement is not required, however, for routine budgets.

#### **4. VITAE**

Brief vitae (**no more than two pages each**) for the project director and other key project personnel and job descriptions and recruitment plans for positions to be filled during the project are required in new applications. The vitae requirement is waived for ongoing editing projects, although applications should include vitae for any new staff members hired since the previous grant application was submitted, as well as job descriptions and recruitment plans for new positions.

#### **5. APPENDICES**

For new projects, appropriate appendices should also be included. Depending on the nature of the project these may include such items as the applicant institution's mission statement and collecting policy; sample pages of a proposed finding aid; sample documents; an article describing the applicant institution and its holdings; a resolution from the applicant's administrative body committing financial support to continuation of the program after the grant period; and statements of support from groups or organizations whose records or programs will be directly affected by the project. Applicants should limit appendices to those elements essential for understanding and evaluating the application. Proposals for ongoing documentary editing projects will generally not include such appendices, although they should include copies of recent reviews of published volumes and microforms and may wish to include sample documents.

In addition, new applicants, or applicants for ongoing support whose circumstances have changed, should secure and attach as appendices to the proposal the written support and endorsement of organizations, institutions, or officials whose records or programs will be directly affected by the grant project.

#### **6. REVIEWERS**

For new projects, applicants are encouraged to provide a list of up to 10 suggested reviewers for the proposal, including institutional affiliations, addresses, and phone numbers. These individuals should be disinterested persons who can provide impartial evaluations of the proposal's merits. They should either be experts in the particular subject area of the application or on the proposed methodology of the project. Applicants should not discuss their proposals with any of the individuals listed as potential reviewers. Members of advisory boards or other individuals associated with a project should not be listed as possible reviewers. Commission staff will consult this list, along with other sources, in choosing reviewers for the proposal.

## FUNDING AND PROGRAM RESTRICTIONS

**Editing Projects Focusing on Individuals.** It is the Commission's policy to support documentary editions that focus on the papers of an individual only if that individual has been deceased for at least 10 years.

**Restricted Access to the Documents.** Ineligible are projects in which a major portion of the processed documents will be kept closed to researchers for more than five years, in which documents are not accessible to all qualified users on equal terms, or in which it is the repository's policy to deny public access. Applicants must discuss thoroughly any proposed or actual restrictions in the proposal. The "American Library Association—Society of American Archivists Joint Statement on Access: Guidelines for Access to Original Research Materials," which may be found in Appendix C, expresses the Commission's views on access to historical records.

**Temporary or Private Custody of Documents.** Arrangement, description, and preservation projects are ineligible if the documents are privately owned or deposited in an institution subject to withdrawal upon demand. The Commission will, however, consider applications involving documents which, *for legal reasons only*, may not be transferred by deed of gift from an agency to a repository, but which have been placed on permanent deposit in that institution.

**Federal Government Records.** Arrangement, description, and preservation projects involving Federal government records are ineligible unless the records have been permanently deposited in a non-Federal institution under an agreement authorized by the National Archives and Records Administration. Applicants who are unclear as to the Federal/non-Federal status of records should contact the Commission staff to discuss their concerns well in advance of submitting an application.

**Equipment, Improvements, and Real Estate.** Under no circumstances will the Commission provide grant funds for the acquisition of routine equipment such as office furnishings, shelving, and file cabinets. The Commission will provide grant support for the purchase of technical equipment, (e.g., computers and peripherals), essential for the project, but suggests that the cost of equipment be divided evenly between grant funds and cost sharing, recognizing, however, that individual circumstances will vary from project to project. This applies both to expendable equipment (i.e., equipment items costing less than \$5,000 per unit and included in the "Supplies and Materials" category of the budget) and to permanent equipment (i.e., equipment items costing \$5,000 or more per unit and included in the "Other Costs" category of the budget). Note also that only when an applicant can demonstrate that the purchase of *permanent* equipment will be less expensive than rental may grant funds be requested for such purchases.

The Commission does not provide grant funds for the construction, renovation, or purchase of any building or land or for the rental of space, except for conferences. However, grant funds may be used for general assessments of existing facilities and needs and to create designs for "model" facilities applicable to multiple repositories. Proposal budgets may show costs for the purchase or rental of equipment and building renovations under cost sharing without any restriction.

**Travel.** The Commission does not as a rule fund staff travel to professional meetings unless the travel is essential to accomplish the goals of the project. Such requests will be evaluated on a case-by-case basis.

**Personal Papers of Public Officials.** Prospective applicants should consult the Commission staff before preparing and submitting proposals pertaining to the personal papers of public officials. At present, for archives and records projects relating to contemporary (post-1945) records, the Commission prefers to address general needs, such as improved records management, appraisal, and records sampling techniques, rather than funding arrangement and description of collections.

Requests for funds to support work relating to specific collections of papers of elected or appointed officials at all levels of government are not ordinarily accepted by the Commission while those officials are still in office, except for minor offices. The Commission will not accept proposals relating to specific collections of papers of elected or appointed government officials until all, or nearly all, of their papers that are to be placed in a given repository have been accessioned by that repository.

**Purchase of Documents.** No grantee may purchase manuscripts or other historical records with grant funds.

**Oral History.** Prospective applicants should consult the Commission staff before preparing proposals pertaining to oral history materials. At present, the Commission will support oral history training, interviewing, transcribing, and translation only for Native American records proposals. The Commission will, however, consider proposals for the preservation, surveying, description, and promotion of the wider use of tapes and transcripts. Requests for detailed indexing of oral history interviews will ordinarily not be supported.

**Newspaper and Book Preservation.** The Commission does not support projects for the preservation of newspapers or rare books. Proposals involving the preservation of large newspaper clipping files are eligible for consideration only if work on the clipping file is part of a larger archival proposal to the Commission.

**Artistic Works.** The Commission does not support projects of a purely artistic or entertaining nature, or the preservation, arrangement, or description of materials of a purely artistic or entertaining nature. The Commission, however, does support the preservation, arrangement, and description of documents that describe the processes of creation or production of artistic, entertaining, journalistic, or comparable works.

**Records Management.** The Commission supports projects whose focus is records management, if those activities relate to a broader historical records program. For example, the Commission has funded projects for the development and distribution of retention schedules so that records of archival value will not be discarded. The Commission also has funded surveys, appraisal studies, training of staff, and projects to develop manuals, guidelines, or written evaluations to assist non-archivists who have custody of records of archival value.

**Surveys of Records.** Applicants should discuss survey proposals with the Commission staff before submitting a grant application. The Commission supports projects to survey records *not yet in repositories* when such surveys are linked to program planning and development. Such surveys are typically part of multi-faceted projects combining identification of records with other activities, such as accessioning, scheduling, and drafting of policy recommendations. A draft survey form, evidence of completion of a test survey, a statement of procedures, and a detailed discussion of the use of the survey results should accompany any survey proposal submitted to the Commission. The Commission does not generally support *subject-oriented* surveys of records already held in repositories when the sole project goal is development of a descriptive tool, such as a printed guide. The Commission will, however, support *comprehensive* multi-repository surveys within a state or region or, in some cases, surveys dealing with a particular type of material, such as oral history interviews, even if the project's goal is description alone.

**Preservation Projects.** Although the Commission supports proposals that request funds for acid-neutral containers and other archival supplies, fumigation, deacidification, and other mass treatments of records, and limited conservation work (in special cases), applicants should note that the program's emphasis is on preservation of the information in historical records rather than preservation of records in their original form because of their value as artifacts.

The Commission prefers not to support expensive document restoration work if there are alternative means of preserving information of historical interest. In practice, this policy means that the Commission rarely supports proposals involving extensive, item-by-item conservation work or the production of copy negatives or reference prints for an entire photographic collection. The Commission prefers to support proposals that employ more cost-effective solutions to archival problems, including the use of microfilm and microfiche.

## EVALUATION OF PROPOSALS

The Commission staff review all proposals for completeness, conformity to application requirements, and overall eligibility. Applicants are notified by the staff shortly after the application deadline that their applications have been received and if they do not meet Commission regulations and/or guidelines. Depending on their complexity and categorization under the Commission's goals and objectives, proposals for new

projects may then be sent to between five and 10 peer reviewers, reviewed by the appropriate state historical records advisory board, or evaluated by both peer reviewers and a state board.

Those applications reviewed by state historical records advisory boards are evaluated in terms of their technical merits as well as their relationship to statewide priorities established by each board. The state coordinator then forwards the board's recommendations to the Commission staff for further action. State boards may decide that certain proposals are incomplete or require further development. In those cases the board may return the proposal to the applicant with a recommendation for revision, notifying the Commission staff of its recommendations. In such cases, the Commission takes no official action pending revision and resubmission of the proposal in a future funding cycle.

Applications meeting any of the following four criteria will be sent to peer reviewers: 1) the application requests NHPRC funds of \$75,000 or more; or 2) the application requests a grant period of two years or more; or 3) the application involves technological processes and issues (i.e., motion pictures, sound recordings, electronic records, or the use of innovative automated techniques); or 4) the application is a resubmission of an application that was rejected by the Commission in a previous funding cycle. Applicants will receive a copy of the state board's summary, and, when applicable, blind copies of the reviewers' comments and/or questions from staff. This information is sent to the individual named as project director approximately two months after the submission deadline. Because the required turnaround time is short, it is important that project directors be available to respond to these letters at that time. Following receipt of the applicant's response, the staff member handling the proposal prepares a report to the Commission members.

The Commission meets three times a year. On the advice and recommendation of the Commission, the Archivist of the United States makes grants from appropriated funds and any available private funds. Following Commission meetings, the Commission staff informally notify state coordinators and applicants of grant recommendations. The Commission may grant all or none of the funds requested, offer partial or conditional funding, reject the proposal but encourage revision and resubmission in a future grant cycle, or defer the application for reconsideration at a later meeting. Applicants whose proposals are rejected, but who are encouraged to revise and resubmit their applications in a future funding cycle, are urged to consult with the Commission staff before doing so. See Appendix B for a statement regarding conflict of interest and the Commission and its staff.

**Evaluation Procedures for Ongoing Documentary Editing Projects.** In addition to the evaluation procedures outlined above, ongoing documentary editing projects may receive more than routine evaluation when they reach certain "mileposts." These "mileposts" include the following:

- When the major search effort for materials has been completed.
- When the project director/editor and/or advisory board determines that the time needed or the number of volumes needed to complete the project is greater than previously estimated.
- When a change of project director/editor is planned.
- When the project director/editor is considering a change of sponsoring institution and/or when the project is experiencing difficulty in its relationship with its sponsoring institution.
- When a project is finishing a microform edition and is beginning work on a book edition.

At such times the Commission and its staff may pursue a number of different options to assist in their evaluation of the project. The staff may ask for a written report from the project director describing the anticipated changes and giving a detailed explanation as to why these changes are being planned. The report should be accompanied by a review of the proposed changes by the project's editorial board and/or project consultants.

At the discretion of the NHPRC, a review panel may be organized to conduct an evaluation of the changes through a site visit and/or an appraisal of the project director's report, resulting in a written report to the Commission. Such a panel might include a subject specialist, a documentary editor, a former or current Commission member, and a staff member. The Commission may also recommend that an individual

consultant undertake an on-site evaluation of the project, preparing a written report for the Commission and the project.

Taken together, the editor's written report, an editorial board report, and, when requested by the Commission, the written evaluation of a review panel or consultant, will be the basis for the Commission's review of the project during its regular discussion of continuation proposals from ongoing projects.

## **GRANT ADMINISTRATION**

### **GRANT LETTER AND ADMINISTRATIVE REQUIREMENTS**

Although project directors are usually notified informally of their awards by the Commission staff, the official grant instrument is a letter from the Commission chair to the authorized representative of the applicant institution. This letter and its attachments and references specify the terms of the grant. Responsibility for the administration of the grant is shared by the grantee institution and the project director designated by the institution in the grant application. Grantees are generally required to submit annual financial status reports and semi-annual narrative progress reports as well as final reports at the conclusion of the grant period (slightly different requirements apply to ongoing documentary editing projects; see "Reporting Requirements," below).

Grantees are subject to provisions of the Office of Management and Budget's Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations," or 36 CFR Part 1207, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," as appropriate, which contain fiscal and administrative requirements for all Federal grantees. Additional grant administrative regulations applicable to all grantees may be found in the *Code of Federal Regulations* (36 CFR Parts 1206 and 1209). Copies of the OMB circular may be requested from the Publications Office, Office of Management and Budget, Washington, DC 20503, while copies of the other documents may be requested from the NHPRC. All items may also be accessed via the World Wide Web.

These regulations are supplemented by the Commission's own separate, written requirements and suggestions for grant administration, which are described below.

### **GRANT PERIOD**

The grant period begins and ends on the dates specified in the grant letter, but grant periods must start on the first day of the month and end on the last day of the month. Grant periods may begin at any time after the date of the Commission meeting; however, it is advisable to allow at least six weeks lead time between the time of the Commission meeting and the start of the grant period. Therefore, the earliest suggested starting dates are January 1, for proposals considered at the November meeting; April 1, for proposals considered at the February meeting; and August 1, for proposals considered at the June meeting. Grantees may not charge expenses incurred prior to the official starting date of the grant period against grant funds. Nor may grantees count as cost sharing or matching any funds expended before the start of the grant period.

At the time a grant is awarded, grantees will receive instructions from the Commission that describe how to set up an account and receive and manage grant fund payments. Advances of grant funds will be transferred electronically to the grantee's designated account.

### **ACCOUNTING AND AUDIT REQUIREMENTS**

**Financial Systems and Records.** Grantees must keep financial records for each grant in accordance with generally accepted accounting practices. These and other program records are subject to inspection and audit by authorized Federal agencies at all reasonable times during the grant period and for three years thereafter.

Federal regulations specify standards for grantees' financial management systems. States and their subgrantees may use their own financial management systems, as authorized by state law, as well as their own procedures, as long as the system is able to provide the required financial reports and to trace funds to a level of expenditure sufficient to show that grant funds have been spent in compliance with applicable laws and regulations. For other grantees covered by 36 CFR Part 1207, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," financial systems must meet seven key financial management standards. In very general terms, these grantees must be able to demonstrate accounting, budgetary and internal controls, cash management, reporting capability, cost allowable determination, and source documentation.

**Audits.** Grantee institutions that are universities or other nonprofit organizations must comply with the audit requirements set forth in OMB Circular A-133, "Audits of Institutions of Higher Education and Other Non-Profit Institutions." Grantees that are state or local government agencies are responsible for obtaining audits as required by the Single Audit Act of 1984. The audits must be made by an independent auditor in accordance with generally accepted government auditing standards. OMB Circular A-128, "Audits of State and Local Governments," defines these audit requirements. All grantees are responsible for ensuring that the NHPRC receives a copy of the audit report for any audit performed during the grant period or for three years thereafter. A reasonable portion of grant funds, as defined in the OMB circulars, may be used to comply with audit requirements. The Commission prefers that the grantee assume such costs as institutional cost sharing.

## REVOCATION

Grants may be revoked in whole or in part by the Commission upon written notice of its decision and reasons, or for the convenience of the Federal government, with the agreement of the grantee institution and the project director. The revocation, however, will not affect any financial commitment of grant funds made by the grantee prior to the effective date of the revocation.

## REPORTING REQUIREMENTS

Financial status reports and narrative progress reports are required for all grants.

**Financial Reports.** An annual financial report is due 30 days after the end of each one-year period during the grant period. A final financial report is due within 90 days after the expiration or termination of the grant period. Financial reports must be submitted on Standard Form 269 (long form). Submit only one copy—the signed original—of each report to the NHPRC.

**Narrative Reports.** Except for ongoing documentary editing projects, an interim narrative report is due 30 days after the end of each six-month period during the grant period, and a final narrative report is due, as is the final financial report, within 90 days after the expiration or termination of the grant period. The length and format of both interim and final narrative reports will vary somewhat depending on the type of project. Six-month reports ordinarily will be no more than five double-spaced pages in length and will discuss most of the elements outlined below. Final reports should usually be longer and should discuss fully all aspects of the project. Commission staff will consider narrative reports to be public documents unless the grantee requests that they be considered confidential. All reports, however, may be shared with the Commission and/or with National Archives staff with a need to know.

**For ongoing documentary editing projects,** a narrative report is required within 30 days after the end of **each six-month period**, regardless of whether the end of a grant period has been reached or how many separate grants from NHPRC the project has received; there will be no "final" narrative report until the project truly completes its work.

The following elements should be discussed by grantees in the interim and/or final narrative report:

**Background.** Briefly discuss the objectives of the project and outline the project activities that were scheduled to take place during the reporting period. Include enough detail to acquaint the reader with the project without requiring that the proposal be reread.

**Project Activities.** Include a summary of project activities undertaken during the reporting period. Indicate whether the project is proceeding according to schedule or if there is a need for revision of the work plan, staffing pattern, or budget. If the project has established a Web site, provide the URL (Uniform Resource Locator).

**Results.** This is the most important section of the report. Analyze in detail the goals met during the reporting period and note any goals for the period that were not accomplished. For documentary editing projects, note how this will affect the anticipated completion date for the project. Note also significant accomplishments, such as the publication of volumes and the completion of finding aids, as well as any work that is pending with publishers. Project directors are encouraged to offer frank assessments of their projects. In any project, problems are bound to arise. A discussion of how they were dealt with will be more helpful to the Commission than an exclusive concentration on successes. Were the goals set in the original proposal realistic? If they were not, what alternative goals might have been accomplished within the grant period? Did the project staff face unexpected problems? If so, how were these problems solved or how could they be solved or avoided in the future? Has the project led to unexpected benefits? If so, what are these benefits? Is there general satisfaction with the results of the project? If not, why not? A full discussion of these matters in the narrative report will aid the Commission in assessing future grant applications and providing guidance to other projects.

**Impact.** Discuss the impact of the project (if any) on the grantee institution. Mention publicity or public interest generated as a result of the project. Note project-related publications, speaking engagements, or professional development opportunities undertaken by the staff during the grant period or planned for the future.

**Post-grant Activities.** In final reports, indicate if all or part of the project activities will be continued after the end of the grant period. Also indicate whether any of these activities will be supported by institutional funds or by grant funds and whether the NHPRC grant was instrumental in obtaining these funds.

**Comments and Suggestions.** The Commission welcomes any comments, observations, or suggestions relating to its grant program, policies, or procedures, and would like to know of any administrative problems encountered in carrying out the project. We especially welcome suggestions useful for others who are planning or undertaking projects similar to your own.

## SUBMITTING FINANCIAL AND NARRATIVE REPORTS

Submit financial and narrative reports together, when possible, and be sure they are signed by the appropriate official. Financial reports must be signed by the grantee institution's authorized representative as indicated on the grant application form (SF 424, Application for Federal Assistance) or by an appropriate institutional fiscal officer. Narrative reports must be signed by the project director. Reports bearing inappropriate signatures will be returned to grantees. Feel free to call upon the Commission staff for help in completing the financial report form.

Submit only the original of each report to the NHPRC. For all projects where proposal copies were submitted to and reviewed by a state historical records advisory board, send one copy of each narrative report to the state historical records coordinator. Other projects may wish to send courtesy copies of narrative reports to state coordinators in states involved in or affected by a project. Indicate the names of the individuals to whom copies of the report have been sent on the report copy that is submitted to the Commission or in a cover letter.

## CHANGES IN THE GRANT PROJECT

**Extension of the Grant Period.** Requests for extension of the grant period must be made before the end of the grant period (but not more than two months in advance) and must be signed by the grantee institution's authorized representative as indicated on the grant application form (SF 424). No extensions will be allowed unless grantees are up-to-date in their submission of financial and narrative reports.

**Rebudgeting.** To meet unanticipated program needs, grantees may adjust the amounts allocated to existing budget lines for both grant funds and cost sharing and may transfer grant funds among existing NHPRC-funded direct cost categories that appear in the final project budget approved by the Commission at the time of the grant award. Cost-sharing funds may also be shifted among existing cost-sharing categories. For grants where the NHPRC's award is less than \$100,000, grantees may make these transfers without NHPRC approval. When Commission grant awards are for \$100,000 or more, grantees must obtain prior approval from the NHPRC when cumulative transfers among direct cost categories total more than 10 percent of the **total project budget** (i.e., grant funds plus other funds).

In addition, the Executive Director of the Commission, or designee, may approve the use of NHPRC grant funds for new cost categories for which Commission funds were not provided in the final approved budget where such action seems appropriate for the fulfillment of the original purposes of the grant and where the amount of funds involved does not exceed 10 percent of the amount of the award or \$5,000, whichever is less. Requests to establish these new cost categories must be made in writing and signed by the grantee institution's authorized representative. Requests that exceed this limit are subject to approval by the full Commission.

**Other Changes Requiring Prior Approval.** *Prior written approval* from the Commission **must** be obtained for financial or programmatic changes in all cases involving the following:

- a. Revision of the scope or objectives of the project.
- b. Change of the project director or other key project personnel who have been specifically named in the grant application or award or related correspondence.
- c. Contracting out, subgranting, or otherwise obtaining the services of a third party to perform activities central to the purposes of the grant, unless specified in the grant proposal.

All requests for approval of budget or programmatic changes must be submitted in the form of a letter signed by the grantee institution's authorized representative for the grant and addressed to the Program Director. A written response signed by the Executive Director of the Commission, or designee, will constitute approval for the changes.

## PROCUREMENT AND SUBGRANTS

**Debarred and Suspended Parties.** Grantees and subgrantees must not make any award (subgrant or contract) to any party which is debarred or suspended or otherwise excluded from or ineligible for participation in Federal assistance programs. The General Services Administration publishes monthly *Lists of Parties Excluded from Federal Procurement or Nonprocurement Programs*, which grantees should consult before awarding a subgrant or contract. If the lists are not available through your grants office, please contact NHPRC staff for further information.

**Procurement.** Under the provisions of the 36 CFR Part 1207, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," states are allowed to follow their own laws and regulations when making purchases with Federal funds. Local governments and tribal governments may use their own procurement procedures which reflect applicable state and local laws and regulations, provided that the procurement conforms to applicable Federal law and the rather rigorous standards set forth in 36 CFR Part 1207 itself. Grantees should be aware of these rules when procuring property or services with Federal grant funds, particularly for purchases of more than \$25,000.

The Commission will not be responsible for the settlement of contractual and administrative disputes relating to procurements.

## RECRUITING PROJECT PERSONNEL

Grantees should conduct the widest possible recruitment effort for personnel not specified by name in the grant proposal. Professional positions should ordinarily be advertised in such periodicals as the *Chronicle of Higher Education*, the American Historical Association's *Perspectives*, and the *Newsletter* of the Organization of American Historians (for documentary editing projects), and in the *Newsletter* and/or *Employment Bulletin* of the Society of American Archivists and *Dispatch* of the American Association for State and Local History (for archives projects). State, regional, and subject-oriented media are also appropriate. Such an advertisement might read as follows:

ARCHIVIST, Association for the Advancement of Knowledge. Two-year, NHPRC-funded position. Responsible for the development of an archives program, including planning for appraisal, arrangement and description, and preservation of records. Qualifications: M.A. in American history or M.L.S., archives training, and at least three years relevant experience, preferably with background in administration, program development, and the management of electronic data files. Salary: \$30,000 plus benefits. Send resumes to J. Doe, Director of Information Services, Association for the Advancement of Knowledge, 77 Micro Boulevard, Silicon Valley, CA 98706. Application deadline: December 30, 1996.

## PUBLICITY

We urge grantees to prepare and distribute their own information releases regarding their NHPRC grants. Mention of support by the Commission (and by the state historical records advisory board, where applicable) should be made. Attach copies of any newspaper or other printed media coverage of project activities or reviews of publications to project narrative reports.

## PRODUCTS

Grantee institutions, grant directors, or grant staff personnel may publish the results of any work supported by a grant or award without review by the Commission. Publications or other written products resulting from the project must, however, acknowledge the assistance of the Commission.

For records-related projects, grantees are required to send the Commission *three* copies of any finding aids, reports, manuals, guides, forms, and other materials produced by grant projects at the time that the final narrative report is submitted. These products then can be shared with others interested in similar projects and can be used in evaluating more fully the results of projects supported by the Commission.

Documentary editing projects should send the Commission *three* copies of any book edition volumes when they are published unless support for their publication was provided by an NHPRC subvention grant. For these volumes, presses rather than projects are responsible for submitting the required number of volumes. Somewhat different requirements apply to microform editions. Consult the latest version of the Commission's *Microform Guidelines* for current requirements.

## ARTICLES AND NOTICES IN PROFESSIONAL JOURNALS

The Commission encourages grant project directors and staff members to submit articles about completed projects or significant project developments to appropriate journals and newsletters, especially when the methodology or results of a project might be of broad interest. The project director should inform journals and newsletters of the completion of the project and of any publications, reports, finding aids, and manuals produced through a grant. Such announcements should include mention of the availability, whether by loan, purchase, or free of charge, of these written products, and the address from which they may be obtained.

## PHOTOGRAPHS

If project activities lend themselves to an interesting photograph, or if the project involves historical photographs, the NHPRC office would welcome one or more photos (preferably 8" x 10" black and white glossies) for its annual report, the Commission's newsletter, *Annotation*, or other appropriate uses.

## STATE COORDINATOR AND ADVISORY BOARD

As appropriate, grantees should consult with their state coordinator and keep the coordinator informed of their progress and problems. Grantees may wish to invite the state coordinator and advisory board members to visit their projects during the grant period.

## ***CORRESPONDENCE AND QUESTIONS***

Unless otherwise indicated, all correspondence relating to the grant should be sent to: National Historical Publications and Records Commission - NHPRC, National Archives Building (Archives I), Room 607, Washington, DC 20408. Please refer to the grant number on all correspondence.





## INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Self-explanatory.		projects), attach a map showing project location. For preapplications, use a separate sheet to provide summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).		
3.	State use only (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
4.	If this application is to continue to revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	13.	Self-explanatory.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
7.	Enter the appropriate letter in the space provided.		
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided:  —“New” means a new assistance award.  —“Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.  —“Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
9.	Name of Federal agency from which assistance is being requested with this application.	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property		

## ASSURANCES—NON-CONSTRUCTION PROGRAMS

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

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

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1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. § 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§

327-333), regarding labor standards for Federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related

to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

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Applicant Organization/Individual:

Name and Title of Authorized Representative/Individual (typed):

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Signature

Date

# **CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

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## **1. LOBBYING**

Pursuant to 31 U.S.C. 1352, the undersigned certifies, to the best of his or her knowledge and belief, that:

(a) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of a Federal grant, the entering into of any cooperative agreement, or the modification of any Federal grant or cooperative agreement resulting from this application.

(b) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit OMB Standard Form - LLL, "Disclosure of Lobbying Activities," to the Program Director; and

(c) He or she will include the language of this certification in all subgrant awards at any tier and require that all recipients of subgrant awards in excess of \$100,000 shall certify and disclose accordingly.

(d) Submission of this certification is imposed by 31 U.S.C. 1352 and is a prerequisite for making or entering into this transaction. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure.

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## **2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS—PRIMARY COVERED TRANSACTION**

The prospective primary applicant certifies, to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal,

State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default.

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## **3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, the grantee certifies that it will provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against the employees for violation of such prohibition;

(b) Establishing a drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five calendar days after such a conviction;

(e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2)

from an employee or otherwise receiving actual notice of such conviction;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

**DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)**

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a

controlled substance in conducting any activity with the grant; and

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to: Program Director, National Historical Publications and Records Commission-NHPRC, National Archives Building (Archives I), Room 607, Washington, DC 20408. Notice must reference the grant number.

The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

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APPLICANT ORGANIZATION/INDIVIDUAL

---

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE/INDIVIDUAL

---

SIGNATURE

DATE



## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action identified in item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number of grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number, grant announcement number; the contract grant, or loan award number; the application/proposal control number assigned by the federal agency). Include prefixes, e.g., RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

**DISCLOSURE OF LOBBYING ACTIVITIES**  
**CONTINUATION SHEET**

Approved by OMB  
0348-0046

**Reporting Entity:** \_\_\_\_\_ **Page** \_\_\_\_\_ **of** \_\_\_\_\_



## **PROJECT SUMMARY**

All applicants must complete a project summary. Do not exceed the two pages allotted (use only one side per page) and do not refer to “see inside” or “see attached,” except in the case of references to vitae and similar supporting information found elsewhere in the application.

### **1. PURPOSE AND GOALS OF PROJECT**

### **2. SIGNIFICANCE AND RELATIONSHIP TO NHPRC GOALS AND OBJECTIVES**

### **3. PLAN OF WORK FOR GRANT PERIOD (including references to techniques)**



**4. PRODUCTS/PUBLICATIONS TO BE COMPLETED DURING GRANT PERIOD**

**5. KEY PERSONNEL**

Project Director:

Telephone: (    )

Address:



## National Historical Publications and Records Commission

### BUDGET INSTRUCTIONS

Before developing a project budget, applicants should review those sections of the program guidelines and application instructions that discuss cost-sharing requirements, the different kinds of Commission funding, and any restrictions on the types of costs that may appear in the project budget. Sample budget computations are also included in the guidelines.

#### Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. All project activities must take place during the requested grant period.

#### Project Costs

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 third-party cash and in-kind contributions.

**All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, 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.

#### Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

#### Travel Costs

The most economical accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

#### Equipment

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as an item costing more than \$5,000 per unit.

#### Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services. Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project).

Care should be taken that expenses that are included in the organization's indirect cost pool are not charged to the project as direct costs.

The Commission will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, up to a maximum charge of \$5,000. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.) The Commission does not negotiate indirect cost rates with its grantees, but does recognize rates negotiated between its applicants and other Federal agencies.

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#### Public Burden Statement

Public burden reporting for this collection of information is estimated to be 3 hours per response, including time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of the collection of information, including suggestions for reducing this burden, to National Archives and Records Administration (PIRM-POL), Archives II, 8601 Adelphi Road, College Park, MD 20740-6001 and to the Office of Management and Budget, Paperwork Reduction Project (3095-0004), Washington, DC 20503. DO NOT SEND COMPLETED BUDGET FORMS TO THESE ADDRESSES. Send to National Historical Publications and Records Commission - NHPRC, National Archives Building (Archives I), Room 607, Washington, DC 20408.







**4. Travel**

For each trip indicate the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip. When a project will involve the travel of a number of people to a conference, institute, etc., these costs may be summarized on one line by indicating the point of origin as "various." All foreign travel must be listed separately.

Item	No. of Persons	Total Travel Days	Subsistence Costs +	Transportation Costs =	NHPRC Funds (a)	Cost Sharing (b)	Total (c)
_____	[ ]	[ ]	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____	[ ]	[ ]	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____	[ ]	[ ]	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____	[ ]	[ ]	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____	[ ]	[ ]	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____	[ ]	[ ]	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
_____	[ ]	[ ]	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
<b>SUBTOTAL</b>					\$ _____	\$ _____	\$ _____

**5. Supplies and Materials**

Include consumable supplies, materials to be used in the project, and items of expendable equipment, i.e., equipment items costing less than \$5,000 per unit.

Item	Basis/Method of Cost Computation	(a)	(b)	(c)
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
<b>SUBTOTAL</b>		\$ _____	\$ _____	\$ _____

**6. Services**

Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool.

Item	Basis/Method of cost computation	(a)	(b)	(c)
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____	\$ _____
<b>SUBTOTAL</b>		\$ _____	\$ _____	\$ _____







## SECTION B—Summary Budget and Project Funding

### SUMMARY BUDGET

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

Budget Categories	First Year/ from: to:	Second Year/ from: to:	Third Year/ from: to:	TOTAL COSTS FOR ENTIRE GRANT PERIOD
1. Salaries and Wages	\$ _____	\$ _____	\$ _____ =	\$ _____
2. Fringe Benefits	\$ _____	\$ _____	\$ _____ =	\$ _____
3. Consultant Fees	\$ _____	\$ _____	\$ _____ =	\$ _____
4. Travel	\$ _____	\$ _____	\$ _____ =	\$ _____
5. Supplies and Materials	\$ _____	\$ _____	\$ _____ =	\$ _____
6. Services	\$ _____	\$ _____	\$ _____ =	\$ _____
7. Other Costs	\$ _____	\$ _____	\$ _____ =	\$ _____
8. <b>Total Direct Costs (items 1-7)</b>	\$ _____	\$ _____	\$ _____ =	\$ _____
9. Indirect Costs	\$ _____	\$ _____	\$ _____ =	\$ _____
10. <b>Total Project Costs (Direct &amp; Indirect)</b>	\$ _____	\$ _____	\$ _____ =	\$ _____

### PROJECT FUNDING FOR ENTIRE GRANT PERIOD

Requested from NHPRC: <sup>1</sup>		Cost Sharing: <sup>2</sup>	
Outright	\$ _____	Cash Contributions	\$ _____
Matching	\$ _____	In-Kind Contributions	\$ _____
		Project Income	\$ _____
		Other Federal Grants <sup>3</sup>	\$ _____
<b>TOTAL NHPRC FUNDING</b>	<b>\$ _____</b>	<b>TOTAL COST SHARING</b>	<b>\$ _____</b>

Total Project Funding (NHPRC Funds + Cost Sharing)<sup>4</sup> = \$ \_\_\_\_\_

<sup>1</sup>Indicate the amount of outright and/or Federal matching funds that is requested from the Commission.

<sup>2</sup>Indicate the amount of cash contributions that will be made by the applicant or third parties to support project expenses that appear in the budget. Include in this amount third-party cash gifts that will be raised to release Federal matching funds. (Consult the program guidelines for information on cost-sharing requirements.)

<sup>3</sup>Indicate the amount of actual or anticipated awards from other Federal agencies for this project and this grant period only.

<sup>4</sup>Total Project Funding should equal Total Project Costs.

### Institutional Grant Administrator

Indicate the name, title, address, and phone number of the person who will be responsible for the actual financial administration of the grant if the award is made—e.g., ensuring compliance with the terms and conditions of the award, submitting financial status reports.

\_\_\_\_\_  
Name and Title (please type or print)

\_\_\_\_\_  
Address

Telephone (\_\_\_\_) \_\_\_\_\_  
area code

Date \_\_\_\_\_



## APPENDIX A: APPLICATION AND EVALUATION CHECKLISTS

Before submitting a proposal, applicants should use the following checklist to ensure that the application is complete. See also the list of proposal elements in the “Application Requirements and Suggestions for Applicants” section of this booklet.

Applicants should also review the grant evaluation criteria on the following pages to assure that key project elements have been included in the proposal. While suggestive of questions asked by reviewers and the Commission in reaching decisions, these criteria should not be considered exhaustive nor will all the questions apply to all types of proposals.

- 1. The “Application for Federal Assistance” form (Standard Form 424) is completely filled out, and signed and dated by the applicant institution’s authorized representative.
  
- 2. The “Assurances—Non-Construction Programs” form (Standard Form 424B), the “Certifications Regarding Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements” form, and the “Disclosure of Lobbying Activities” form (if required due to lobbying activities) are completely filled out, and signed by the applicant’s authorized representative.
  
- 3. The two-page “Project Summary” statement is completed. DO NOT direct the reader to “see inside.” DO NOT continue to additional pages.
  
- 4. The project budget is prepared on NA Form 17001 or an exact computer-generated facsimile.
  
- 5. The proposal includes
  - in the narrative, work plans and other project details; a time-line chart of activities is encouraged.
  - appropriate appendices, if relevant, including, for new projects, a vita (suggested two-page limit per vita) for each named staff member, and job descriptions/recruitment plans for new positions.
  
- 6. The completed application is duplicated and submitted according to the instructions in the “When and How to Apply” section of this booklet.

## Grant Evaluation Checklist

This checklist outlines many of the criteria that are used by state boards, outside reviewers, Commission staff, and Commission members in evaluating proposals. It is included here as an aid to applicants in addressing key issues in developing proposals. While some of these criteria apply primarily to traditional archival projects relating to collections of records, others are more generally applicable to the full range of projects supported by the Commission.

### 1. Does the **APPLICANT INSTITUTION** have

- Adequate space to house the records it might acquire/process/preserve through this grant?
- Proper environmental conditions and controls, with particular regard to humidity, temperature, air purity, and security?
- Adequate staff and facilities to handle researcher requests for use of its holdings?
- A stable, dependable, and sufficient financial base for essential program activities?
- Properly trained, appropriate staff?
- Defined, written policies and procedures on acquisitions, processing, and researcher access to and use of materials?
- Finding aids? If so, what are they (registers, inventories, checklists, guides, catalog cards, etc.)?

If the applicant is lacking in one or more of these areas, does the proposal indicate how this will be rectified during the grant period or later?

### 2. With regard to the **PROPOSAL IN GENERAL**

- Are the records to be dealt with significant for historical research?
- Are the goals, objectives, and primary tasks set forth feasible?
- Are the project goals stated clearly? Are they concrete and specific enough to be measurable?
- Is the project designed in such a way that maximum impact—on the work of the project and on the overall development of the applicant's program—is obtained by use of NHPRC grant funds?
- Is there clear commitment from the applicant institution to assume responsibility for the support of activities of a continuing nature once the grant period ends?
- Is the project placed in the context of the applicant's overall program?
- Does the project relate to priorities and objectives established by the Commission and/or by the State Historical Records Advisory Board?
- Are there clear plans to publicize the grant and its accomplishments and to undertake outreach to user communities and other groups likely to be impacted by the project?

### 3. With regard to the **PLAN OF WORK**, does the proposal

- Include a description of the work to be performed by each person on the project?
- Tie work to be done to a schedule or timetable?
- Provide sufficient time, according to the timetable, for the accomplishment of project goals? Is too much time provided?
- Indicate when related personnel activities, such as consultant visits and advisory board meetings, will take place and how they fit into the ongoing work of project staff?
- Show evidence of previous experience with the techniques to be used or their successful use by others? Are generally accepted standards being followed?

- Indicate, for activities which are large in scope or new to the institution, that a test or pilot to identify problem areas or assess the validity of project goals and approaches has occurred?
  - Include samples of any forms, cover letters, instructions, finding aid formats, etc., that are to be used or created during the project?
  - Show that project goals are supported by other parties whose cooperation is necessary for ultimate success?
  - Indicate awareness of other similar projects elsewhere, and the factors contributing to their success or failure?
  - Include a description of any follow-up or continuing activity that will (or should) occur after project completion?
  - Make sense? Is there a more logical or efficient manner of proceeding toward the accomplishment of stated project goals?
4. With regard to the **PERSONNEL**, does the proposal
- Note the names, qualifications, and duties of all known personnel involved in a substantive way?
  - Use personnel whose background and qualifications are appropriate for the duties assigned to them?
  - Include a job description and statement of qualifications for all positions to be filled?
  - Note how the search for qualified candidates will take place and provide for a sufficiently wide and careful search to obtain the strongest possible candidates?
  - Note the names and qualifications of any consultants, advisory board members, or other paid or non-paid advisors to the project?
5. With regard to the **BUDGET**, does the proposal
- Indicate what costs are to be paid for with grant monies and what costs will be met by the applicant or other institutions?
  - Explain how budget figures were arrived at (e.g., breakdown of travel costs, or daily rates charged by consultants)?
  - Account for all expenditures suggested by the proposal narrative?
  - Include a separate budget form for each year of a project lasting 18 months or longer, as well as a grand total at the end of the budget form used for the final year?
  - Include appropriate cost-sharing or matching funds?
  - Reflect efforts to achieve maximum economy in achieving the project's goals?
  - Make sense? Do the figures add up?
6. With regard to any **PRODUCTS** emanating from the project, does the proposal include
- Descriptions of the format, content, and availability of any finding aids or databases to be produced?
  - Descriptions of the format and content of, and distribution plans for, any publication to be produced as well as justification for publication?
  - Description of the methods to be used in the preparation and microfilming/digitization of any records? Is there adherence to the Commission's guidelines and suggestions in these areas?
  - Evidence of careful advance consideration and decision-making as to the purpose, audience, scope, and content of any intended product?

## **APPENDIX B: THE COMMISSION AND CONFLICT OF INTEREST**

Under its statutory authority, the Commission has among its members persons representing several professional archival and historical organizations. They are usually employees of academic institutions or archival and historical agencies. Some of them also may be members of professional organizations. In order to maintain the highest standards of fairness in the competition for grants, the Commission operates under strict procedures to avoid any possible conflict of interest. The Commission adopted a formal resolution on conflict of interest on February 21, 1985, with amendments adopted on June 14, 1994.

The Commission will not consider a proposal for a project under which a Commission member would derive compensation or would exercise direct supervision. A Commission member must abstain from deliberating or voting on any proposal in which he/she is indirectly connected—through employment at the sponsoring institution, through service as an unpaid consultant to the project, or as an officer or other representative of that sponsoring institution or organization. The Commission regards mere membership in a professional organization as constituting no substantial conflict of interest.

The staff of the Commission includes professional historians and archivists chosen for their knowledge and experience in their respective fields. Some of them may also be members of professional organizations. Under Commission procedures, no staff member shall serve as an officer of any association or society which has submitted a grant proposal during the past three years or is likely to submit a proposal in the future. Also, when possible, staff members do not work on proposals submitted by professional organizations of which they are members. However, there may be occasions when, because of the limited size of the Commission staff, it is necessary for staff members to perform work on such proposals.

Both the Commission and its staff are committed to a fair and equitable grant program and will seek always to maintain the highest ethical standards possible in carrying out their work.

## **APPENDIX C: AMERICAN LIBRARY ASSOCIATION—SOCIETY OF AMERICAN ARCHIVISTS JOINT STATEMENT ON ACCESS: GUIDELINES FOR ACCESS TO ORIGINAL RESEARCH MATERIALS**

1. A repository<sup>1</sup> preserves collections<sup>2</sup> for use by researchers. It is the responsibility of a repository to make available original research materials in its possession on equal terms of access. Access should be provided in accordance with statutory authority, institutional mandate, the code of Ethics for Archivists,<sup>3</sup> the Standards for Ethical Conduct for Rare Book, Manuscript, and Special Collections Librarians,<sup>4</sup> and this Joint Statement. A repository should not deny access to materials to any researcher, nor grant privileged or exclusive use of materials to any researcher, nor conceal the existence of any body of material from any researcher, unless required to do so by statutory authority, institutional mandate, or donor or purchase stipulation.
2. A repository is committed to preserving manuscript and archival materials and to making them available for research as soon as possible. At the same time, it is recognized that a repository may have legal and institutional obligations to protect confidentiality in its collections, and that private donors have the right to impose reasonable restrictions upon their papers to protect privacy or confidentiality for a reasonable period of time.
  - a. It is the responsibility of the repository to inform researchers of the restrictions which apply to collections.
  - b. The repository should discourage donors from imposing unreasonable restrictions and should encourage a specific time limitation on restrictions that are imposed.
  - c. The repository should periodically reevaluate restricted material and work toward the removal of restrictions when they are no longer required.
3. As the accessibility of material depends on knowing of its existence, it is the repository's responsibility to inform researchers of the collections in its custody. This may be accomplished through local, regional, or national catalogs; inventories and other internal finding aids; published guides; and the assistance of staff members.
4. To protect and insure the continued accessibility of the material in its custody, all materials must be used in accordance with the rules of the repository. Each repository should publish or otherwise make known to potential researchers its rules governing access and use. Such rules must be applied and enforced equally.
  - a. The repository may limit use of fragile or unusually valuable materials, but should try to provide suitable reproductions to researchers in lieu of the originals.
  - b. The repository may limit access to unprocessed materials, so long as the limitations are applied and enforced equally.
  - c. The repository may, under special circumstances, loan or place on deposit with another repository part or all of a collection.<sup>5</sup>
  - d. The repository may refuse access to an individual researcher who has demonstrated such carelessness or deliberate destructiveness as to endanger the safety of the material, or to a researcher who has violated the policies and regulations of the repository.
  - e. To protect its collections, a repository may, in accordance with statutory authority and institutional mandate, require acceptable identification of any individual wishing to use its materials, as well as a signature verifying the individual has read a statement defining the policies and regulations of the repository.
5. A repository should not charge fees for making available the materials in its holdings, except when required by statutory authority or institutional mandate. A repository should facilitate access to collections by providing reproduction services. These services can include electronic, paper, or photographic copies; microfilm; or other means of reproduction. All reproductions should be made in accordance with statutory authority, including copyright law, institutional mandate, and repository regulations. Reasonable fees may be charged for these copying or research services. A repository is not obligated to conduct copying or research services beyond those required by statutory authority or institutional mandate.

6. Each repository should publish or otherwise make available to researchers a suggested form of citation crediting the repository and identifying items within its holdings for later reference. Citations to copies of materials in other repositories should include the location of the originals, if known.

7. It is the researcher's obligation to satisfy copyright regulations when copying or using materials found in collections.<sup>6</sup> Whenever possible a repository should inform a researcher about known copyrighted material, the owner or owners of the copyrights, and the researcher's obligations with regard to such material.

### End Notes

<sup>1</sup>A *repository* is defined as an archives, manuscripts library, research center, or any other institution responsible for keeping primary research materials.

<sup>2</sup>*Collections* are defined as individual manuscripts, archival or manuscript collections, fonds, or record groups found in repositories in any format.

<sup>3</sup>*Code of Ethics for Archivists and Commentary* (Chicago: Society of American Archivists, 1992).

<sup>4</sup>"Standards for Ethical Conduct for Rare Book, Manuscript, and Special Collections Librarians, with Guidelines for Institutional Practice in Support of the Standards," *College & Research Libraries News* 54 (April 1993): 207-215.

<sup>5</sup>Repositories wishing to participate in the interlibrary loan of materials may consult as a model the "Additional Guidelines for Access to Archives, Manuscripts, and Special Collections," Chapter 8 of the *RLG Shared Resources Manual* (3rd ed., Stanford, CA: Research Libraries Group, 1987). The chapter is reprinted in *Rare Books & Manuscripts Librarianship* 3 (Fall 1988): 126-130. Repositories wishing to loan original materials for research or exhibition may consult the RBMS "Guidelines for the Loan of Rare and Unique Materials," *College & Research Libraries News* 54 (May 1993): 267-269, or the "Guidelines for Borrowing Special Collections Materials for Exhibition," *College & Research Libraries News* 51 (May 1990): 430-434.

<sup>6</sup>Repositories may wish to provide researchers with the American Library Association's 1991 publication, *Locating Copyright Holders*.

Adopted by the American Library Association and  
the Society of American Archivists  
1994

## **APPENDIX D: COMMISSION POLICY STATEMENT ON ANNOTATION AND SELECTIVITY**

Over the past quarter of a century, documentary editing in the United States has undergone a monumental growth. Editorial scholarship, characterized by enormous depth of research and dedicated professional discipline, has had a profound impact on historical inquiry in this country. As the documentary program has expanded in recent years, the standards established by Commission-supported projects have been justifiably lauded as nothing less than a revolution in documentary editing. The Commission's long-term documentary enterprises have exemplified ideals of accuracy and scholarly insight and have demonstrated magnificent achievements in documentary editing in the last three decades. Along with these great advances, however, there have been manifested by a few projects certain editorial tendencies which have been of concern to the Commission—the lack of selectivity exercised by some editors whose projects profess to be selective and the excessive annotation displayed by some series under the Commission's aegis.

Document selectivity is an editorial process dependent on intellectual judgment and, therefore, defies attempts at codification. An historical editor must consider numerous, complex factors in the selection process including the historical role of the subject, the nature of the papers, and the audience for which the edition is planned. The available options and approaches are many and varied. Nevertheless, the Commission is skeptical whether the publications of most formal and routine documents such as lists, commissions, land certificates, muster rolls, vouchers, receipts, oaths of office, powers of attorney, and bills of sale should be included in letterpress editions, except when in their context such documents have unusual historical research value. The Commission believes that such alternatives as increased use of calendaring techniques and greater use of microform publication should be undertaken. The indiscriminate inclusion of documents of peripheral interest is not only time consuming and extraordinarily expensive but acts to obscure materials of genuine research interest. The encumbering of editorial series with documents of marginal interest, the Commission believes, is a problem which editors of selective letterpress projects must seriously consider.

Closely associated with the problem of selectivity is the unfortunate tendency of some editions to display an inordinate, unwarranted amount of document annotation. It is the Commission's belief that annotation must be primarily a vehicle for providing clarification, information and explanation, not a forum for offering suppositive commentary or irrelevant detail. There is no question, the Commission believes, that the prolix annotation displayed in some Commission-supported editions has caused excessive delays in publication. The research involved in unearthing information on obscure individuals or insignificant events mentioned incidentally in documents is a laborious and expensive process with dubious value. The Commission encourages documentary editors to search for methods to winnow such annotation.

In encouraging these editorial directions, the Commission has no intention of setting arbitrary limitations or quotas. The Commission will continue to be involved, however, as the 1954 *Report to the President* declared, "in an advisory capacity, with editorial policies, procedures, and methods." It is determined to offer advice and critical evaluation on significant matters affecting the direction of its documentary program.

Adopted September 13, 1976

## APPENDIX E: COMMISSION MEMBERSHIP

Chair, The Archivist of the United States

John W. Carlin

United States Supreme Court

Justice Harry A. Blackmun

United States Senate

Vacant

United States House of Representatives

Vacant

Department of State

William Z. Slany, Director, Historical Office

Department of Defense

Alfred Goldberg, Historian, Office of the Secretary

Library of Congress

Winston Tabb, Associate Librarian for Collections Services

Presidential Appointees

Nicholas C. Burckel, Director of Libraries, Marquette University

Marvin "Bud" Moss, Chief of Staff (ret.), Office of Senator Paul Sarbanes

Association for Documentary Editing

Charles T. Cullen, President and Librarian, Newberry Library

National Association of Government Archives and Records Administrators

Howard P. Lowell, State Archivist and Records Administrator, Delaware Public Archives

American Association for State and Local History

David H. Hooper, Arizona State Archivist

Organization of American Historians

William H. Chafe, Dean of Arts and Humanities, Duke University

American Historical Association

Constance Schulz, Professor and Director, Applied History Program, University of South Carolina

Society of American Archivists

Anne R. Kenney, Associate Director, Department of Preservation and Conservation, Cornell University

Executive Director, Gerald George

## APPENDIX F: GRANT PROGRAM STAFF MEMBERS AND MAILING INFORMATION

Information about staff specialization is provided so that inquiries may be directed to the staff member who has expertise in or responsibility for particular areas. All members of the staff can provide general information about the program and topics not listed below.

### Program Director

Vacant (Joyce Ray, Assistant Director for Technological Evaluation, acting)

### Assistant Program Director for Publications

Timothy D. W. Connelly, Telephone: 202-501-5610; [timothy.connelly@arch1.nara.gov](mailto:timothy.connelly@arch1.nara.gov)

Specialization: Historical documentary editing; microform projects

### Assistant Program Director for Technological Evaluation

Joyce Ray, Telephone: 202-501-5610; [joyce.ray@arch1.nara.gov](mailto:joyce.ray@arch1.nara.gov)

Specialization: Electronic records; technology; appraisal; women's history; history of science & medicine

### Assistant Program Director for State Programs

Richard A. Cameron, Telephone: 202-501-5610; [richard.cameron@arch1.nara.gov](mailto:richard.cameron@arch1.nara.gov)

Specialization: State Coordinator and State Board liaison; State Board-sponsored projects; collaborative and cooperative projects

### Program Officers

Laurie A. Baty, Telephone: 202-501-5610; [laurie.baty@arch1.nara.gov](mailto:laurie.baty@arch1.nara.gov)

Specialization: Visual materials (photos, film, video); archives programs in museums; office automation; NHPRC archival and editing fellowship programs

Daniel A. Stokes, Telephone: 202-501-5610; [daniel.stokes@arch1.nara.gov](mailto:daniel.stokes@arch1.nara.gov)

Specialization: Local government records; Native American records and projects; architectural records; consultant grants

### Research Archivist

Michael Meier, Telephone: 202-501-5643; [michael.meier@arch1.nara.gov](mailto:michael.meier@arch1.nara.gov)

Specialization: Research services for NHPRC-supported documentary editing projects

### Secretary

Artesia Smith, Telephone 202-501-5610; [artesia.smith@arch1.nara.gov](mailto:artesia.smith@arch1.nara.gov)

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National Archives Building (Archives I)

Washington, DC 20408

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WWW: <http://www.nara.gov/nara/nhprc/>

The principal staff office is located in Room 607 of the National Archives Building, 8th and Pennsylvania Avenue, N.W., Washington, DC. Additional staff offices are at other locations in that building.

## APPENDIX G: RELATED ORGANIZATIONS AND OTHER FEDERAL GRANT PROGRAMS

### Federal Grant Programs

The following list includes several other Federal grant programs which provide support for historical records and documentary editions projects. Applicants should contact these programs directly for guidelines and application materials. Comprehensive information on all Federal grant programs is included in the *Catalog of Federal Domestic Assistance*, which is revised regularly. A paper version is sold on a subscription basis by the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. It is also available in electronic form and over the Internet at <<http://www.gsa.gov/fdac/>>. For more information write the Federal Domestic Assistance Catalog Staff (WKU), General Services Administration, Ground Floor, Reporters Building, 300 7th Street, S.W., Washington, DC 20407, or call 202-708-5126.

#### **Institute of Museum and Library Services**

Old Post Office Building  
1100 Pennsylvania Avenue, N.W.  
Washington, DC 20506  
General information: 202-606-8539 (voice)  
imsinfo@ims.fed.us. (e-mail)  
<<http://www.ims.fed.us/>> (World Wide Web)

#### **Library of Congress/Ameritech National Digital Library Competition**

Library of Congress, LM 225  
101 Independence Avenue, S.E.  
Washington, DC 20540-4860  
General information: 202-707-1087 (voice)  
bpau@loc.gov (e-mail)  
<<http://lcweb2.loc.gov/ammem/award>> (World Wide Web)

#### **National Endowment for the Humanities**

Old Post Office Building  
1100 Pennsylvania Avenue, N.W.  
Washington, DC 20506  
General information: 202-606-8400 (voice)  
info@neh.fed.us (e-mail); <<http://www.neh.fed.us/>> (World Wide Web)  
or contact the following programs:  
1) Division of Public Programs and Enterprise, publicpgms@neh.fed.us (e-mail)  
2) Division of Challenge Grants, challenge@neh.fed.us (e-mail)  
3) Division of Research and Education, research@neh.fed.us (e-mail)  
4) Division of Preservation and Access, preservation@neh.fed.us (e-mail)

#### **National Science Foundation**

Division of Social, Behavioral, and Economic Research  
Science and Technology Studies Program  
4201 Wilson Boulevard  
Arlington, VA 22230  
General information: 703-306-1760 (voice)  
<<http://www.nsf.gov/>> (World Wide Web)

## **Related Organizations**

The following organizations provide information, training, and membership services:

### **American Association for State and Local History**

530 Church Street, Suite 600  
Nashville, TN 37219-2325  
615-255-2971 (voice)

<<http://www.Nashville.Net/~aaslh/>> (World Wide Web)

### **American Association of Museums**

1225 Eye Street, N.W., Suite 200  
Washington, DC 20005  
202-289-1818 (voice)

<<http://www.americanmuse.org/AAM/>> (World Wide Web)

### **American Library Association**

50 East Huron Street  
Chicago, IL 60611  
312-944-1818 (voice)

<<http://www.ala.org/>> (World Wide Web)

### **Association for Documentary Editing**

George C. Marshall Foundation  
P.O. Box 1600  
Lexington, VA 24450  
540-463-7103 (voice)

<<http://etext.virginia.edu/ade/>> (World Wide Web)

### **Association for Information and Image Management International**

1100 Wayne Avenue  
Silver Spring, MD 20910  
800-477-2446 (voice)  
aiim@aiim.org (e-mail)

<<http://www.aiim.org/>> (World Wide Web)

### **Association of Records Managers and Administrators**

4200 Somerset Drive, Suite 215  
Prairie Village, KS 66208  
800-422-2762 (voice)

<<http://www.arma.org/>> (World Wide Web)

### **The Foundation Center**

79 Fifth Avenue/16th Street  
New York, NY 10003-3076  
800-424-9836 (voice)

<<http://fdncenter.org/>> (World Wide Web)

### **National Association of Government Archives and Records Administrators**

48 Howard Street  
Albany, NY 12208  
518-463-8644 (voice)

<<http://www.nagara.org/>> (World Wide Web)

### **Society of American Archivists**

600 South Federal, Suite 504  
Chicago, IL 60605  
312-922-0140 (voice)

<<http://volvo.gslis.utexas.edu/~us-saa/>> (World Wide Web)

## APPENDIX H: STATE HISTORICAL RECORDS COORDINATORS, DEPUTIES, AND CONTACTS

Note: Deputy Coordinators' and Contacts' addresses and/or phone/FAX numbers are not shown separately if they are the same as those of the State Coordinator.

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Larry Hibpshman  
Board Secretary

### ARIZONA

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Oklahoma Department of Libraries  
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State Archivist and Director  
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#### **RHODE ISLAND**

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Rhode Island State Archives  
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Columbia, SC 29211  
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John D. Mackintosh  
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#### **UTAH**

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**APPENDIX I: NHPRC Information Request Form**

**General Grant Program Information and Application Materials**

Grant Program Guidelines/Application Forms \_\_\_\_\_  
Documentary Editions Brochure \_\_\_\_\_

**Special Guidelines and Applications**

Considerations for Converting Materials to Electronic Form \_\_\_\_\_  
Consultant Grants and Services Guidelines \_\_\_\_\_  
Electronic Records Guidelines \_\_\_\_\_  
Fellowships in Archival Administration Brochure \_\_\_\_\_  
Host Institution Application \_\_\_\_\_ Individual Application \_\_\_\_\_  
Fellowships in Historical Editing, Information and Application Form \_\_\_\_\_  
Historical Photograph Guidelines \_\_\_\_\_  
Institute for the Editing of Historical Documents \_\_\_\_\_  
Microform Guidelines \_\_\_\_\_  
Native American Records Project Guidelines \_\_\_\_\_  
Regrant Guidelines \_\_\_\_\_  
State Board Planning Guidelines \_\_\_\_\_  
Publication Subvention Program Guidelines \_\_\_\_\_

**General Commission Publications**

NHPRC Annual Report \_\_\_\_\_  
NHPRC Fact Sheet \_\_\_\_\_  
NHPRC Long-range Plan \_\_\_\_\_  
Documentary Editions Catalog \_\_\_\_\_  
Using the Nation's Documentary Heritage (The Historical Documents Study) \_\_\_\_\_  
Consultant Grants: A Report to the Commission \_\_\_\_\_  
Electronic Records Issues: A Report to the Commission \_\_\_\_\_  
Federal Funding for Museum Archives: A Report to the Commission \_\_\_\_\_  
Native American Initiative: A Report to the Commission \_\_\_\_\_  
Research Issues in Electronic Records \_\_\_\_\_  
Please add me to the mailing list for the Commission's newsletter, *Annotation* \_\_\_\_\_

Requested by:  
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