

SAA Publications Board
Possible Funding for *Future Trends in Archives Practice*
Compiled by Tawny Ryan Nelb
February 2013

At the January 2013 SAA Publications Board meeting I volunteered to assemble information on possible funding organizations for additional *Future Trends in Archives Practice* publications. Research focused on foundations that funded previous CLIR reports (identified by Dennis Riley) and information on 130 organizations that might fund the publications identified in the Foundation Directory (2007) for the 10,000 largest foundations (at least at that date). The foundations identified¹ listed library/library science or archives, education, curriculum development and/or publications in their mission statement, offer funding at the national level, not just within their state, and showed clear interest in funding these areas by their granting record. About 16 foundation were identified with missions that fit with such a project and these were further verified on their website to bring the information up-to-date to 2013. This narrowed the list significantly to six foundations since project priorities had changed for many. Of these, the Mellon and Sloan Foundations look the most promising.

Additional organizations that funded CLIR publications are included at the end. IMLS is the best match among those funding CLIR publications.

Contact information, program officers and program information were pulled from organization web sites.

FOUNDATIONS:

The Ford Foundation #5970

320 East 43rd Street
New York, N.Y. 10017
Tel. 212 573 5000
<http://www.fordfoundation.org>

Grants:

To begin the grant application process, thoroughly review the foundation's initiatives. In addition to providing an overview of our grant-making priorities, each initiative, as well as each region, includes detailed "For Grant Seekers" information; this is the most current guide to the type of work and organizations we fund.

¹ The Foundation number listed to the right side of the name indicates its order in the Foundation Directory. The Foundation Directory orders its list by state first, and then in an alphabetical arrangement within each state. The list below puts the foundations in an alphabetical arrangement by last name for ease of use. An asterix * has been added to the left of the organization names with the most potential.

We also urge you to read this entire document. Our grant-review process is thorough and comprehensive, and the information below will help you better understand our approach to grant making.

Once you have completed both of these steps, you are ready to submit an online grant inquiry.

How We Make Grants

The Ford Foundation is committed to achieving lasting change that transforms people's lives. Through our grant making, we support innovative thinkers, leaders and organizations that are working to reduce poverty and injustice and to promote democratic values, free expression and human achievement. When making grants, we think about long-term strategies, knowing that lasting social change requires decades of effort. And because our mission is broad and our resources are limited, we carefully target our support so it can be used most effectively and leverage the greatest amount of impact.

To that end, program teams working on each of our initiatives consult with practitioners, researchers, policy makers, current and potential grantees, and others to identify areas where the foundation's resources are needed most. The teams then pinpoint specific approaches grantees might undertake—program exploration, advocacy, litigation or capacity building, to name just a few—to help achieve the social change we have identified. (See our grant-making approaches for a full list.) The teams also determine key benchmarks for progress and the amount of funding to be dedicated to each approach.

After the approaches, benchmarks and budget are set, the team begins to make grants within the agreed-upon parameters. When making grants, the team looks for new ideas and effective organizations that can help advance the work of a particular initiative, as well as for evidence that the people and organizations are likely to succeed in their project. Program teams regularly provide reports to the foundation's board of trustees about progress made on each initiative.

What We Don't Fund

As described above, we take varied approaches to our work, but there are a number of areas frequently inquired about that we do not support. We do not award undergraduate scholarships or make grants for personal needs or business assistance. We also do not fund health care, vehicle purchase, student loan repayment or inventions. Except for limited grant making through our Good Neighbor Committee to local institutions located near the foundation's New York headquarters and

10 regional offices, we also do not generally support after-school programs, athletic leagues, orphanages or elder care.

Applying for a Grant

You may apply for a grant by visiting the Grants section of our Web site and submitting an online grant inquiry.

You will be asked to indicate the region where your work will be pursued. If your work benefits more than one geographic area outside of the United States, you should apply for a global grant, which covers multiple regions. You will also be asked to provide basic information:

- Contact information for yourself and your organization
- Brief description of your organization

- List of those who would carry out the project
- Description of the purpose of the project and the issues/problems it is intended to address

The foundation supports equal opportunity in its grant making and in its internal policies. When evaluating grant proposals, we consider the opportunities that prospective grantee organizations provide for women and other disadvantaged groups.

We do not have submission deadlines. Applications are considered throughout the year.

What Happens Next

Every inquiry receives an automatic acknowledgment reply. If your submission falls within our general issue areas, your inquiry will be numbered and a confirmation letter will be e-mailed to you. Each numbered inquiry is reviewed by the relevant program team. If your proposed work aligns with the foundation's priorities and budget limitations, a program officer will contact you to begin the process of developing a formal proposal.

As you develop a formal proposal, you will meet several times with the program officer to discuss the scope and budget of your proposed project. Then you will submit your formal proposal, and the foundation will do an administrative and legal review; it takes about three months from the time a formal proposal is submitted for a potential grant to be fully reviewed.

Please bear in mind that our funds are limited in relation to the large number of worthwhile inquiries we receive. In a typical year, less than 1 percent of inquiries made to the Ford Foundation result in a grant.

Grant Funds Must Be Used Solely for Charitable Purposes

The activities we support through grants and program-related investments must be charitable, educational or scientific as defined under the appropriate provisions of the U.S. Internal Revenue Code and Treasury Regulations.

As we pursue the foundation's goals, we take all reasonable measures to fulfill our responsibilities as a tax-exempt charitable organization. We want to make sure that our funds are used for their intended charitable purposes and do not support any activities that violate the U.S. tax code or anti-terrorism laws. Because we appreciate the important work that our grantees do around the world, some in extremely difficult environments, we strive to fulfill our oversight responsibilities without creating undue burdens for them or being overly intrusive.

After reviewing the above information a grant inquiry can be submitted online at <http://www.fordfoundation.org/grants/grant-inquiry/united-states>

Bill and Melinda Gates Foundation #9591

500 Fifth Avenue North

Seattle, WA 98109

(206) 709-3100

info@gatesfoundation.org

<http://www.gatesfoundation.org/Pages/home.aspx>

Grants:

The United States Program focuses on providing greater opportunity by improving U.S. high school and postsecondary education, access to information, and stable housing. **Please note: The United States Program only accepts unsolicited proposals for Pacific Northwest Community Grants. We do not accept unsolicited proposals for our work in education and libraries.**

We partner with grantees working on long-term solutions for people with the most urgent needs. We award the majority of our grants to U.S. 501(c)(3) and other tax-exempt organizations. ([Tax status definitions](#)) Grantees and partners then work with beneficiaries in the field. ([Glossary of terms](#))

Note: The Gates Foundation takes primarily a globally focused human services mission but might be worth contacting if the program officers are known.

J. Paul Getty Trust #570

1200 Getty Center Drive, Suite 800
Los Angeles, California 90049-1685
(310) 440-7320
www.getty.edu

Senior Staff as of Feb 2013

Deborah Marrow, Director
Joan Weinstein, Deputy Director
Rebecca Martin, Associate Director
Anne Helmreich, Senior Program Officer
Antoine M. Wilmering, Senior Program Officer

Fields of interest Arts, cultural/ethnic awareness; visual arts; architecture, art conservation, museums, art history, history/archaeology; historical activities, historic preservation/historical societies

Note: although the Getty's current funding focuses on Access to Collections (in California), Art History, Conservation, Leadership, and Residential Fellowships if anyone knows their program officers it would be worth a call to explore the Trends in Archives Practice publications project.

Kettering Family Foundation #7698

Kettering Family Philanthropies
1480 Kettering Tower
Dayton, Ohio 45423
Telephone: 937.228.1021
<http://kff.cfketteringfamilies.com>

Judith M. Thompson, Executive Director

Grant Guidelines

The Kettering Family Foundation (KFF) will consider activities in the following categories:

Primary Areas of Support

- Arts, Culture and Humanities
- Education
- Environment
- Health/Medical
- Human Services
- Public/Society Benefit
-

Organizations that are not units of government or affiliated with a religious organization must have a current 501(c)(3) determination letter from the IRS. Fiscal sponsorships will be accepted, but only under special circumstances.

We strongly recommended that you contact the Foundation's office to discuss your proposed program before you start the application process. Use the **CONTACT US** link at the top of this page to send an e-mail, or call the KFP offices at 937-228-1021. (KFP is in the Eastern Standard time zone.)

KFP uses a two-step application review process that operates on a biannual cycle, December – May and June – November. The appropriate KFP Committee (Committee) first reviews a Request Summary. If interested, the Committee will invite the applicant to submit a Full Proposal.

Only one Request Summary per calendar year may be submitted to any one of the Kettering Family Philanthropies.

Previously supported organizations are eligible to submit a Request Summary for the same or different purpose, if the previous grant has been fully expended, and all required reports have been submitted and accepted by KFP.

If you are a first-time applicant, or have not applied since January 1, 2010, follow the link to **CREATE ACCOUNT** in the upper right-hand corner of any KFP web page. Your **User Name** must be your organization's Employer Identification Number, also known as the Federal Tax Identification Number. The e-mail address that you enter into the Account information will be the address to which all communications will be sent from KFP.

This Account will be your organization's permanent record with KFP. You will receive an e-mail from KFP confirming your Account information. Save this information for future access to your Account.

If you have applied to KFP since January 1, 2010, log in to the Account previously established for your organization. To insure that your contact e-mail address is up to date, click

on **Account Settings** tab in the upper right hand corner of the page. You can also change your password, if you so desire.

If you know that your organization has an Account, but you cannot access it, or you are not sure if you have an Account, use the **CONTACT US** link or the **FORGOT PASSWORD** link and we will assist you.

After you have accessed or established your Account, click on the **Create a Request Summary** in the first section of the page. (For best results we recommend that you use one of the following browsers: Firefox 4.0, Safari 5.0+, Google Chrome or Internet Explorer 8.0).

Submit the Request Summary by the due date, either January 31 or July 31. If these dates fall on a weekend or holiday, the information is due the next business day. You will receive an e-mail confirming receipt of your submission. You will be advised by e-mail of the outcome of the Committee's review in approximately three weeks.

If you have received an e-mail inviting you to submit a Full Proposal, access your Account to complete the process. Full Proposals are due March 15 or September 15. If these dates fall on a weekend or holiday, the information is due the next business day. You will receive an e-mail confirming receipt of your submission. You will be contacted if additional information is needed. A site visit may be requested.

- Notice of approval or denial will be communicated to you within 10 days of the Committee's meeting. If you are awarded a grant, the chief executive officer of your organization will be required to sign a Grant Recipient Agreement that outlines the duties and responsibilities of being a grant recipient. Generally grants are paid within 30 days of Committee's meeting.
- Faxed, mailed or hand-delivered Request Summaries and Full Proposals will not be accepted, unless KFP has agreed to an exception.
- **In summary**, all communications from KFP will be sent to the e-mail address listed in your Account information. You can expect e-mails informing you that:
 1. Your Account has been established
 2. Your Request Summary has been received
 3. Your Request Summary has been denied or you have been invited to submit a Full Proposal
 4. Your Full Proposal has been received
 5. Your Full Proposal has been denied
 6. A grant has been awarded

To ensure that our e-mails are not deleted or moved to your Spam or Junk Mail folder, add our e-mail address, info@ketteringfamilyphilanthropies.org, to your safe sender list. If you are not receiving our communications, please contact us at info@ketteringfamilyphilanthropies.org or 937-228-1021.

* **Andrew W. Mellon Foundation #6525**

140 East 62nd Street
New York, NY 10065

Tel: (212) 838-8400

Fax: (212) 888-4172

<http://www.mellon.org/>

[Donald J. Waters](mailto:djw@mellon.org), Program Officer djw@mellon.org

Note: **Unsolicited proposals are rarely funded. Contact their program officer ahead.**

Grants:

Overview

The Scholarly Communications and Information Technology Program was formed in 2010 through the merger of the Programs on Scholarly Communications and Research in Information Technology.

Scholarly communications covers a broad range of activities, including the discovery, collection, organization, evaluation, interpretation, and preservation of primary and other sources of information, and the publication and dissemination of scholarly research. Within this wide area, the Foundation's grantmaking in scholarly communications has three main objectives: (1) to support libraries and archives in their efforts to preserve and provide access to materials of broad cultural and scholarly significance; (2) to assist scholars in the development of specialized resources that promise to open or advance fields of study in the humanities and humanistic social sciences; and (3) to strengthen the publication of humanistic scholarship and its dissemination to the widest possible audience.

Information technology includes the design, development, implementation, and support of computer-based systems for converting, storing, protecting, processing, retrieving, and transmitting information in electronic form. Grantmaking in information technology focuses on the development of computer-based applications and systems that advance the objectives of the five core areas of Foundation interest: the liberal arts and humanistic scholarship in higher education, scholarly communications, museums and art conservation, performing arts, and conservation and the environment.

The Scholarly Communications and Information Technology Program is especially interested in developments that:

- Use forms of scholarly communications to stimulate collaborations among scholars and scholarly institutions in ways that substantially advance knowledge;
- Apply technology in the core program areas of the Foundation in order to improve quality, lower costs, accelerate work, open new perspectives, or make improvements possible that would otherwise be difficult or impossible to achieve.
- Help sustain scholarly communications and information technologies economically.

Program Contact Information

Scholarly Communications and Information Technology program staff are rarely able to respond positively to unsolicited requests. However, staff welcome letters of inquiry regarding ideas that fall within the program described above and review them throughout the year. Before writing, please review the Foundation's general requirements for grant proposals in the [Grant Inquiries](#) section of this Web site. It may be helpful for you to consult the lists of recent grantees of the program in the Foundation's [annual reports](#). We also suggest that you review the essay entitled "[Priorities for the Scholarly Communications Program](#)."

Letters of inquiry should be brief, extending no more than three pages. The letter should describe: the project for which you are seeking funding; its scope, objectives, and significance; why you require external funding and what benefits you would achieve from such funding; the specific activities for which funding is being requested; and how much funding is needed. Please also include a brief budget outlining how the funds would be allocated. Note that grants within the Scholarly Communications and Information Technology program do not cover overhead or indirect costs, or graduate student tuition. We will let you know promptly whether the project fits with our current funding priorities.

Please direct all inquiries by email to: Donald J. Waters, djw@mellon.org or Helen Cullyer, hc@mellon.org



Alfred P. Sloan Foundation #7003

630 Fifth Avenue
Suite 2550
New York, NY, 10111;
Telephone (212) 649-1649
www.sloan.org

Grants:

Provide Funding in Scholarly Communication

The shift to digitally-mediated forms of scholarship has been characterized by a substantial growth in channels for and diversity of scholarly work. We see this in the flourishing of content in preprint servers and rapid-publication channels like arXiv, PLoS ONE, and the Social Science Research Network alongside unconventional forms of scholarly communication like research blogs and personal websites, all of which enable scholars to put their work out for broad access. Grants in this sub-program aim to ease this transition by supporting the development of new models of filtering and curating online scholarly materials and by engaging the emerging community of stakeholders and practitioners tackling similar issues in widely divergent disciplinary contexts.

Program Director Joshua Greenberg

Grantseekers with general inquiries or with a relevant project idea regarding the Data and Computational Research or Scholarly Communications sub-programs should send a one-page letter of inquiry to Program Director [Joshua Greenberg](#)

[Joshua M. Greenberg](mailto:greenberg@sloan.org)

greenberg@sloan.org

212-649-1633

OTHER ORGANIZATIONS:

American Council of Learned Societies (ACLS)

American Council of Learned Societies

633 Third Avenue, 8th floor

between 40th & 41st Streets

New York, NY 10017-6795

Telephone: 212-697-1505

Fax: 212-949-8058

[Cindy Mueller](mailto:cmueller@acsls.org), Manager, Office of Fellowships and Grants, x136, cmueller@acsls.org

Grant Programs: ACLS Digital Innovation Fellowships

The deadline for this competition has passed. The description below is for information purposes only. Award recipients will be announced in the spring.

Fellowship Details

- Amount (for stipends): up to \$60,000
- Amount (for project costs): up to \$25,000
- Tenure: one academic year, to be initiated between July 1, 2013 and September 1, 2014
- Completed applications must be submitted through the ACLS Online Fellowship Application system (ofa.acsls.org) no later than 9 p.m. Eastern Daylight Time, October 2, 2012.
- Notifications will be sent by early February 2013.

ACLS invites applications for the eighth annual competition for the **ACLS Digital Innovation Fellowships**, thanks to the generous assistance of The Andrew W. Mellon Foundation. This program supports digitally based research projects in all disciplines of the [humanities and related social sciences](#). It is hoped that projects of successful applicants will help advance digital humanistic scholarship by broadening understanding of its nature and exemplifying the robust infrastructure necessary for creating such works.

ACLS Digital Innovation Fellowships are intended to support an academic year dedicated to work on a major scholarly project that takes a digital form. Projects may:

- Address a consequential scholarly question through new research methods, new ways of representing the knowledge produced by research, or both;
- Create new digital research resources;

- Increase the scholarly utility of existing digital resources by developing new means of aggregating, navigating, searching, or analyzing those resources;
- Propose to analyze and reflect upon the new forms of knowledge creation and representation made possible by the digital transformation of scholarship.

ACLS will award up to six Digital Innovation Fellowships in this competition year. Each fellowship carries a stipend of up to \$60,000 towards an academic year's leave and provides for project costs of up to \$25,000. ACLS does not support creative works (e.g., novels or films), textbooks, straightforward translations, or purely pedagogical projects.

This year's successful applicants may take up the fellowship in 2013-2014 or at any time up to September 1, 2014, with tenure completed by June 30, 2015. Fellowship tenure may be one continuous year, or two semesters taken over two years, but candidates must commit themselves firmly to their preferred timeframe on their completed applications.

ACLS Digital Innovation Fellowships are intended as salary replacement and may be held concurrently with other fellowships and grants and any sabbatical pay up to an amount equal to the candidate's current academic year salary.

Given the nature of the program, proposals need to explicitly state the means and tools (software, applications, interfaces) to be used to accomplish the project's goals. Furthermore, a project plan and budget are required. These fellowships also include provision for additional project costs, which may be used for project-related expenses such as software, equipment, travel, or consultant fees. (See [sample budget](#).) Institutional indirect costs will not be covered.

Objectives

The aim of this program is to provide scholars the means to pursue intellectually significant projects that deploy digital technologies intensively and innovatively.

The fellowship therefore includes a stipend to allow an academic year's leave from teaching, and funds that may be used for purposes such as:

1. Access to tools and personnel for digital production. This could include acquiring hardware and software, engaging consultants, or purchasing access to digital collections. Preference will be given to project plans that make the most efficient use of existing cyberinfrastructure, either on the applicant's campus, host institution, or beyond.
2. Collaborative work. Applications are encouraged that include, where appropriate, plans for contact with centers for humanities computing or with disciplinary and interdisciplinary research centers (such as campus and national humanities centers).
3. Dissemination and Preservation. Applicants must specify how their projects will be presented and preserved. Applicants should also outline strategies for raising the visibility of their projects at workshops, seminars, conferences, and meetings of their field or discipline.

While demonstration of scholarly excellence will be the primary criterion for selection, such excellence should be manifest in the digital context. Applicants should discuss both the intellectual ambitions of the project and its technological underpinnings. Proposals should specify how digital technologies add value to humanistic study.

Further, proposals will be evaluated relative to the technical requirements for completing a successful research project; evidence of significant preliminary work already completed; the comparative advantage of the proposed project as measured against other related or similar projects; and (as appropriate) those features of the proposal that would promote teamwork and collaboration in the course of the project. Successful applicants should also indicate how their projects articulate with the local infrastructure at their home institutions or the institution hosting the project.

Applicants must present a coherent plan for development of their project, including a description of tasks to be accomplished within the period of the fellowship, and the budget required for those tasks. The project budget is an essential element of the application and its evaluation will weigh in the overall selection process. The project plan should reflect a thoughtful approach to the project's sustainability, scalability, dissemination, and preservation, and include a statement addressing intellectual property issues.

All applications must include the endorsement of a senior administrator of the applicant's institution or the institution hosting the project. This endorsement should include discussion of how the institution's existing cyberinfrastructure complements and supports the technologies to be developed for the specified project.

Eligibility

1. This program is open to scholars in all fields of the humanities and the humanistic social sciences.
2. Applicants must have a Ph.D. degree conferred prior to the application deadline. (An established scholar who can demonstrate the equivalent of the Ph.D. in publications and professional experience may also qualify.)
3. U.S. citizenship or permanent resident status is required as of the application deadline.

Application Requirements

Applications must be submitted online and must include:

- Completed application form
- 10-page Proposal (double spaced, in Times New Roman 11-point font). The proposal should explain your research plan in relation to the objectives of the Digital Innovation Fellowship Program. The narrative statement should explain, briefly but specifically, what you plan to do and why, as well as describe progress already made, make clear the relevance of the project to your professional experience, and discuss the significance of this work within your specific and general fields. Please balance the description of specific work plans against an overview of your goals and the contribution this project

will make to digital scholarship generally and to the particular scholarly field(s) it engages. Furthermore, proposals should explicitly state the means and tools (software, applications, interfaces) to be used to accomplish the project's goals. Proposals should present plans for how the project will be sustained and preserved over time, and how the applicant will disseminate notice of its availability. Please give your proposal a brief, descriptive title, and label sections of your narrative as appropriate to assist readers. In addition, if your project is part of a collaborative undertaking, it is essential to explain that context and describe your relationship to the other participants. Please also list the names of your colleagues and indicate whether or not those individuals are also applying for ACLS fellowships in the current competition.

- 3-page Bibliography providing an overview of the publications central to advancing the project; annotation may be provided to accompany certain items
- Publications list (no more than two pages)
- Project plan (no more than three pages) providing a coherent plan for development of the project, including a description of tasks to be accomplished within the period of the fellowship. This plan should reflect a thoughtful approach to the project's sustainability, scalability, dissemination, and preservation, and include a statement addressing intellectual property issues.
- Budget plan (no more than two pages) providing a detailed account of the proposed use of the research funds. (See [sample budget](#).)
- 3 reference letters
- Institutional statement from a senior official of your home institution or the institution hosting the project (dean, provost, president, or other appropriate person). The provided form asks the institutional representative to confirm that the institution's existing cyberinfrastructure complements and supports the technologies to be developed for the specified project.

Criteria Used in Judging ACLS Digital Innovation Fellowship Applications

Peer reviewers in this program are asked to evaluate all eligible proposals on the following five criteria:

1. Scholarly excellence, in terms of the project's intellectual ambitions and technological underpinnings.
2. The project's feasibility.
3. The project's intellectual, technological, and institutional sustainability.
4. The project's portability, accessibility, and scalability. Will it be widely used by the scholarly field it concerns?
5. The project's articulation with local infrastructure at the applicant's home institution or at the institution hosting the project.
6. the institution hosting the project.

*** Institute of Museums and Library Science,**

Institute of Museum and Library Services

1800 M Street NW, 9th Floor

Washington, DC 20036-5802

Phone: 202-653-IMLS (4657)

Fax: 202-653-4600

<http://www.ims.gov/>

Grant Program:

Sparks! Ignition Grants for Libraries and Museums Application:

Guidelines for the current fiscal year are now available:

[Access FY 2013 Sparks! Ignition Grants for Libraries and Museums Guidelines Online](#)

[Read more about the Sparks! Ignition Grants for Libraries and Museums program on the IMLS Web site.](#)

Web Conferencing with Program Staff:

IMLS staff are available by phone and through e-mail to discuss general issues relating to Sparks! Ignition Grants. We also invite you to participate in one of 2 pre-application web conferences to learn more about the program, ask questions, and listen to the questions and comments of other participants.

The web conference schedule for the FY2013 Sparks! Ignition Grants for Libraries and Museums program is as follows:

Wednesday, December 5, 2012, at 3:30 – 4:30 pm Eastern Time

Wednesday, January 9, 2013, at 3 – 4 pm Eastern Time

To participate in the web conference, a few minutes before it is scheduled to begin, log into: https://ims.megameeting.com/?page=guest&conid=Sparks_Applicant_Webinar

Then, using any touchtone phone, call 1-866-299-7945. When prompted to enter a passcode, enter 7434925#.

Deadline: February 01, 2013

Grant Amount: \$10,000 to \$25,000

Grant Period: Up to one year

Matching Requirement: No matching requirements.

Program Overview:

The Sparks! Ignition Grants for Libraries and Museums are a special funding opportunity within the IMLS National Leadership Grants program. These small grants encourage libraries, museums, and archives to test and evaluate specific innovations in the ways they operate and the services they provide. Sparks Grants support the deployment, testing, and evaluation of promising and groundbreaking new tools, products, services, or organizational practices. You may propose activities or approaches that involve risk, as long as the risk is balanced by significant potential for improvement in the ways libraries and museums serve their communities.

Successful proposals will address problems, challenges, or needs of broad relevance to libraries, museums, and/or archives. A proposed project should test a specific, innovative response to the identified problem and present a plan to make the findings widely and openly accessible.

To maximize the public benefit from federal investments in these grants, the Sparks Grants will fund only projects with the following characteristics:

Broad Potential Impact—You should identify a specific problem or need that is relevant to many libraries, archives, and/or museums, and propose a testable and measurable solution. Proposals must demonstrate a thorough understanding of current issues and practices in the project’s focus area and discuss its potential impact within libraries, archives, and/or museums. Proposed innovations should be widely adoptable or adaptable.

Significant Innovation—The proposed solution to the identified problem must offer strong potential for non-incremental, significant advancement in the operation of libraries, archives, and/or museums. You must explain how the proposed activity differs from current practices or takes advantage of an unexplored opportunity, and the potential benefit to be gained by this innovation.

Eligibility:

Libraries that fulfill the [general criteria for libraries](#) may apply. Museums that fulfill the [general criteria for museums](#) may apply. Public or private nonprofit agencies, organizations, or associations that engage in activities designed to advance museums and the museum profession may also apply. In addition, institutions of higher education, including public and nonprofit universities, are eligible.

Museum

Helen Wechsler, Supervisory Grants
Management Specialist
hwechsler@imls.gov
202.653.4779

Library

Anthony Donovan Smith, Senior Library
Program Officer
asmith@imls.gov
202.653.4768

Tim Carrigan, Museum Program Specialist
tcarrigan@imls.gov
202.653.4639

Charles "Chuck" Thomas, Senior Library
Program Officer
cthomas@imls.gov
202.653.4663

Traci Stanley, Library Program Specialist
tstanley@imls.gov
202.653.4689

National Endowment for the Humanities

National Endowment for the Humanities
1100 Pennsylvania Avenue NW
Washington, DC 20506
1-800-NEH-1121
202-606-8400
<http://www.neh.gov/>

Grant Program: Division of Preservation and Access: Humanities Collections and Reference Resources

Receipt Deadline July 18, 2013 *for Projects Beginning May 2014*

Updated guidelines will be posted at least two months in advance of the deadline listed above.

In the meantime, please use the guidelines for the previous deadline, to get a sense of what is involved in assembling an application.

Brief Summary

This program supports projects that provide an essential underpinning for scholarship, education, and public programming in the humanities. Thousands of libraries, archives, museums, and historical organizations across the country maintain important collections of books and manuscripts, photographs, sound recordings and moving images, archaeological and ethnographic artifacts, art and material culture, and digital objects. Funding from this program strengthens efforts to extend the life of such materials and make their intellectual content widely accessible, often through the use of digital technology. Awards are also made to create various reference resources that facilitate use of cultural materials, from works that provide basic information quickly to tools that synthesize and codify knowledge of a subject for in-depth investigation.

What's New for 2012

This year the program has introduced a new grant subcategory: Humanities Collections and Reference Resources Foundations grants. These grants support the formative stages of planning, assessment, and pilot activities for initiatives to preserve and create access to humanities collections or to produce reference resources. Drawing upon the cooperation of humanities scholars and technical specialists, such projects might encompass efforts to prepare for establishing intellectual control of collections, to develop plans and priorities for digitizing collections, to solidify collaborative frameworks and strategic plans for complex digital reference resources, or to produce preliminary versions of online collections or resources.

Program Statistics

In the last five competitions the Humanities Collections and Reference Resources program received an average of 220 applications per year. The program made an average of 35 awards per year, for a funding ratio of 16 percent.

The number of applications to an NEH grant program can vary widely from year to year, as can the funding ratio. Information about the average number of applications and awards in recent competitions is meant only to provide historical context for the current competition. Information on the number of applications and awards in individual competitions is available from preservation@neh.gov.

Program questions should be directed to NEH's Division of Preservation and Access at 202-606-8570 or preservation@neh.gov. Hearing-impaired applicants can contact NEH via TDD at 1-866-372-2930.

National Historical Publications and Records Commission

National Historical Publications and Records Commission (NHPRC)

National Archives and Records Administration

700 Pennsylvania Avenue NW, Room 114

Washington, DC 20408-0001

<http://www.archives.gov/nhprc/>

Grants Program Specialist

Jeff de la Concepcion

Telephone: 202-357-5022

E-mail: jeff.DeLaConcepcion@nara.gov

Grant Program: Innovation in Archives and Documentary Editing

The National Historical Publications and Records Commission (NHPRC), a part of the National Archives and Records Administration (NARA), supports projects that promote the preservation

and use of America's documentary heritage essential to understanding our democracy, history, and culture.

The following grant application information is for Innovation in Archives and Documentary Editing.

Funding Opportunity Number: INNOVATION-201210

Catalog of Federal Domestic Assistance (CFDA) Number: 89.003

- Draft Deadline (optional): August 1, 2012
- Final Deadline: October 4, 2012

NHPRC support begins no earlier than **July 1, 2013**.

The deadline for this opportunity has passed. These guidelines may be used for reference, but should NOT be used to prepare an application.

Grant Program Description

The National Historical Publications and Records Commission seeks projects that are exploring innovative methods to improve the preservation, public discovery, or use of historical records. Projects may also focus on techniques and tools that will improve the professional performance and effectiveness of those who work with such records, such as archivists, documentary editors, and records managers. Projects must anticipate results that will affect more than a single institution or a single state.

Projects may focus on methods of working with records in any format, including born-digital records. Projects designed to publish historical records must focus on innovative methods of presenting archival records as primary sources. The Commission does not fund projects focused on artifacts or books. For a comprehensive list of the Commission's limitations on funding, please see [What We Do and Do Not Fund](#). Applications that consist entirely of ineligible activities will not be considered.

Award Information

A grant normally is for one to three years. The Commission expects to make one to three grants of between \$50,000 and \$150,000. The total amount allocated to this category is up to \$250,000.

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

Eligibility

- Nonprofit organizations or institutions
- Colleges, universities, and other academic institutions
- State or local government agencies
- Federally-acknowledged or state-recognized Native American tribes or groups

Applicant organizations must be registered in 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.

Ineligible applications will not be reviewed.

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 provides no more than 50 percent of total project costs.

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Application and Submission Information

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

The 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.

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 are ineligible and will not be reviewed. In order to ensure eligibility, applicants should first review the rules and regulations governing NHPRC grants under the [Administering an NHPRC Grant](#) section.

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.

Please organize your narrative in sections:

1. Describe your project's overall purpose and ambitions. Be sure to state which field of endeavor your proposal addresses: archives, records management, publication of historical documents, professional development, or some combination. Describe the problem that your project addresses, and detail how your project's new techniques will address these challenges. Refer to studies that have demonstrated the need for this project. Explain your research plan in detail and describe how you will test the effectiveness of your results. The NHPRC prefers projects that plan to test their methods at multiple organizations or with multiple audiences, depending on the type of project.

2: Describe the plan of work for the grant period. Describe in detail the types of activities you intend to engage in and the relationships among them. Outline each stage of the planned work and include the costs for each major stage. Types of activities that are typical for these projects may include planning, research, prototyping, testing, and marketing. Be certain to include enough time to evaluate the impact of the project. Be specific about how you intend to publicize and evaluate the project. Final evaluations should include an assessment of the costs and benefits of employing the new methods. Include, in the supplementary materials, charts that identify the people, time, and resources needed for each stage.

3. Describe the products you plan to produce for the completed project. These may include software and documentation; websites, manuals; papers, speeches, and articles; and/or brochures and pamphlets. Explain how you plan to make the results available. Describe and justify your methods for disseminating products, including any costs to be charged.

4. For the people or positions in the proposal, provide a narrative explanation of the qualifications of the staff who will contribute to the success of this project. Demonstrate that the project staff has the skills, educational background, and experience appropriate to the project. Explain the roles of all staff named in the project budget, both for those already on staff and for those to be hired. Include descriptions of outside project advisors, reviewers, and evaluators. 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 or consultants to be hired for the project, provide position descriptions or call for consultants.

5. List four to six measurable objectives. Focus on quantifiable results that reflect what you intend to accomplish and complete during the grant period. For example, how many institutions will test your methods; what measurable improvements will there be in techniques for preservation, public discovery, or use of historical records; how many of the tools developed through the project will be available for use by the broader archival and historical publishing communities; or how many people will have tried new these methods in their profession.

Project Summary

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

- Purposes and Goals of the Project
- Plan of Work for the Grant Period
- Products and/or Publications to be completed during the Grant Period
- Names, Phone Numbers, and E-Mail Address 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

You may attach up to 20 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)
- Detailed work plan charts to supplement the Narrative (required)
- Results of previous research on related topics
- Statements of commitment to the project by partners

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

Project Budget

You must submit a budget on the **NHPRC Budget Form** available on the [Application Instructions](#) page. Note that the form itself contains additional instructions. You may include with your application a narrative budget supplement for budget categories that require further detail. Provide specific budget figures, rounding to the nearest dollar.

Applicants will be asked to compute the project costs to be charged to grant funds as well as those that will be supported by the applicant through cost sharing, which includes both direct and indirect expenses, in-kind contributions, non-Federal third-party contributions, and any income earned directly by the project. 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. Applicants should review the appropriate [Office of Management and Budget](#) circulars on cost principles.

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. In addition, successful applicants will be required to certify that they have adequate accounting and timekeeping procedures to meet Federal requirements.

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 to be charged to the project and 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 to pay the salaries of only those individuals actually working on the project. You may count the time provided to the project by advisory board members.

Fringe Benefits: Include employee benefits using your organization's standard rates. No separate benefits should be included for positions that are computed at a daily rate or using honoraria.

Consultant Fees: Include payments for consultant services and honoraria. Provide justification for large or unusual consultant fees. Include consultant travel expenses in the "Travel" category.

Travel: Include transportation, lodging, and per diem expenses. 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: Include routine office supplies and supplies ordinarily used in professional practices. Justify the cost of specialized materials and supplies in a supplemental budget narrative.

Services: Include the cost of duplication and printing, long-distance telephone, equipment leasing, postage, contracts with third parties, and other services that you are not including under other budget categories or as indirect-cost expenses. The costs of project activities to be undertaken by each third-party contractor should be included in this category as a single line item charge. Include a complete itemization of the costs in a supplemental budget narrative.

Other Costs: Include costs for necessary equipment above \$5,000, stipends for participants in projects, and other items not included in previous grant categories. The NHPRC does not provide grant funds for the acquisition of routine equipment such as office furnishings and file cabinets, but we may allow for the purchase of archival equipment, such as shelving units, and technical equipment, such as computers and peripherals, essential for a project. Include technical specifications for equipment over \$5,000 in a supplemental budget narrative.

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Submission Dates and Times

First competition:

- Draft (optional): August 1, 2012
- Final Deadline: October 4, 2012

Applications must be submitted electronically by midnight Eastern Time on October 4, 2012.

The Commission will consider applications in May 2013. NHPRC support begins no earlier than July 1, 2013.

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.

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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 NHPRC staff and other reviewers to form recommendations:

1. Quality and extent of innovation in the project's expected results and their potential impact in improving the preservation, public discovery, use of historical records, and/or the related professions. *(30 percent)*
2. Ability to complete the project's proposed objectives, judged by the qualifications of the staff and reasonableness of the work plan and budget (including cost share). *(30 percent)*
3. Transferability of the project's expected results to the archival and historical communities, including federal government entities. *(25 percent)*
4. Effectiveness of the dissemination plans for the project's results. *(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 may ask 5 to 10 external peer reviewers to evaluate the proposal.
- *Commission Staff*
Approximately 3 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 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 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.

- *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.

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, priorities, 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.

Agency Contact

Applicants are encouraged to contact Lucy Barber, Deputy Executive Director, 202-357-5306, or lucy.barber@nara.gov who may:

- Advise the applicant 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.

Grant Administration

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