

National Historical Publications and Records Commission

Grant Guidelines

HOW TO APPLY FOR NHPRC GRANTS ■ HOW TO ADMINISTER NHPRC GRANTS



NHPRC

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The information requested in these guidelines is being collected and used by the NHPRC to determine eligibility for grants and to meet reporting requirements. Public burden reporting for this collection of information is estimated to be 54 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 the National Archives and Records Administration, NHP, Room 4400, 8601 Adelphi Road, College Park, MD 20740-6001 and to the Office of Management and Budget, Paperwork Reduction Project (3095-0013), Washington, DC 20503. DO NOT SEND COMPLETED FORMS TO THIS ADDRESS. Send completed forms to NHPRC, National Archives and Records Administration, 700 Pennsylvania Avenue, NW, Room 111, Washington, DC 20408-0001. You are not required to provide the information requested on a form that is subject to the Paperwork Reduction Act unless the form displays a valid OMB control number.

NHPRC Grant Guidelines

This booklet is designed to help you assess your eligibility for NHPRC grant assistance, understand how and when to apply, create a successful application, and administer an NHPRC grant.

Section 1 The NHPRC and Its Grant Program

For background information, please see our authorizing statute (44 U.S.C. 25), the Code of Federal Regulations (36 CFR 1206), the Catalog of Federal Domestic Assistance (Section 89.003), and Federal grant guidelines from the United States Office of Management and Budget. The NHPRC guidelines presented here are derived from those documents. This information is also accessible through our web site.

For additional information:

Fax us at 202-501-5601

E-mail us at nhprc@nara.gov

Write us at NHPRC

National Archives and Records Administration,
700 Pennsylvania Avenue,

NW, Room 111, Washington DC 20408-0001

Visit our web site at www.archives.gov/grants

1.A. WHAT IS THE NHPRC?

The National Historical Publications and Records Commission (NHPRC), a statutory body affiliated with the National Archives and Records Administration, supports a wide range of activities to preserve, publish, and encourage the use of documentary sources created in every medium ranging from quill pen to computer relating to the history of the United States. Established by Congress in 1934, the Commission is a 15-member body, chaired by the Archivist of the United States and comprised of representatives of the three branches of the Federal Government and of professional associations of archivists, historians, documentary editors, and records administrators. Through its grant program, training programs, research services, and special projects, the Commission offers advice and assistance to individuals and non-Federal agencies and institutions committed to the preservation and use of America's documentary resources.

Each year the NHPRC receives a congressional appropriation from which it makes grants. The Commission meets in November and May to establish policy and recommend to the Archivist of the United States grants it believes should be funded. The Commission's administrative staff at the National Archives and Records Administration implements NHPRC's policies and recommendations, provides assistance and advice to potential applicants, and advises the Commission on proposals.

1.B. WHAT KINDS OF PROJECTS DOES THE NHPRC SUPPORT?

Under the NHPRC's current strategic plan, which appears at Section 2.A.5., up to 60 percent of available grant funds may be expended upon the following types of projects, which are considered at the Commission's November meeting.

1.B.1. Publishing Historical Editions of the Records of the Founding Era

The Commission supports eight projects that provide the public with access to the papers of the Founding Era of United

States

history, including the papers of George Washington, John Adams, Benjamin Franklin, Thomas Jefferson, James Madison, and papers that document the ratification of the Constitution, the work of the First Federal Congress, and the work of the early Supreme Court. For other publications projects, see Section 1.B.4.

1.B.2. Electronic Records Challenges and Opportunities

The NHPRC seeks ways to ensure that records created today will be usable with tomorrow's technology. As recordkeeping moves from paper to electronic systems, it is essential that policy makers, managers, and the public create and maintain records that are complete and authentic. The NHPRC supports efforts to confront the challenges facing archivists and records managers in the proliferation of electronic records. Through research, development, analysis and advocacy projects, conferences, consultancies, and other efforts, the Commission works closely with those individuals and organizations concerned with establishing policies, best practices, and tools for the long-term preservation of and access to these records. Commission-supported projects explore what is necessary to manage electronic records in accord with archival requirements. The Commission welcomes projects that examine how software-dependent data objects can be retained for future use; what barriers have prevented archivists from developing and implementing archival electronic records programs; what archivists need to know about electronic records; and other vital questions that make up its electronic records research agenda.

This research agenda may be found in the NHPRC publication, *Research Issues in Electronic Records*, available on the NHPRC Web site at www.archives.gov/grants or by mail.

1.B.3. Working with the State Historical Records Advisory Boards

The Commission works closely with State Historical Records Advisory Boards (SHRAB) in each state, territory, and the

District of Columbia. In this partnership, the Commission relies on the leadership and collaboration of State Historical Records Coordinators. The State Coordinator is appointed by the Governor of the state and is head of the state archival program or agency. The SHRAB is the central advisory body for the historical records planning and for Commission-funded projects carried out within the state. The State Coordinators and the SHRABS provide advice and assistance to prospective applicants for records proposals and advise the Commission on funding. The Commission grants funds to state boards for board administrative, planning, implementation, and regrant projects. Planning efforts assist the Commission in examining the conditions of records and programs, provide vital information about records holdings and needs throughout the country, and identify shared challenges and opportunities. These planning efforts have resulted in cooperative programs, jointly funded by the Commission and the states, to provide assistance within the states to grassroots organizations and institutions. These projects promote public education about records preservation, and help institutions and organizations provide archival training, and undertake national and regional conferences, and other collaborative efforts on many issues of common concern to archivists and record keepers across the country.

States seeking grant support from the Commission, whether in support of their boards or other state programs, will want to demonstrate a commitment to sustaining an active state board. See the Manual of Suggested Practices for State Historical Records Advisory Boards and State Historical Records Coordinators, available from the NHPRC staff and on the NHPRC Web site at www.archives.gov/grants, for some suggested basic performance indicators for active state boards and for more detailed suggestions on board grants and administration.

Under the Commission's current strategic plan, at least 40 percent of available grant funds must be reserved for the following types of projects that are considered at the May meeting.

1.B.4. Publishing Historically Significant Records Relating to the History of the United States

The Commission supports projects that publish historical documents important for the comprehension and appreciation of the history of the United States. The projects cover a broad sweep— from politics and the military to business history, reform efforts, and the arts. Produced under modern, rigorous documentary editing standards, Commission-sponsored documentary projects make important materials from all periods of American history more accessible and understandable today and for the future.

The Commission funds the scholarly work on the volumes and microforms and also provides financial assistance (subvention grants) to nonprofit presses for the publication of the editions (see Section 1.B.7.). The work of the various projects is also laying the groundwork for online access to these vital documentary sources. NHPRC's goal is to make the best of the

materials of these modern editions available to the widest possible audience.

1.B.5. Preserving and Providing Access to Records

The NHPRC sponsors a variety of projects and programs to preserve and make available for use those records that further an understanding and appreciation of American history. The Commission encourages archival repositories, state and local governments, historical societies, libraries, academic institutions, and others to act vigorously to locate and preserve documents of national and state historical significance. Commission-supported projects help to ensure that these records are saved and made available for public use.

Commission grants help archives, colleges and universities, and historical societies assess records conditions and needs, develop archival and records management programs, and provide support for historical photograph, newsfilm, and sound recordings preservation and for microfilming. Behind all of this work is the Commission's determination to safeguard a national documentary legacy that, if lost, cannot be replaced.

1.B.6. Education Programs

The Commission sponsors an annual 1-week Institute for the Editing of Historical Documents, where interns are introduced to various aspects of historical editing work under the supervision of practicing editors and scholars. The NHPRC also offers Fellowships in Historical Documentary Editing, providing the opportunity for doctoral-level students of United States history to work with editors of Commission-supported editions for editorial training. In addition, the Commission also offers Fellowships in Archival Administration, a 9- to 10-month training program in various aspects of archival management at host institutions.

Education Program applications are considered at the May Commission meeting. More information about the program is available on the NHPRC Web site at www.archives.gov/grants and by mail.

1.B.7. Subvention Program

Through its subvention program the Commission provides grants to nonprofit presses to help pay for the costs of manufacturing and distributing documentary volumes produced by projects that have been supported or formally endorsed by the Commission. (See Section 2.C.5. for information regarding formal endorsement.) The grants are intended to promote the widest possible use of these editions and to encourage the highest archival permanence standards of paper, printing, and binding. For the initial printing of the volume, the Commission will fund only the press's estimated loss. Subvention grants for initial printings cannot exceed \$10,000. For the reprinting of a volume, the NHPRC may provide as much as half of the production costs, up to a maximum of \$3,000. The Commission will accept subvention proposals for decision at either its November or May meetings.

Section 2

Applying for an NHPRC Grant

2.A. GENERAL CONSIDERATIONS

2.A.1. Eligible Institutions, Organizations, Agencies, and Individuals

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

- Nonprofit organizations or institutions
- State or local government agencies (Federal agencies are *not* eligible to apply)
- Federally acknowledged or state-recognized Native American tribes or groups
- United States citizens applying as individuals rather than for an organization
- State Historical Records Advisory Boards

Eligible organizations must be legally established and located within one of the following:

- A state within the United States
- The District of Columbia
- The Commonwealth of Puerto Rico
- A United States territory

2.A.2. Types of Projects Eligible for Grant Support

The following activities are authorized under the NHPRC statute:

- Undertaking projects seeking solutions to the various questions in the Commission's research agenda on electronic records
- Collecting, describing, preserving, compiling, and publishing (including microfilming and other forms of reproduction) documentary sources significant to the history of the United States
- Conducting institutes, training and educational programs, and fellowships related to the activities of the Commission
- Disseminating information about documentary sources through guides, directories, and other technical publications

Or more specifically:

- Documentary editing and publishing; archival preservation and processing of records for access; developing or updating descriptive systems; creation and development of archival and records management programs; state board administrative, planning, implementation, and regrant projects; development of standards, tools, and techniques to advance the work of archivists, records managers, and documentary editors; and promotion of the use of records by teachers, students, and the public.

Projects involving the following kinds of documentary source materials are supported by Commission grants:

- Records of state, county, municipal, tribal, or other non-Federal units of government
- Electronic records
- Manuscripts, personal and family papers, or

organizational and business archives

Collections of photographs, motion pictures, sound recordings, newsfilm, and such visual materials as unpublished architectural, cartographic, and engineering drawings

2.A.3 Types of Project Not Eligible for Grant Support

The NHPRC does *not* support projects that seek to undertake any of the following:

- To construct, renovate, furnish, or purchase a building or land
- To purchase manuscripts or other historical records
- To conserve or exhibit archaeological artifacts, museum objects, or works of art
- To undertake historical research apart from the editing of documentary publications
- To undertake an oral history project unrelated to Native Americans
- To acquire, preserve, or describe books, periodicals, or other library materials
- To acquire, preserve, or describe books, periodicals, or other library materials
- To acquire, preserve, or describe art objects, sheet music, or other works primarily of value as works of art or entertainment
- To undertake a documentary editing project to publish the papers of someone who has been deceased for fewer than ten years
- To undertake a documentary editing project to publish the papers of someone who has been deceased for fewer than ten years
- To undertake a records project centered on the papers of an appointed or elected public official who remains in major office, or is politically active, or the majority of whose papers have not yet been accessioned in a repository
- To process documents, most of which will be closed to researchers for more than 5 years, or not be accessible to all users on equal terms, or will be in a repository that denies public access
- To undertake an arrangement, description, or preservation project in which the pertinent documents are privately owned or deposited in an institution subject to withdrawal upon demand for reasons other than requirements of law
- To undertake an arrangement, description, or preservation project involving Federal Government records that are (a) in the custody of the National Archives and Records Administration (NARA), or (b) in the custody of some other Federal agency, or (c) have been deposited in a non-Federal institution without an agreement authorized by NARA. Note: Many federally funded activities not directly undertaken by the Federal Government produce documents that may in law be considered Federal records, including records produced under Federal contracts or grants. If the project deals with Federal records, you should consult with the NHPRC staff.

To undertake a project to convert documentary materials and existing finding aids to electronic form. (The Commission generally prefers to spend its funds on basic preservation and access projects, except for the electronic publication of documentary editions.)

To undertake a records-management project without an archival component or objective.

2.A.4. Supplementary Information Guides for Particular Types of Projects

For the following types of projects, the Commission has supplementary information necessary for you to prepare the application. (These materials may be obtained by contacting the Commission staff by telephone, Fax number, e-mail, or through the NHPRC Web site at www.archives.gov/grants)

Consultant Services

Digitization

Electronic Records (preserving and providing access to collections of records originally created in electronic form)

Native American Records

Historical Photographs

Publication Subvention (grants to nonprofit presses to assist in publishing Commission-supported documentary projects)

Fellowships in Archival Administration

Fellowships in Historical Documentary Editing

State Board Projects

2.A.5. Commission Priorities

The Commission is now concentrating its efforts and its resources on *three* equal strategic goals within its broader mission:

1. The NHPRC will provide the American public with widespread access to the papers of the founders of our democratic republic and its institutions by ensuring the timely completion of eight projects now in progress to publish the papers of George Washington, John Adams, Benjamin Franklin, Thomas Jefferson, and James Madison, and papers that document the ratification of the Constitution, the work of the First Federal Congress, and the work of the early Supreme Court.
2. The NHPRC will enable the nation's archivists, records managers, and documentary editors to overcome the obstacles and take advantage of the opportunities posed by electronic technologies by continuing to provide leadership in funding research and development on appraising, preserving, disseminating, and providing access to important documentary sources in electronic form.
3. The NHPRC will promote broad public participation in historical documentation by collaborating with State Historical Records Advisory Boards to plan and carry out jointly funded programs to strengthen the nation's archival infrastructure and expand the range of records that are protected and accessible.

The Commission will commit up to 60 percent of its appropriated funds each year to grants for soundly conceived projects of value in reaching these goals.

The Commission will reserve at least 40 percent of its appropriated funds each year for grants for other projects eligible for support within the Commission's statutory mission, including projects to protect and otherwise make accessible historically significant records; to publish documentary editions other than the eight Founding Era projects judged to be of critical importance; and to improve the methods, tools, and training of professionals engaged in documentary work.

The Commission imposes no minimum budget limit on grant applications, but discourages requests for under \$5,000, unless an extraordinary need is demonstrated.

2.A.6. Deadlines for Grant Applications

Cycle 1 June 1 (the Commission will consider these projects at its November meeting)

Projects falling within the *three* equal strategic goals listed in Section 2.A.5.

Cycle 2 October 1 (the Commission will consider these requests at its May meeting)

All other projects, including publication projects other than the eight Founding Era editions; projects in archival preservation, processing, and description; and projects to develop archival tools and techniques.

Proposals for State Board administrative expenses are eligible for submission to the Commission at any time during the year. Applications must be postmarked by March 1 to be considered at the May Commission meeting and by September 1 to be considered at the November Commission meeting.

Proposals for subvention grants are eligible for submission to the Commission at any time during the year. Applications must be postmarked by March 1 to be considered at the May Commission meeting and by September 1 to be considered at the November Commission meeting.

Applications for the host institution for the archival fellow and for the host project for the editing fellow must be postmarked by October 1, and are considered at the November Commission meeting.

Applications for individual archival and editing fellowships must be postmarked by March 15. The host institution or project will select the fellow.

In the event that the deadline falls on a weekend or a Federal holiday, the grant application must be postmarked no later than the next business day. Be sure to retain a receipt showing the date the proposal was mailed to the Commission. We regret that, at present, we are unable to accept applications by Fax or electronic mail.

2.A.7. Should You Contact a State Historical Records Advisory Board?

Proposals for documentary editing and publication subvention projects, proposals from Native American applicants, proposals submitted by state boards, and proposals for projects of any kind whose work will largely take place in more than one state need not be sent to a state board, although the boards will be glad to provide advice to any prospective grant applicant.

All other applicants must send at least one copy of their proposal to the appropriate state board for review. The state coordinator can let you know if the state board has a pre-submission process requiring the submission of a copy of the application prior to the Commission's deadline. Whether or not the state board has a pre-submission process, you are required to send the state coordinator a copy of the proposal at the same time it is submitted to the Commission. In order to facilitate the review process, however, it is recommended that you send a copy for each member of the State Board.

We suggest that you contact the state coordinator early in the application process to take advantage of her or his experienced help. A list of the state coordinators is found in Appendix B in this booklet and is available on the NHPRC web site at www.archives.gov/grants. The state coordinator can let you know how many copies will be needed.

2.A.8. NHPRC Staff Assistance Available

We encourage you to contact the NHPRC staff with any questions or ideas concerning the proposal. The staff will be happy to provide advice on draft proposals before the application deadline.

2.B. PREPARING THE APPLICATION

The NHPRC has more requests for funds each year than available resources. The following guidelines and suggestions are designed to help make the application as competitive as possible.

2.B.1. General Requirements for an NHPRC Grant Application

Please send us the original, signed copy of the application (no stamped, photocopied, or initialed signatures, please). The application and any materials you send with it (such as books, pamphlets, and photographic prints) become Federal records by law and cannot be returned to you.

The basic forms needed for NHPRC grant, applications may be found beginning on [page 15](#). You may fill out the original form or a photocopy of the form.

To apply for an NHPRC grant you must fill out the following forms, which also are available starting at [page 15](#).

“Application for Federal Assistance” (Standard Form 424)

“Budget Form” (NA Form 17001)

“Assurances-Non-Construction Programs” (Standard Form 424B)

“Certification Regarding Lobbying; Debarment; Suspension and Other Responsibility Matters; and Drug-free Workplace Requirements”

“Project Summary,” a form that asks five basic questions about the project. The answers must be able to stand alone as a summary of the project, without dependence on references to material elsewhere in the proposal. That is, on the basis of this summary alone, a reader should be able to understand the purpose of the project, how it relates to the NHPRC's purposes,

how you will carry out the project, what it will produce, and who will direct it. You may answer those questions on the form provided in this booklet, or you may use a facsimile, adjusting the space provided under each question as needed for the answer to it. However, the answers in total must not exceed two pages. Place this form after the Federal forms in the application.

A list of Performance Objectives should also be included in the proposal. In compliance with the Government Performance and Results Act of 1993, the NHPRC must report the percentage of grants that produce the results promised in grant applications approved by the Commission. Please list from three to seven quantifiable objectives in the proposal by which the project can be evaluated following the submission of the final report and the closing of the grant.

Finally, you should submit a Project Narrative. Suggestions for preparing the narrative are found in Section 2.B.3.

2.B.2. Lobbying Form

“Disclosure of Lobbying Activities” (Standard Form LLL) should be submitted by applicants and grantees who actually engage in lobbying. Please refer to the form in Section 4 for additional information.

2.B.3. Project Narrative and Supplementary Material

After completing the standard application forms, please describe the project in narrative detail. (We urge you to stay under 20 double-spaced pages.) We ask that you take advantage of the following tips on things to include in the narrative. They are organized in the form of five major questions that the narrative should discuss.

Question 1: What is the purpose of the project and what are its goals?

The Commission prefers projects that help develop an overall program, strengthen an institution, increase the institution's visibility or financing, or advance professional practices. So in addition to describing what the project will achieve, please tell us if it also will have broader influence.

The Commission prefers projects that have arisen out of an organization's self-analysis, consultant's report, or study of needs. Tell us if you are applying for something that is called for in an institutional self-study or a strategic plan.

The Commission prefers projects that create benefits that can be sustained after NHPRC funding concludes. All projects come to an end, but the results or benefits they produce should be sustained. Please tell us how the program, or the benefits we help produce, will be continued beyond the grant period. Please note that the NHPRC does not provide funds to make up an institution's revenue shortfalls.

Question 2: What is the significance of the project in relation to the NHPRC's programs and goals?

Please explain how the project relates to the Commission's overall program and mission.

The Commission funds projects that deal with historically significant documentary material. Please describe the historical importance of individuals, events, developments, organizations, and places whose history is documented by collections in the project.

The Commission funds projects involving collections that are demonstrably useful. Please identify past and potential uses of material selected for the project in terms of the kind of use, the number of researchers per year, the sales volume of documentary editions, or other applicable "audience" expectations and use indications.

The Commission prefers projects that build on the work of other projects. Please tell us, for example, if the electronic records project will test or apply specific recent research and development findings.

Question 3: What is the plan of work for the grant period?

Please provide ample evidence of preliminary planning. For example, an applicant requesting funds for a conference or workshop should include a draft agenda, names of speakers who have agreed to participate, and a description of the target audience and how they will be recruited.

Please describe each stage of the planned work within the grant period, and clarify complex work plans with a time chart identifying anticipated activities or accomplishments month by month. For arrangement and description projects, indicate anticipated processing rates and the basis for determining them.

The Commission prefers projects that adhere to generally accepted standards and procedures for archival work, records management, documentary editing, or other tasks. For example, if the project involves microform production, please identify the technical standards you will use. If you are applying to begin a documentary edition, or you are seeking NHPRC assistance for the first time for an ongoing edition, please specify the methods you will use for document collection, selection and arrangement, transcription, annotation, and indexing. Provide samples of the material to be edited to convey a clear idea of the methodology and final form of the proposed edition.

The Commission expects documentary publishing projects that have not previously applied for NHPRC support to be designed for an electronic environment, capable of supporting electronic as well as other forms of publication, and also to be capable of being maintained in their entirety in a non-software-dependent format (e.g., paper, ASCII, or microform) for long-term access. Please explain how the new project will comply. Please consult the NHPRC suggestions on digitization, available from the Commission staff, if you intend to use digital images as part of electronic publication.

For projects converting documentary materials and existing finding aids to electronic form, please be aware that the Commission generally prefers to spend its funds on basic preservation and access projects, except for the electronic publication of documentary editions.

For projects involving preservation or description of records, please indicate the volume of records involved using

standard archival measurements. Please comment on past and present storage conditions, evidence of physical deterioration, type of paper or other medium, age, previous preservation measures, and any evaluation that has been made by a professional conservator.

If the project involves materials currently under copyright, you should indicate what has been done to secure the necessary permission for publication of the materials.

Records arranged and described with Commission funds should be entered into bibliographic networks. Please commit the project in the application to enter descriptions into such networks as RLIN (Research Libraries Information Network), OCLC (Online Computer Library Center), or WLN (Western Library Network), or to submit reports to NUCMC (National Union Catalog of Manuscript Collections). The Commission also encourages such projects to use the MARC (Machine-Readable Cataloging) and EAD (Encoded Archival Description) formats and the descriptive standards found in *Archives, Personal Papers, and Manuscript: A Catalog Manual for Archival Repositories, Historical Societies, and Manuscript Libraries* (1989). For description projects, indicate the planned level of processing and description. The Commission does *not* support, except as an integral part of a fuller documentary edition, 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.

The Commission supports only projects that are in compliance with the *Joint Statement on Access of the American Library Association and the Society of American Archivists: Guidelines for Access to Original Source Materials*. (See Appendix C of these guidelines.)

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

For documentary editions, please indicate the total number of volumes, microfilm reels, or other products you plan to produce for both the grant period and the completed project; identify the project's anticipated year of completion; and explain any changes in any previous projections in these areas.

The Commission needs to know whether applicants intend to copyright products or place them in the public domain, so please explain the intentions. In order to support the widest possible use of grant-supported products, 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.

Grant products produced with NHPRC funds, except documentary publications, should be distributed free or for the cost of shipping and handling only, unless the applicant has received written approval from the NHPRC for another arrangement. All products should also carry a statement explaining that all publications sponsored by the NHPRC are intended for the widest possible research use by the public.

In accordance with Federal regulations, the Commission reserves, for Federal Government purposes, a royalty-free, non-

exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work.

The Commission requires that you acknowledge NHPRC grant assistance in all publications and other products that come out of the project. Please explain how you will do that, along with how you will publicize and distribute documentary publications, handbooks, pamphlets, guides, standards, and other project products. Moreover, the Commission requires that all products formally published on paper, if paid for by the Commission, meet at least the minimum requirements of U.S. Standard ANSI/NISO Z39.48-1992 or later for paper and Standard Z36.66-1992 or later for binding.

If the project will not produce a publication or product, please describe how its results will be evaluated and made known to others who might benefit from them.

Question 5: What are the qualifications of the personnel?

Please provide vitae of not more than two pages per person for existing staff, as well as job descriptions for staff to be hired, and describe the roles to be played by all project staff, consultants, and contractors. Explain any special training planned for personnel.

If you are using volunteer boards as a source of special expertise (which the Commission encourages), please identify their members and qualifications, indicate whether they have agreed to serve, and share copies of the grant application with them.

2.B.4. Preparing the Budget

General Suggestions

1. You must submit a budget on NA Form 17001, which is found in Section 4 of this booklet and on the NHPRC web site at www.archives.gov/grants. However, you may use a copy of the form, including a computer-generated facsimile form on paper, if it is an exact replica. Please note that the form itself contains additional instructions for filling it out.
2. You may request funding for up to 3 years, but if the project will take 18 months or longer, you must fill out a separate budget form for each project year or fraction thereof, because we may be able to fund only 1 year at a time. Also, funding may be conditional on the project's progress.
3. Provide specific budget figures, rounding off figures to the nearest dollar.
4. We strongly suggest that applicants consult the Federal grant administration rules and regulations governing grants from the NHPRC, especially the appropriate Office of Management and Budget circulars on cost principles listed in Section 3.

Definitions

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

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

purchased for the project.

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

Cost sharing. Cost sharing is the financial contribution the applicant pledges to the cost of a project. Cost sharing can include both direct and indirect expenses, in-kind contributions, third-party contributions, and any income earned directly by the project (e.g., registration fees).

1. For records projects, the Commission will give preference to projects in which the applicants provide at least 50 percent of the project's total costs. Total costs in this context include both direct and indirect costs.
2. For publications projects funded prior to 1992, the Commission will supply as much as 75 percent of the direct costs.
3. For publications projects funded after 1992, the Commission will provide no more than 50 percent of direct costs. The Commission will give preference to projects for which the sponsoring institution bears at least 25 percent of the direct costs.
4. For short-term (i.e., 3 years or fewer) publications projects, the Commission will give preference to applicants who provide at least 50 percent of the projects' total costs.

Matching grant. A matching grant is a device to demonstrate shared Federal/non-Federal support for projects. The Commission will match only funds raised from non-Federal sources, either new monies provided by the applicant's own institution specifically for the project or from a non-Federal third-party source. For state board regrants, the Commission gives preference to projects with higher cash matching when other factors are comparable.

Outright grant. Outright grants are those awards made by the Commission without any matching component.

Budget Categories

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

Salaries. List each staff position and the full salary for that position. Show the percentage of time each staff member will devote to the project. Indicate which positions are to be filled for the proposed project and which personnel are already on the staff of the applicant institution. Grant funds may be used only to pay the salaries of individuals actually working on the project. You may count the time provided by advisory board members as cost sharing. Grant funds may *not* substitute for or supplement salaries of regular, full-time staff members. (For example, a faculty member with a 12-month, full-time appointment, whose salary for that appointment is paid in full by an applicant university, should not request supplemental salary support for summer work.) Grant funds may be used to pay existing full-time personnel working on a project only if the institution uses its own funds to hire substitute staff for their regular duties during the grant period.

Fringe Benefits. Indicate the percentage basis for each amount. The Commission encourages the provision of benefits

comparable to those accorded for a similar non-grant-funded position within the given institution.

Consultant Fees. Include payments for consultant services and honoraria. However, please include consultant travel expenses in the "Travel" category. The Commission needs strong justification for a daily consulting fee above \$400.

Travel. List the destination for each trip and precise individual trip costs and transportation rates (airfare, mileage, and taxis). Per diem (food and lodging) rates should be the applicant institution's standard rate. If the institution has no standard rate of its own, please use standard Federal rates, which you may obtain by calling the Commission's office. Please note that the NHPRC does *not* fund staff travel to professional meetings unless the travel is essential to accomplish the goals of the project.

Supplies and Materials. Itemize the estimated cost of specialized materials and supplies. Justify them in the proposal narrative or a narrative budget supplement. Note that the "Supplies and Materials" category of the budget also includes expenditures for equipment costing less than \$5,000 per unit. The Commission does not provide grant funds for the acquisition of routine equipment such as office furnishings, microfilm equipment, shelving, and file cabinets, but we will provide grant support for the purchase of technical equipment, such as computers and peripherals essential for a project. However, we suggest that the cost of such technical equipment be divided evenly between grant funds and cost sharing. This applies both to expendable equipment (items costing less than \$5,000 per unit and included in the "Supplies and Materials" category of the budget) and to permanent equipment (equipment items costing \$5,000 or more per unit and included in the "Other Costs" category of the budget). You may request grant funds for purchasing permanent equipment when you can demonstrate that purchasing will be less expensive than renting.

Services. Include the cost of duplication and printing, long-distance telephone, equipment leasing, postage, and other services that you are not including under other budget categories or as indirect-cost expenses. Note that, except for conferences, the NHPRC does not provide grant funds for rental space.

Printing, Publication, and Product Distribution Costs. Unless you are applying for a documentary publication subvention, the following applies: The Commission will provide assistance for costs of printing, manufacturing, and distributing a publication only if widespread distribution is important to the project. 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, you should discuss the production cost, number of copies to be produced, projected selling price, and distribution plans. The Commission asks that any profits realized from product sales after the grant period be reinvested to support activities of the grant recipient similar to those undertaken under the grant.

2.B.5. Supplementary Materials

You should present additional information in appendixes that you regard as essential for understanding and evaluating the project and corroborating claims in the description of it, which may include such items as the applicant institution's mission statement and collecting policy, sample pages of a proposed finding aid, sample documents, a resolution from the applicant's administrative body committing it to continuing support of the program after the grant period, and statements of support from groups or organizations involved in or directly affected by the project.

2.B.6. Suggesting Reviewers

Please provide a list of up to 10 individuals you feel are capable of providing a thorough professional analysis of the proposal. Include their institutional affiliations, addresses, and telephone numbers. Reviewers should be expert on the content or methodology of the project; should not have discussed it with you previously; should not be associated with the proposal in any capacity, including as members of advisory boards; and should be capable of disinterested evaluation. You need not submit a list of possible reviewers if the project is a documentary edition that the Commission has previously assisted and you have not changed project director or form of publication.

2.B.7. A Grant Application Checklist

Please look over the proposal at this point to see whether these questions, if applicable to the project, have been addressed:

Does the proposal in general answer these questions?

- Are the records to be dealt with significant for historical research?
- Are the goals, objectives, and primary tasks feasible?
- Are the project goals stated clearly; are they concrete and specific enough to be measurable?
- For records preservation and access projects, is there a 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 described in the context of the applicant's overall program?
- Does the project relate to objectives and priorities established by the Commission and the applicant's state or territorial 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 that can also benefit from the project's results?

In the plan of work, does the proposal include or do the following:

- A description of the work to be performed by each person and a timetable?
- Tie work to be done to a schedule or timetable?

Provide sufficient time for the accomplishment of project goals, but not more than really needed?

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, and follow generally accepted standards?

Indicate, for activities that are large in scope or new to the institution, that a test or pilot project to identify problem areas or assess the validity of project goals and approaches has occurred?

Drafts of any forms, cover letters, instructions, finding-aid formats, and other supplementary materials that are to be used during the project?

Show that other parties whose cooperation is necessary for ultimate success support the project goals?

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?

Concerning personnel, does the proposal include or do the following:

Note the names, qualifications, and duties of all known personnel involved in a substantial way?

Propose the use of personnel whose backgrounds and qualifications are appropriate for the duties to be undertaken?

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?

Provide names and qualifications of any consultants, advisory board members, or other advisors, paid or unpaid, to the project?

Concerning the budget, does the proposal include or do the following:

Indicate which costs are to be covered by grant funds and which costs the applicant or other institutions will meet?

Explain how budget figures were determined?

Account for all expenditures suggested by the proposed 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?

Show appropriate cost-sharing contributions?

Reflect efforts to achieve maximum economy in carrying out a project?

Financially add up?

Concerning any products, does the proposal include the following:

For records projects, descriptions of the content, format, and distribution plans of any finding aids, databases, and publications?

For documentary editions, descriptions of the content and format?

Descriptions of methods to be used in preparing the publication and a statement that the project will adhere to the Commission's guidelines and suggestions in these areas?

Show evidence of careful advance consideration and decision making as to the purpose, audience, scope, and content of any intended product?

For projects dealing with records preservation and access, does the applicant institution have the following:

Adequate space, security, and proper environmental conditions and controls to house the records it might acquire to process or preserve through this grant?

Adequate staff and facilities to handle researcher requests for use of its holdings?

A stable, dependable, and sufficient financial base for essential program activities?

Defined written policies and procedures on acquisitions, processing, and researcher access to and use of materials?

Finding aids, such as registers, inventories checklists, guides, or catalog cards?

2.C. SUBMITTING THE APPLICATION

2.C.1 What Is the Number of Copies that Need to be Sent and Where?

For documentary editing projects that have previously been supported by the Commission, send an original application and two copies.

For nonprofit presses applying for subvention grants, send an original application and two copies.

For new documentary editing projects, for proposals from Native American applicants, and for projects whose work is being done in more than one state, send an original application and two copies to the NHPRC. The Commission asks that eight additional copies be sent to the NHPRC and a courtesy copy of the original application to the state board.

For projects that must consult State Historical Records Advisory Boards, send an original application and one copy to the NHPRC. Send a second copy to the coordinator by the required deadline. The Commission asks that eight additional copies be sent to the NHPRC and that the applicant consults with the coordinator regarding the state board's need for additional copies.

2.C.2. Who Will Evaluate the Proposal?

State Boards. For archival projects, the state or territorial Historical Records Advisory Board may evaluate the application on technical merits as well as on its relation to state-plan priorities. State Boards can return proposals found inappropriate or incomplete to the applicant, with recommendations for revision. The Commission will *not* act on returned proposals in the cycle in which they are submitted. To have the proposal considered by the Commission you must submit a revision for consideration in a later cycle.

Peer Reviewers. We will ask from 5 to 10 external peer reviewers, some of whom will be selected from the list, to evaluate the proposal if (1) it requests NHPRC funds of \$75,000 or more; (2) it requests a grant period of 2 years or more; (3) it involves complex technological processes and issues; (4) it is a resubmission of an application that the Commission previously rejected; or (5) the proposal is not reviewed by a state or territorial board.

Special Reviewers. Ongoing documentary editions assisted by the NHPRC may be subject to special review by staff and outside specialists when a change of project director or editor is in prospect; when difficulties arise for a sponsoring institution or a change in that institution is in prospect; when a major search for materials has been completed; when a project finishes publication in one medium and plans to begin publication in another; or when there is a change in the project's estimate of quantity of publications or time needed to complete the project.

Commission Staff. Members of the Commission staff will make overall recommendations to the Commission based on many factors including reviewers' comments, state board evaluations, the appropriateness of the project in meeting the Commission's goals, and the proposal's completeness, conformity to application requirements, and overall eligibility.

The Commission. After individually reviewing the proposal, and recommendations on it from state boards, peer reviewers, and Commission staff, Commission members will meet to deliberate on proposals and recommend to the Archivist of the United States which ones should be funded. By statute the Archivist chairs the Commission and has final authority to make or deny a grant. Throughout this process, all members of the Commission and its staff follow conflict-of-interest rules to assure fair and equal treatment of every application.

2.C.3. The Questions Letter

The Commission staff will acknowledge receipt of the application soon after we receive it. Approximately 2 months after the submission deadline, the proposed project director will receive from the Commission staff a copy of the state board's evaluation summary, if applicable; blind copies of reviewers' comments; and questions from the Commission staff. The response to the issues raised by the reviews will give you an opportunity to expand on the material provided, clear up any misconceptions, and generally strengthen the proposal.

2.C.4. Possible NHPRC Actions on the Proposal

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

- Approve the proposal as submitted
- Approve the proposal, but with an offer of fewer funds than you requested
- Approve the proposal conditional on the provision of matching funds or some other requirement
- Approve the proposal contingent on availability of Commission funds
- Endorse the proposal without an award of funds

Reject the proposal with an invitation to revise and resubmit

Reject the proposal

2.C.5. Formal Endorsement

Applicants seeking formal endorsement for their projects, without funding, from the NHPRC must meet the general criteria for eligibility as outlined in the publication *Grant Guidelines: How to Apply for NHPRC Grants; How to Administer NHPRC Grants*. (OMB Control No. 3095-0013, Expires November 30, 2005).

Applicants need to submit the Application for Standard Assistance form (Standard Form 424) as well as a project narrative of no more than 20 pages and a 2-page summary as described in the *Grant Guidelines*.

The proposal should include the following information:

- The purpose of the project.
- How the project relates to the NHPRC objectives.
- How the project will be carried out.
- What it will produce.
- What sources of funding are supporting the project.
- A personnel plan.
- A timetable outlining goals and anticipated completion dates.

It is not necessary to submit the other forms required for applicants seeking funding. Proposals for endorsement will undergo the same review process as those seeking funding.

2.C.6. Notification

Successful grant applicants will be notified informally by telephone or e-mail within 2 days after the Commission meeting; unsuccessful applicants will be notified within 2 weeks. A press release listing the grants awarded will be issued and posted on our web site as soon as possible after the Commission meeting.

2.D. APPLICATION CYCLES

Cycle 1: Proposals for Founding Era Publications, Electronic Records, State Board Collaborative Projects

April 1 Submit copies of draft to the NHPRC and to State Boards (Check with state coordinator regarding a pre-submission requirement.)

June 1 Deadline. Final proposal postmarked by this date to the NHPRC and the State Boards

June 10 Applicant notified of receipt of application

August 1 State Board reviews submitted to the NHPRC staff

Late August Questions letter sent to applicant by the NHPRC staff

Mid-September Applicant responds to questions letter

November Commission meets (Successful applicants notified within 2 days; unsuccessful applicants notified within 2 weeks.)

December 1 Earliest possible starting date for project

Cycle 2: All Other Proposals

August 1 Submit draft to the NHPRC and to State Boards

October 1 Deadline. Final proposal postmarked by this date to the NHPRC and the State Boards

October 10 Applicant notified of receipt of application

December 15 State Board reviews submitted to the NHPRC staff

Late February Questions letter sent to applicant by the NHPRC staff

Mid-March Applicant responds to questions letter

May Commission meets (Successful applicants notified within 2 days; unsuccessful applicants notified within 2 weeks)

June 1 Earliest possible starting date for project

Section 3

Administering an NHPRC Grant

3.A. WHAT FEDERAL GRANT ADMINISTRATION RULES AND REGULATIONS GOVERN GRANTS FROM THE NHPRC?

The Commission makes grants in accordance with very specific Federal rules and regulations. A summary of relevant information governing grants follows. This information is accessible through our Web site at www.archives.gov/grants

If you do not have access to the Web, the Code of Federal Regulations is available in most libraries, and OMB Circulars can be obtained by writing or calling the Office of Management and Budget, Office of Administration, Publications Office, New Executive Office Building, Washington, DC 20503; telephone 202-395-7332.

3.A.1. Basic Administrative Regulations

Code of Federal Regulations (CFR), Title 36, Part 1206, "National Historical Publications and Records Commission"

CFR, Title 36, Part 1209, "Government Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)"

CFR, Title 36, Part 1207, "Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments" or CFR, Title 36, Part 1210, "Uniform Administrative

Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"

CFR, Title 36, Part 1211, "Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance." These regulations apply to any NHPRC grant with an educational component (i.e., workshops, seminars, institutes, etc.), regardless of whether the educational program itself is the funded project.

In addition, see important policy guidance on providing meaningful access to individuals with limited English

proficiency, as provided by Title VI of the Civil Rights Act of 1964, in Appendix A.

3.A.2. Cost Principles

Are you an educational institution?

You should consult OMB Circular A-21, "Cost Principles for Educational Institutions."

A state, local, or Indian tribal government?

You should consult OMB Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments."

A non-profit organization?

You should consult OMB Circular A-122, "Cost Principles for Non-Profit Organizations."

3.A.3. Audits

Office of Management and Budget Circular A-133, "Audits of State, Local Governments, and Non-Profit Organizations" Additional information may be found at: <http://harvester.census.gov/sac>.

3.B. ADMINISTRATIVE REQUIREMENTS

The Commission's own requirements and suggestions for grant administration, as indicated below, supplement the Federal regulations discussed above in Section 3.A.

When will the terms of the grant be specified?

The official grant instrument is the notification of grant award from the Commission's chair to the project director. This form and its attachments and references specify the terms of the grant. The Commission staff notifies project directors informally of awards soon after the Commission recommends the grants.

Who administers the grant?

Responsibility for administering the grant is shared by the

project director and the institution disbursing the grant funds. Grant recipients are generally required to submit annual financial status reports and semiannual or annual narrative progress reports (depending on the nature of the project), as well as final reports at the conclusion of the grant period. Ongoing documentary editing projects are subject to slightly different requirements, explained under “Reporting Requirements” below.

When will the grant begin?

The grant period begins and ends on the dates specified in the official grant instrument. Grant periods must begin on the first day of a month and end on the last day of a month. The grant period may begin any time after the Commission makes its determination; however, please allow at least 3 weeks lead time between the date of the Commission meeting and the start of the grant period.

How soon and for how long can grant funds be used?

Grant recipients may not use grant funds to pay expenses incurred prior to the official starting date of the grant period or count any funds expended before the start of the grant period in the cost-sharing or matching categories except in unusual circumstances, and only with prior approval. All funds must be obligated (by contract or purchase order) by the ending date of the grant period. All bills and invoices must be paid within the 90 days following the end of the grant period. The final financial report and request for payment must be received by the end of the 90-day period. Any grant funds not requested by that time may be forfeited. Narrative and financial reports must be up to date before we will process payment requests. Refunds are made by check to the NHPRC.

How are grants made available?

The grant notification form will be accompanied by instructions that explain how to receive grant funds and how to manage them. All payments are made by electronic funds transfer into designated accounts. Please feel free to consult the Commission staff if you require more information.

Does receiving an NHPRC grant affect recruitment of project personnel?

Yes. Qualifications of professional personnel should conform to the standards of the job descriptions included in the proposal. Grant recipients 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*, the Organization of American Historians *Newsletter*, the Association for Documentary Editing’s *Documentary Editing*, the Society of American Archivists *Archival Outlook* and *Employment Bulletin*, and the American Association of State and Local History’s *Dispatch*. State, regional, and subject-oriented media are also appropriate. Electronic postings are encouraged.

What are the legal requirements for keeping track of grant funds?

Grant recipients must keep financial records for each grant in

accordance with generally accepted accounting practices. In other words, you must be able to show how you spent the money in a clearly understandable manner. 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 3 years thereafter.

Federal regulations specify standards for grant recipients’ financial management systems. State, local, and federally recognized Native American tribal governments 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 (see 36 CFR 1207). For institutions of higher learning, hospitals, and other nonprofit organizations, financial systems must meet seven key financial management standards. In very general terms, these grant recipients must be able to demonstrate accounting, budgetary and internal controls, cash management, reporting capability, cost allowable determination, and source documentation (see 36 CFR 1210).

Are grant funds subject to audits?

Yes. Grant recipients must comply with the audit requirements set forth in OMB Circular A-133, “Audits of State, Local Governments, and Non-Profit Institutions.” Generally, grant recipients that expend \$300,000 or more in a year in Federal awards must have a single or program-specific audit conducted for that year. A reasonable portion of grant funds, as defined in the OMB circular, may be used to comply with audit requirements. The Commission prefers that grant recipients assume such costs as cost sharing.

Are there rules that affect procurements?

Yes. Please see 36 CFR 1207 or 1210, as applicable.

What if there is a problem with a contractor?

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

Are there any limitations on the awarding of sub-grants or contracts?

Yes. Grant and sub-grant recipients must not make any award (sub-grant or contract) to any party that is debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs. The General Services Administration publishes a monthly *List of Parties Excluded from Federal Procurement or Nonprocurement Programs* that grant recipients should consult before awarding a sub-grant or contract. The List is available by subscription from the Government Printing Office (telephone 202-512-1800, reference stock number 722-002-00000-8), or electronically in two ways: Internet access at www.arnet.gov/epls/ or via electronic bulletin (dial 202-219-0132 and use settings N-8-1-F).

May an extension of the grant period be requested?

Yes. An extension of the grant period may be requested if it is absolutely necessary to conclude the project. It is necessary to request the extension prior to the time the grant period ends,

but not more than 2 months before that scheduled end. All financial and narrative reports must be up to date before an extension will be considered. No more than two extensions will normally be granted. The grant-receiving institution's authorized representative as indicated on the grant application form (SF 424) must sign the request for an extension.

What if there are unexpected expenses in a budget category?

Amounts allocated to existing budget lines for both grant funds and cost sharing may be adjusted to meet unanticipated program needs. Grant funds may be transferred 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 in which the NHPRC's award is less than \$100,000, grant recipients may make these transfers without NHPRC approval. When Commission grant awards are \$100,000 or more, grant recipients 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 the Executive Director's 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 grant-receiving institution's authorized representative. The full Commission must approve requests that exceed this limit.

What types of project changes require NHPRC approval?

Prior written approval *must* be obtained from the Commission for changes in all cases, including:

Revision of the scope or objectives of the project

Change of the project director or other key project personnel who are specifically named in the grant application or award or related correspondence

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.

You must submit all requests for changes in the form of a letter signed by the grant-receiving institution's authorized representative. A written response signed by the Commission's Executive Director, or the Executive Director's designee, will constitute approval for the change.

3.C. REPORTING REQUIREMENTS

All grant recipients must submit financial status reports and narrative progress reports as specified in the grant notification

award form. Submit only the original of each report to the NHPRC. Please make certain that the reports are signed by the appropriate official(s) of the sponsoring institution.

Also, send one copy of each narrative report to the state or territorial historical records coordinator if the Board reviewed your project proposal. Other projects should send courtesy copies of narrative reports to state or territorial coordinators whose states or territories are involved in or affected by the project. Please indicate the names of individuals to whom copies of the report have been sent in a cover letter when submitting the original report to the Commission.

Please note that all reports are Federal records, and are subject to the requirements of the Freedom of Information Act.

What financial reporting is required?

Financial reports must be submitted on Standard Form 269 (long form) or 269A (short form) and signed by the grantee's authorized representative or by an appropriate institutional fiscal officer. Be sure to refer to the project budget when preparing the SF 269 or 269A to see if costs were in line with the information on the original or revised budget form. In particular, if cost-sharing figures are 20 percent less than anticipated on the project budget, explain the reason for the difference. Please feel free to call upon the Commission staff for help in completing the financial report form.

What should be included in narrative reports?

Interim narrative reports are those due before the project ending date. For interim narrative reports briefly discuss the goals and performance objectives of the project. Include enough detail to acquaint the reader with your project without requiring a rereading of your proposal. Outline the project activities that were scheduled to take place during the reporting period.

Indicate whether the project is proceeding on schedule, or if there is a need to revise the work plan, performance objectives, staffing pattern, or budget. Please note that changes in staff, work plan, or budget may require prior written approval of the NHPRC staff.

The most important part of the report is the record of the accomplishments. Analyze in detail the goals met during the reporting period. Note any goals for the period that were not accomplished and why (documentary editing projects should explain how this will affect the anticipated completion date of the project). Also, note significant developments, such as the publication of volumes or the completion of finding aids, as well as any work that is pending with publishers.

The Commission encourages grant project directors and staff members to share news of their grants goals, procedures, and progress through professional associations and the media. Be sure to mention such efforts in your report and provide examples of project publicity. If the project has established a web site, please provide the URL.

Final reports should cover the entire grant period. In the final report, indicate whether all or part of the project activities will be continued after the end of the grant. Also, indicate whether any of these activities will be supported by institutional

funds or by grant funds, and if the NHPRC grant was instrumental in obtaining these funds. Final narrative reports are required even if project goals are not accomplished.

Project directors are encouraged to offer frank assessments of their projects. Were the goals set in the original proposal realistic? If not, what alternative goals might have been accomplished during the grant period? Did the project staff face unexpected problems? If so, how were the problems solved, or how could they be avoided in the future? Has the project led to unanticipated benefits? If so, what were they? Are you generally satisfied with the results of the project? If not, why not? A full discussion of these matters in your narrative report will aid the Commission in assessing future grant applications and providing guidance to other projects.

Discuss the project's impact, if any, on the grant-receiving institution or others who may have used project materials or benefited from the project. Mention any publicity or interest generated as a result of the project. Please note project-related publications, speaking engagements, or professional development efforts undertaken by the staff during the grant period or planned for the future. We urge grant recipients to prepare and distribute their own information releases regarding their NHPRC grants. Please indicate how assistance by the Commission or the State Historical Records Advisory Boards was acknowledged. Attach copies of any newspaper or other printed media coverage of project activities or reviews of publications to project narrative reports.

What additional information should be submitted to the NHPRC?

The results of any work supported by a grant or award by the Commission may be published. Publications or other written products resulting from the project must acknowledge the assistance of the Commission.

For records-related projects, grant recipients are required to send the Commission 3 copies of any finding aids, reports, manuals, guides, forms, and other materials produced by the project 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 3 copies of any book edition unless support for their publication was provided by an NHPRC subvention grant. For these volumes, presses rather than projects are responsible for submitting 5 copies to the NHPRC and 10 copies to the project director or editor. Somewhat different requirements apply to microform editions.

The Commission encourages grant project directors and staff members to submit articles on the project to appropriate journals and newsletters (including the Commission's own newsletter, *Annotation*), 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 mention the availability, whether by loan, purchase, or complimentary copy, of these written products, and the address from which they may be obtained.

For use in its publicity, the NHPRC would welcome copies of one or more photographs (preferably 8 x 10 inch black-and-white "glossies") of project activities or historical photographs relating to the project's work.

Unless otherwise indicated, please send all correspondence relating to the grant to the

National Historical Publications and Records
Commission (NHPRC)
National Archives and Records Administration
700 Pennsylvania Avenue, NW
Room 111
Washington, DC 20408-0001

Include the grant number on all correspondence to ensure prompt response and payment.

APPLICATION AND BUDGET FORMS

Pages 15-36 of these Guidelines have been removed. They consisted of some outdated application and budget forms.

Go to the Application Forms section of the web page [Forms, Reports, and Publications](#) for a complete list with links to the fillable PDF forms.

These rules and regulations have been mentioned throughout the text of the guidelines, but we thought it would be helpful to list them in one place for easy reference. All are available through the Commission's web site: www.archives.gov/grants. Code of Federal Regulations (CFR), Title 36, Part 1206, "National Historical Publications and Records Commission"

CFR, Title 36, Part 1207, "Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments"

CFR, Title 36, Part 1209, "Government Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)"

CFR, Title 36, Part 1210, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"

CFR, Title 36, Part 1211, "Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance."

OMB Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments"

OMB Circular A-21, "Cost Principles for Educational Institutions"

OMB Circular A-122, "Cost Principles for Non-Profit Organizations"

OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations"

GUIDANCE TO RECIPIENTS OF NHPRC GRANTS

Providing Meaningful Access to Individuals with Limited English Proficiency

I. Introduction

This guidance is based on Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d, et seq., and regulations that implement Title VI. Title VI was intended to eliminate barriers based on race, color, and national origin in Federally assisted programs or activities. In certain circumstances, failing to ensure that persons with Limited English Proficiency (LEP) can effectively participate in or benefit from Federally assisted programs and activities or imposing additional burdens on persons with LEP constitutes national origin discrimination.

In August 2000, the President signed Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency. Under that Executive Order, every Federal agency that provides financial assistance to non-Federal entities must issue guidance on how their recipients can, consistent with

long-standing obligations under Title VI and their fundamental mission, provide reasonable, yet meaningful access to persons with LEP.

The essence of the meaningful access requirement is "reasonableness." In some circumstances, an NHPRC recipient directly serving significant numbers of LEP persons may be obligated to provide language assistance services, including, as appropriate, written translations of documents, procedures, and forms critical to accessing NHPRC-supported archives. In many other circumstances, however, NHPRC recipients will have little or no obligation to provide language services beyond those many already provide.

This does not mean, however, that the four-factor analysis set out in this Guidance should be read as limiting recipient discretion to provide language assistance services in an effort to broaden its services to the communities it serves. Recipients are encouraged to exercise their flexibility under this Guidance and go beyond minimal compliance to create model programs for LEP access.

As required under Executive Order 13166 and the companion DOJ LEP Guidance issued in August, 2000, recipients should apply a four-factor test to decide what steps are necessary and reasonable to provide meaningful access to their programs and activities for persons with LEP. Once the recipient has identified what language services, if any, are reasonable, the recipient should prepare a written policy on language assistance for persons with LEP (an "LEP policy"). This plan need not be intricate. It may be as simple as being prepared to use one of the commercially available language lines to obtain interpreter services.

II. The Four-Factor Analysis

"Reasonable steps to ensure meaningful access" will vary depending on a number of factors. NHPRC recipients should apply the following four factors to the various contacts they have with the public to decide what reasonable steps they should take to ensure meaningful access for persons with LEP. This balancing test preserves recipient management discretion and flexibility in determining how to best address the language needs of the LEP communities when deciding what documents to translate and when oral translation is necessary.

A. The number or proportion of LEP persons served or encountered in the eligible service population.

One factor in determining what language services recipients should provide is the number or proportion of persons with LEP eligible to be served or encountered by the recipient in carrying out its operations. The greater the number or proportion of persons with LEP, the more likely language services are needed.

B. The frequency with which LEP individuals come in contact with the program.

Recipients should assess, in some fashion, the frequency with which they have contact with LEP language groups. The more frequent the contact, the more likely that language services are needed. The steps that are reasonable for a recipient that serves one person with LEP a year may be very different from those expected from a recipient that serves several persons with LEP each day. For instance, an NHPRC-supported project to arrange

and describe a collection consisting primarily of documents originally created in the Spanish language could provide finding aids that are linguistically accessible for Spanish persons with LEP.

C. The nature and importance of the program, activity, or service provided by the program.

The more important the activity, information, service, or program, or the greater the possible consequences of the contact to the LEP individuals, the more likely language services are needed. A recipient should determine if a denial or delay of access to services or information could have serious implications for the LEP individual. This factor weighs heavily in favor of providing language services in situations where the failure to provide such services could have an adverse effect on health, safety, economic security, and other critical areas. Typically, recipients of NHPRC funds provide significant cultural and societal services, but such services do not rise to the same level of importance as do the previously mentioned critical areas. In such circumstances, the resources available to the recipient and the cost of providing the services will weigh more heavily in considering what, if any, language services to provide to frequently encountered LEP language groups.

D. The resources available to the recipient.

A recipient's level of resources may have an impact on the nature of the steps it should take. Smaller recipient entities with

more limited budgets are not expected to provide the same level of language services as larger recipient entities with larger budgets. However, such small recipients should still consider what language services are needed and what they are able to provide. Resource issues can sometimes be minimized by technological advances and sharing of resources and translations.

III. Application of the Four Factors to NHPRC Recipients

NHPRC recipients include, but are not limited to, state, county, and local historical societies and archives; universities; colleges; and libraries. All aspects of a program or activity that receives NHPRC assistance are covered by Title VI. Thus, recipient activities vary widely and the results of the application of the four factors vary as well.

NHPRC recipients' Title VI obligations in many cases will be satisfied by making available oral language assistance or commissioning translations on an as-needed basis. There are many circumstances where, after an application and balancing of the four factors noted above, Title VI would not require translation at all. For instance, based on a typical application of the nature and importance of the activity to persons with LEP and the resources available, Title VI does not require an archivist to translate archived collections, but it does require the implementation of appropriate language assistance measures to permit a person with LEP to have access to publicly accessible archives.

IV. Legal Background

See Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, at 65 FR 50121. Further legal background for this guidance can be found in the Department of Justice Policy Guidance document, titled "Enforcement of Title VI of the Civil Rights Act of 1964—National Origin Discrimination Against Persons With Limited English Proficiency Policy Guidance," reprinted at 65 FR 50123 (August 16, 2000).

APPENDIX B: State Historical Records Coordinators, Deputies, and Contacts

Note: The list of Coordinators, Deputy Coordinators, and Contact addresses and telephone and Fax numbers published in the *Guidelines*, February 2003, is out of date. See the Council of State Historical Records Coordinators (COSHRC) web site at www.coshrc.org for the most current list.

Guidelines for Access to Original Research Materials

1. A repository¹ preserves collections² 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,³ the Standards for Ethical Conduct for Rare Book, Manuscript, and Special Collections Librarians,⁴ 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.⁵

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 that 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.⁶ 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

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

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

³ Code of Ethics for Archivists and Commentary (Chicago: Society of American Archivists, 1992).

⁴ "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.

⁵ 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.

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

APPENDIX D: NHPRC Information Request Form

To order NHPRC Guidelines, Reports, and other Publications, please complete this form and send it to our office. Many of these items are available through the Commission's Web site at www.archives.gov/grants and links are provided. PDF files are marked.

General Program Information, Guidelines, and Application Materials

- General Information Pamphlet
- Grant Program Guidelines and Application Forms
- Publication Subvention Program Guidelines and Application Form (PDF)

FELLOWSHIPS APPLICATIONS

- Archival Administration Individual Application
- Archival Administration Host Institution Application
- Historical Documentary Editing Individual Application
- Historical Documentary Editing Host Institution Application
- Institute for the Editing of Historical Documents, Information

Special Suggestions Materials

- Consultant Grants and Services Suggestions
- Historical Photograph Project Suggestions
- Native American Records Project Suggestions (PDF)
- Manual of Suggested Practices for State Historical Records Coordinators and State Historical Records Advisory Boards
- Electronic Records Grant Suggestions

Other Publications

- Historical Documentary Editions Catalog
- Commission's newsletter, *Annotation* (most recent number available)

Please add me to the mailing list for the Commission's newsletter, *Annotation*
Your name and complete address:

Return this form to NHPRC, Room 111, National Archives and Records Administration, 700 Pennsylvania Avenue, NW, Washington, DC 20408-0001. Telephone 202-501-5610, Fax 202-501-5601, E-mail nhprc@nara.gov

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