

Grant Announcement:

State Board Collaborative and Planning Projects

The following grant application information is for **State Board Collaborative and Planning Projects**.

- See also [State Board Administrative Support](#) grants.

NHPRC support begins no earlier than December 1, 2006.

- Draft Deadline: April 1, 2006
- Final Deadline (postmark): June 1, 2006

See the [Application Cycle](#) for additional information.

Grant Program Description

The Commission supports State Historical Records Advisory Boards (SHRABs) for planning and statewide services. SHRABs, or state agencies or nonprofit organizations acting on behalf of the Boards, may apply for two types of activities:

- Planning grants enable the SHRABs to examine the conditions of records, the health of archival and records programs, and the challenges and opportunities facing historical records keepers and users. Plans help states by setting a pragmatic action agenda for the SHRAB and its partners and by measuring and evaluating progress and effectiveness.
- Collaborative projects grants enable SHRABs to undertake statewide services and make subgrants to grassroots organizations and institutions. Where SHRAB plans indicate common problems or shared opportunities, a single SHRAB or other nonprofit organization may apply as a lead organization in a partnership of multiple SHRABs.

Eligible Activities Include:

- Planning, including surveys, public forums, and other information gathering methods, to gain information about records holdings and needs, to identify challenges and opportunities, and to set an historical records agenda for the SHRAB and its partners.
- Providing statewide services, including professional education, public information about records, archival and records consultation and mentoring, and other activities to implement state plans.
- Collaboration among SHRABs or with SHRABs' partners.
- Making subgrants to eligible organizations for NHPRC-eligible activities.

Grants for State Collaborative and Subgrant Projects cannot be used to:

- Purchase property or construct, renovate, or furnish a building;
- Purchase manuscripts or other historical records;
- Conserve or exhibit archaeological artifacts, museum objects, or works of art;
- Undertake an oral history project unrelated to American Indians history and culture;

- Acquire, preserve, or describe books, periodicals, or other library materials, except for professional publications used in conjunction with SHRAB projects;
- Acquire, preserve, or describe art objects, sheet music, or other works primarily of value as works of art or entertainment;
- 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;
- Process documents, most of which will be closed to researchers for more than five years, or not be accessible to all users on equal terms, or will be in a repository that denies public access;
- 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;
- Undertake an arrangement, description, or preservation project involving Federal Government records (If the project deals with Federal records, consult with the NHPRC staff); or
- Undertake a records-management project without an archival component or objective except educational projects or other activities specifically identified in the SHRAB Plan.

Previously Funded Projects

A state board that has received NHPRC support can apply for a grant for a project that builds on earlier projects. These proposals receive no special consideration and will be judged by the same criteria as others in the grant competition. States seeking grant support from the Commission, whether in support of their SHRABs or other state programs, must demonstrate a commitment to sustaining an active state board. The applicant must also describe how previously-funded projects met their goals and how the state has maintained its efforts since the end of the grant or will sustain those efforts when the grant is concluded.

Award Information

Awards normally are for one, two, or three years and have ranged widely in amount depending on the nature of the project. In recent years, State Collaborative and Subgrant project awards have been in these ranges:

- Planning. \$21,000 - \$48,000
- Statewide Services. . . \$17,000 - \$51,000
- Subgrants. \$50,000 - \$300,000

Type of Awards

Successful applicants will be awarded a grant in outright funds, matching funds, or a combination of the two, depending on the request of the applicant and the availability of NHPRC funds.

Cost Sharing

Cost sharing is the financial contribution the applicant pledges to the cost of a project. The Commission provides no more than 50 percent of project costs for State Collaborative Projects. 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 will consider subgrant applications with no cash contributions as long as the

requests are for \$100,000 or less. For requests of more than \$100,000, preference will be given to projects providing higher cash contributions and to projects in which a higher percentage of subgrant funds goes directly to final recipients. First time applicants and applicants that have not had a recent subgrant project will be given preference over repeat applicants. For states seeking a third consecutive subgrant project of more than \$100,000, cash contributions are required. Like all other records proposals, all subgrant applications must provide at least 50 percent of their total project costs as cost sharing. The Commission will consider cash contributions provided by subgrantees as allowable in meeting the cash contributions for the subgrant project as a whole.

Eligibility

Only State Historical Records Advisory Boards, or state agencies or non profit organizations acting on behalf of the Boards, are eligible to apply for State Board Collaborative and Subgrant projects. States also include the District of Columbia, the Commonwealth of Puerto Rico, and United States territories.

If applying for collaborative projects or subgrants, SHRABs should have or cite a strategic plan that addresses improvements in the preservation and use of primary source materials within the state. See the [State Board Manual](#) for basic performance indicators for active state boards. Newly appointed boards (or boards that have been inactive) are encouraged to consult with NHPRC staff.

How to Prepare an Application

Before beginning the process, you should decide how you will submit your application. We encourage you to submit via Grants.gov, but you may also download and submit your application via email, or download the forms and mail in your final application.

- For more more information on your choices, see [How to Submit Applications](#).

Applicants are encouraged to contact the [Director for State Programs](#) at the NHPRC who may:

- advise the applicant about the review process;
- answer questions about what activities are eligible for support;
- supply samples of successful applications; and
- read and comment on a preliminary draft. Applicants should submit a draft at least 2 months before the deadline.

Step one — Project Planning

A. Prepare a Draft Project Description

Answer the following questions in preparing your draft:

1. What is the purpose of the project and what are its goals?
2. What is its significance in relation to the NHPRC's mission, vision, and goals and to the SHRAB plan?
3. What is the plan of work for the grant period?
4. What publications or other products will be produced during the grant period?
5. What are the qualifications of the personnel?
6. What are your performance objectives?

B. Prepare a Draft Budget

You can find general suggestions, definitions, budget categories, and other information in the [Preparing the Budget](#) section of this announcement.

- Submit a draft, preferably no later than April 1, and consult with NHPRC staff.
- Revise your draft to produce a final, 20-page project narrative plus a three-page summary.

C. Prepare Supporting Documents

This includes staff resumes and up to 20 pages of supplementary appendices.

- For additional information, see the [Supplementary Materials](#) section of this announcement.

Step Two — Completing the Final Application

Complete the Project Summary

Prepare a three-page Project Summary that includes: purposes and goals of the project; significance and relationship to NHPRC goals and objectives; plan of work for grant period (including references to techniques); products and publications to be completed during the grant period; and names, addresses, phone numbers, and e-mail addresses of the project director and other key personnel.

Complete the Project Narrative

The Project Narrative is a description of the proposal. Address the following questions in your narrative:

- Answers should be no more than 20 double-spaced pages in 12-pt type with standard margins.
- You should supplement the narrative with resumes, examples, and illustrations, which should also be no more than 20 pages.

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

Begin by stating whether the project is primarily a statewide planning effort, a subgrant project, another type of statewide assistance or collaboration (such as education or technical assistance), or some combination of these. Explain how the project will further the goals and objectives in the State Board's plan. Even though your project may not address archival collections directly, it is important to make the case for the significance of the documentary source materials that may be affected by your efforts. Characterize the audience of the project and the collections they hold or use. Use survey data, directory descriptions, and the SHRAB plan and illustrate with specific examples of organizations and collections. Show how the activities proposed will increase public understanding of history, culture, and the national experience. Discuss the overall scope of work and your goals.

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

Please explain how the project relates to the Commission's overall mission, vision, and goals, particularly the Commission's goals to promote a national network for state and local documentary preservation and utilization efforts. Be as specific as possible about the historical importance of individuals, events, developments, organizations, and places whose history is documented by collections like those addressed in the project.

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

Please provide ample evidence of preliminary planning. Outline each stage of the planned work

within the grant period, and clarify complex work plans with a time chart identifying anticipated activities.

Please include the State Board's plan and the progress made on its objectives. What are the particular objectives that will be addressed? What board members and others will do the work? How will they proceed?

The Commission supports projects that adhere to generally accepted professional standards and procedures and build on previous board projects. Has your state board or another state board undertaken similar work before? Will you be adapting or implementing work already successfully undertaken by another state board or group? How will you share the results both within your state and with other state boards and the archival profession? Will all collections arranged and described with grant funds be reported to a national bibliographic utility or to the *National Union Catalog of Manuscript Collections*? How will you encourage the use of Encoded Archival Description?

Address carefully grants management issues including the mechanics of awarding funding, monitoring progress of subgrantees through oversight and reports, providing assistance during subgrants, receiving and evaluating final reports, and assuring necessary audits.

Question 4: *What products, if any, will be produced during the grant period?*

Describe the products you plan to produce for the completed project.

Question 5: *What are the qualifications of the personnel?*

Please provide vitae of not more than two pages per person for all staff named in the project budget. For those staff to be hired for the project, provide job descriptions, specify the qualifications that will be sought in candidates for vacant positions, and describe the roles to be played by all project staff, consultants, and contractors. Explain any special training planned for personnel.

Question 6: *What are your performance objectives?*

A list of Performance Objectives — measurable outcomes of your Federally-funded work — should also be included in the proposal. List four to seven quantifiable objectives in the proposal by which the project can be evaluated following the submission of the final report and the closing of the grant.

Be sure that you require specific performance measures of subgrantees, and include subgrantees performance as well as the impact of the overall project on the SHRAB and the State's documentary programs.

Prepare Supplementary Materials

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

- The board plan
- Statements of commitment to specific contributions towards the project by project partners
- Endorsements from institutional officials and scholars
- Curricula or other materials to be used
- Draft application and subgrant announcement information
- Project timeline or schedule
- Resumes

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

Preparing the Budget

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or non-Federal third-party cash and in-kind contributions. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable and necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period.

Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

- You must submit a budget on NA Form 17001. (You may use an exact replica.) Note that the form itself contains additional instructions. You may include with your application a narrative budget supplement for budget categories not otherwise explained in the project narrative.
- You may request funding for up to 3 years, but if the project will take 18 months or longer, you must fill out a separate budget form for each project year or fraction thereof.
- Provide specific budget figures, rounding off figures to the nearest dollar.

We strongly suggest that applicants consult the Federal grant administration rules and regulations governing grants from the NHPRC listed in the [Administering an NHPRC Grant](#) section. You should also review the appropriate [Office of Management and Budget](#) circulars on cost principles.

Definitions

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

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

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

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

Budget Categories

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

Salaries: List each staff position and the full salary for that position.

- Show the percentage of time each staff member will devote to the project.
- Indicate which positions are to be filled for the proposed project and which personnel are already on the staff of the applicant institution.
- Grant funds may be used only to pay the salaries of individuals actually working on the project.
- You may count the time provided by advisory board members as cost sharing.
- You may use a daily rate comparable to the allowable maximum for Commission-funded consultants (\$400) when board member contributions will be fifteen days or less per year.
- Board member contributions to the grant must be allocable to the specific project for which

they are requested.

Grant funds may not substitute for or supplement salaries of regular, full-time staff members. (For example, a faculty member with a 12-month, full-time appointment, whose salary for that appointment is paid in full by an applicant university, should not request supplemental salary support for summer work.) Grant funds may be used to pay existing full-time personnel working on a project only if the institution uses its own funds to hire substitute staff for their regular duties during the grant period.

Fringe Benefits: If you use a daily rate or honoraria no separate benefits should be included.

- For other staff indicate the percentage basis for each amount. The Commission encourages the provision of benefits comparable to those accorded for a similar non-grant-funded position within the given institution.

Consultant Fees: Include payments for consultant services and honoraria.

- Include consultant travel expenses in the "Travel" category.
- The Commission needs justification for a daily consulting fee above \$400.

Travel: List the destination for each trip and the basis for individual trip costs and transportation rates (airfare, mileage, and taxis).

- In the case of projected meetings use the cost based on the actual mileage of those involved or on an established average cost for the board. Per diem (food and lodging) rates should be the applicant institution's standard rate. If the institution has no standard rate of its own, please use standard Federal rates, which you may obtain by calling the Commission office. Please note that the NHPRC does not fund staff travel to professional meetings unless the travel is essential to accomplish the goals of the project.

Supplies and Materials: Itemize the estimated cost of specialized materials and supplies. Justify them in the proposal narrative or a narrative budget supplement.

- Note that the "Supplies and Materials" category of the budget also includes expenditures for equipment costing less than \$5,000 per unit. You may request grant funds for purchasing permanent equipment when you can demonstrate that purchasing will be less expensive than renting.
- The Commission does not provide grant funds for the acquisition of routine equipment such as office furnishings, shelving, and file cabinets, but we will provide grant support for the purchase of technical equipment, such as computers and peripherals essential for a project, if those costs are divided evenly between grant funds and cost sharing. This applies both to expendable equipment included in the "Supplies and Materials" category and to permanent equipment included in the "Other Costs" category of the budget.

Services: Include the cost of duplication and printing, long-distance telephone, equipment leasing, postage, and other services that you are not including under other budget categories or as indirect-cost expenses.

- Note that, except for conferences and SHRAB meetings, the NHPRC does not provide grant funds for rental space.

Other costs: Cash awards or other subgrants should be listed here.

Application Review

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

1. *Peer Reviewers*

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

2. *Commission Staff*

Approximately 2 months after the submission deadline, the Project Director receives blind copies of reviewers' comments and questions from the Commission staff. Applicants have an opportunity to expand on the material provided, clear up any misconceptions, and generally strengthen the proposal before the Commission meeting.

3. *NHPRC staff*

Staff make overall recommendations to the Commission based on reviewers' comments, the appropriateness of the project in meeting the Commission's goals, the proposal's completeness, conformity to application requirements and overall eligibility, and answers to the questions letter.

4. *The Commission*

After reviewing proposals, the comments of peer reviewers, the applicants' responses to the reviews, and evaluations by the Commission staff, Commission members deliberate on proposals and make funding recommendations to the Archivist of the United States who has final statutory authority. Throughout this process, all members of the Commission and its staff follow conflict-of-interest rules to assure fair and equal treatment of every application.

Possible Commission Actions on the Proposal

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

1. Approve the proposal as submitted.
2. Approve the proposal with an offer of fewer funds than requested.
3. Approve the proposal, subject to the applicant satisfying particular conditions.
4. Approve the proposal contingent on availability of Commission funds.
5. Reject the proposal.

Application Cycle

This is a general guide to the Application Cycle:

1. April 1 – Submit draft to the NHPRC.
2. June 1 – Deadline - Final proposal postmarked by this date to the NHPRC.
3. August 1 – Questions letter sent to applicant by the NHPRC staff.
4. Mid-October – Applicant responds to questions letter.
5. November – Commission meets.
6. December 1 – Earliest possible starting date for project.

Notification

- Successful grant applicants are notified informally by telephone or e-mail within 2 days after the Commission meeting.

- Unsuccessful applicants are notified within 2 weeks.

A [press release](#) listing the grants awarded is issued and posted on our web site as soon as possible after the Commission meeting.

Grant Administration

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

* Please see our [Privacy Statement](#)

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

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