

FY 2015 Grant Announcement (Initial):

Publishing Historical Records Online: Transition Support

The National Historical Publications and Records Commission (NHPRC) of the National Archives supports projects that promote access to America's historical records to encourage understanding of our democracy, history, and culture.

The following grant application information is for Publishing Historical Records Online: Transition Support

Catalog of Federal Domestic Assistance (CFDA) Number: 89.003

Funding Opportunity Number: TRANSITION-201407

- Draft (optional): May 5, 2014
- Final Deadline: July 8, 2014

NHPRC support begins no earlier than **January 1, 2015**.

Grant Program Description

NHPRC seeks projects to publish historical records online. This grant program is open only to ongoing documentary editions that are currently funded by the NHPRC. Transition Support has three purposes:

- to assist print-only documentary editions to publish online editions
- to assist online documentary editions available only through paid subscriptions to publish freely available online editions
- to complete print-only documentary editions by 2018

Eligible applicants must be working on documentary editions already funded by the NHPRC. If a documentary edition is providing free online access to the bulk of its materials, see the grant announcement for [Publishing Historical Records Online](#).

In this category, applicants must present plans to provide free online access within three years to material being prepared for publication, or be finished with the documentary editing project. These

plans may include provision for the retrospective conversion of book material already published, the removal of online access through paid subscriptions, or the release of the material in alternate formats and/or alternative websites.

All applicants should be aware that the application process is highly competitive. The top priority of the Commission is to support projects with practical, expeditious plans to provide free online access to the materials they are preparing.

Applicants must demonstrate that their ongoing projects have successfully achieved the performance objectives associated with previous NHPRC awards. Proposals must include updated, current information, including a description of the new activities, progress towards preparing free online editions, and a justification of the new budget.

For a comprehensive list of Commission's limitations on funding, please see [What We Do and Do Not Fund](#).

Award Information

Applicants may apply for funding for one year. Award amounts may range from \$30,000 to \$175,000. The Commission expects to make as many as 8 grants in this category, for a total of up to \$700,000. Grants begin no earlier than January 1, 2015.

The Commission requires that grant recipients acknowledge NHPRC grant assistance in all publications, project websites and other products that result from its support.

Eligibility Information

Only current NHPRC recipients of Publishing Historical Records grants may apply.

Cost Sharing

Cost sharing is required. 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, non-Federal third-party contributions, and any income earned directly by the project. The Commission ordinarily provides no more than 50 per cent of total project costs for projects funding in the Publishing Historical Records Online: Transition Support category.

Other Requirements

Applicant organizations must be registered in the System for Award Management (SAM) prior to submitting an application, maintain SAM registration throughout the application and award process, and include a valid DUNS number in their application. Details on SAM registration and requesting a DUNS number can be found at the System for Award Management website at <http://sam.gov>. Please refer to the *User Guides* section and the Grants Registrations PDF.

A complete application includes the Application for Federal Assistance (Standard Form 424), Assurances -- Non-Construction Programs (Standard Form 424B), a *Project Narrative, Summary, Supplementary Materials*, and *Budget*. Applications lacking these items will not be considered.

Ineligible applications will not be reviewed.

Application and Submission Information

All information necessary to apply is included in this announcement. If you need the information supplied in an alternative format, please call the NHPRC at 202-357-5010.

Applicants should follow the instructions on how to fill out the online forms and apply electronically using the [Application Instructions](#).

The National Historical Publications and Records Commission (NHPRC) requires that grant applications be submitted via Grants.gov. In the event that Grants.gov is experiencing technical difficulties that prevent submission, applicants must first attempt to resolve the issue with the Grants.gov Contact Center (800-518-4726). If Grants.gov cannot solve the problem, applicants may request an alternative. To make use of the NHPRC backup system, applicants must contact Jeff de la Concepcion (202-357-5022) no later than 3:00 Eastern Time on the day of the deadline with their valid Grants.gov Contact Center trouble-ticket number.

In order to ensure eligibility, applicants should first review the Federal grant administration rules and regulations governing grants from the NHPRC listed in the [Administering an NHPRC Grant](#) section.

Applicants are encouraged to submit drafts by May 5, 2014, but drafts are not required. The drafts should be sent by email to the person listed under [Agency Contact](#) and should include a draft narrative and budget.

Project Narrative

The Project Narrative is a description of the proposal. It should be no more than 20 double-spaced pages in 12-pt type on 8.5 x 11 inch paper with standard margins.

Projects in this category may apply for funds to continue the editorial work of producing the documentary edition, but you must include plans for publishing the material online or completing the print edition by 2018. Ideally, an online edition would be freely accessible and searchable. If your edition is already online but behind a subscription pay wall, please include plans for how users will be able to freely access the documents.

Please organize your narrative in sections:

- 1. Overview:** Begin with a brief overview of your project's goals and previous accomplishments.
- 2. Historical Overview:** Describe the historical importance of individuals, events, developments, organizations, and places whose history would be documented by the project. Explain how increased access to these documentary source materials will increase public understanding of national history and culture.
- 3. Project Methods:** Describe what documents are to be edited and added to your project. Outline your editorial procedures and provide evidence of a realistic understanding of the scope of work to be completed during the grant period and the time required to complete the project. Specify the methods you will use for continued document collection, selection and arrangement, transcription, annotation, and indexing. Indicate what you have done to secure necessary permission for publication of materials from holders of literary rights or copyrights. Describe which part(s) of the project you will undertake during the time of this grant, e.g., document collection, selection and arrangement, transcription, annotation, indexing, and print and online publication. If applying for a multi-year grant, applicants should present work plans in annual increments.

Explain how you will provide free online access to the materials. Describe plans (if any) for retrospective conversion of previous volumes. The Commission wants projects to complete their work or develop methods that provide free online access within five years of January 2015.

- 4. Plan of work:** Outline each stage of the planned work within the grant period, and clarify complex work plans with a work plan in the supplemental materials identifying anticipated activities. Discuss opportunities to include the public, either online or in person, to engage in transcribing or tagging documents; such engagement is a priority of the Commission. Describe the total number of documents you expect to present online, the number of volumes you expect to convert and/or print, and/or other products you plan to produce, both during the grant period and by the completion of the project. Ongoing projects must explain in detail any changes from previous

projections if the scope of work and anticipated completion date for the entire project has changed since your previous grant award from the NHPRC.

5. Technical Standards: Explain the technical standards you will use in making documents available in print and/or online. The Commission supports projects that adhere to generally accepted professional standards and procedures. For online publication, please identify the technical standards you will use in digitizing, encoding, and linking materials. The Commission expects the final products of documentary publishing projects, including electronic versions, to be maintained in their entirety for long-term access. Your plans should include a reference to appropriate digital preservation solutions that should preserve the digital information and provide continued access.

6. Impact of Project: Demonstrate the impact of their efforts to make these historical records accessible. This might include reviews; citations in other media such as books, film or television programs, and websites; or use in exhibits, classrooms, textbooks, or curricula. All projects should describe how they plan to track such impact.

7. Qualifications of Staff: Describe the qualifications of the project's principal staff members. In the supplementary materials, provide a résumé of not more than two pages per person for all staff named in the project budget. For those staff members to be hired for the project, provide job descriptions, specify the qualifications that will be sought in candidates for vacant positions, and describe the roles to be played by all project staff, consultants, and contractors. Explain any special training planned for personnel.

The Commission encourages using advisory boards as a source of special expertise. If you have an advisory board, identify the members and their area(s) of specialization.

8. Performance Objectives: List four to six objectives by which we can measure your performance. For example, the number of images and transcription available online for free, the number of documents you plan to transcribe and/or annotate during the grant period; the number volumes completed, etc. You should focus on *quantifying* what you intend to accomplish and complete.

Project Summary

The Project Summary should be no more than 3 double-spaced pages in 12-pt type with standard margins, and it must include these sections:

- Purposes and Goals of the Project
- Plan of Work for the Grant Period
- Products and Publications to be completed during the Grant Period

- Names, Phone and Fax Numbers, and E-Mail Addresses of the Project Director and Key Personnel (*Please ensure that the project director listed on this summary is the same person listed in Section 8 (f), of the SF 424. If your institution requires a different contact person on the SF 424, please explain in one sentence.*)
- Performance Objectives

Supplementary Materials

Prepare up to 35 pages of Supplementary Materials to your Narrative, such as:

- Résumés of named staff members (please use only institutional addresses and phone numbers) (required)
- Position descriptions for staff to be hired with grant funds (required, if applicable)
- A detailed work plan that supplements the Narrative
- Statements of commitment to the project by partners
- Sample documents samples of facsimiles accompanied by transcription and annotation).

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

Submission Dates and Times

- Draft (optional) Deadline: May 5, 2014
- Final Deadline: July 8, 2014

Applications must be submitted electronically by midnight Eastern Time on July 8, 2014.

NHPRC support begins no earlier than **January 1, 2015**.

Deadline Policy: Given that technical or administrative difficulties with Grants.gov may periodically delay the timely submission or receipt of applications, the Commission staff will make provisions for the receipt of such applications past the established deadline. Under these circumstances, applicants with technical or administrative issues related to Grants.gov must contact NHPRC staff as soon as possible, but no later than by 3:00 PM Eastern Time on the published application deadline. Applications that fail to meet deadlines for reasons other than those noted will not be considered for funding.

Application Review Information

The NHPRC staff will acknowledge receipt of the application soon after we receive it. The following evaluation criteria and weights will be used by peer reviewers and NHPRC staff to form recommendations.

Criteria for Publishing Historical Records Projects

1. The historical significance of the documents to be made accessible. *(35 percent)*
2. The coherence and effectiveness of the proposed work plan, especially the project's plans for online publication. *(30 percent)*
3. Qualifications of the project staff and level of proposed cost-sharing contributions. *(20 percent)*
4. Plans for disseminating project products, including evidence of how these projects benefit, or will benefit, scholars and the public. *(15 percent)*

Application Review Process

After submitting a proposal, do not discuss the pending application to the NHPRC with any Member of the Commission. Commission members must ensure fair and equitable treatment of all applications and do not discuss proposals with individual applicants.

- *Peer Reviewers*
We will ask 5 to 10 external peer reviewers to evaluate the proposal.
- *Commission Staff*
Approximately 3 months after the submission deadline, the Project Director will receive blind copies of reviewers' comments and questions from the Commission staff. Applicants then have an opportunity to expand on the material provided in the application, clear up any misconceptions, and generally strengthen the proposal before the Commission meeting. Staff makes overall recommendations to the Archivist, who chairs the Commission, based on the appropriateness of the project in meeting the Commission's goals, the proposal's completeness, conformity to application requirements and overall eligibility, and answers to the staff's questions letter.
- *The Commission*
After reviewing proposals, the comments of peer reviewers, the applicants' responses to the reviews, and evaluations by the Commission staff, Commission members deliberate on proposals and make funding recommendations to the Archivist of the United States who, as Commission Chairman, has final statutory authority and selects award recipients. 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.

Project Endorsement

Some applicants may receive formal endorsement of their projects without funding. The Commission may award an endorsement in lieu of a grant. Commission endorsement may assist projects in gaining alternative financial or other forms of support and acknowledgement.

Award Administration Information

Notification

Grants are contingent upon available appropriated funds. In some cases, the Commission will adjust grant amounts depending upon the number of recommended proposals and total budget. The Commission may recommend that the Archivist approve the proposal and extend an offer of a grant with applicable terms and conditions, or it may recommend rejection of the proposal.

Grant applicants will be notified within 2 weeks after the Archivist's decision.

Successful applicants will receive an informal offer of award and be required to verify their acceptance of general terms and condition, and complete a statement on their Financial Capability and Accounting Systems. Once these are received and reviewed, the NHPRC will issue an official award notice.

Administrative Requirements

In order to ensure that you can manage a grant, applicants should review the Federal grant administration rules and regulations governing grants from the NHPRC listed in the [Administering an NHPRC Grant](#) section.

Reporting

In most cases, award recipients will report on their performance in narrative reports every six months and submit financial reports once a year.

Agency Contact

Applicants are encouraged to contact Lucy Barber at 202-357-5306, or lucy.barber@nara.gov. The NHPRC staff may:

- Advise applicants about the review process;
- Answer questions about what activities are eligible for support;
- Supply samples of successful applications;
- Read and comment on a preliminary draft. Applicants should submit a draft at least 2 months before the deadline.

DRAFT