

**Award Number:** P14AC01367

**Project Number**: UAZCP-305

**CFDA #:** 15.945

**Park/NPS Unit:** Western Archeological and Conservation Center(incl.Bandelier National Monument; Canyon de Chelly National Monument; Grand Teton National Park; Great Sand Dunes National Park and Preserve; Mesa Verde National Park; Northern Colorado Plateau Network, Chihuahuan Desert Network, Southern Plains Network, Greater Yellowstone Network; National Natural Landmarks Program, and Submerged Resources Center)

**Title of Project:** Continue Cataloging and Making Archival Collections Publicly Accessible

**Administered through the:**  Colorado Plateau Cooperative Ecosystem Studies Unit Cooperative Agreement Number P14AC00921

**CESU Partner:** University of Arizona Board of Regents

**PROJECT CONTACTS:**

**Principal Investigator:** Bryan Heidorn,Director, School of Information Resources and Library Science, The University of Arizona, 1515 E. First Street, Tucson, AZ 85719; telephone: (520) 621-5221; fax: (520) 621-3279; email: heidorn@email.arizona.edu

**Partner Administrative Contact*:*** Sherry Esham, Director, Sponsored Projects, University of Arizona, P.O. Box 3308, Tucson, AZ 85722; telephone: (520) 626-6000; fax: (520) 626-4130; email: sponsor@email.arizona.edu

**NPS Certified ATR:** Lynn Mitchell, Archivist, Museum Services Program, Western Archeological and Conservation Center, 255 N Commerce Park Loop, Tucson, AZ 85745; telephone: (520) 791-6404; fax: (520) 791-6465; email: lynn\_mitchell@nps.gov

**NPS Alternate Certified ATR:** Tef Rodeffer, Program Manager, Museum Services Program, Western Archeological and Conservation Center, 255 N Commerce Park Loop, Tucson, AZ 85745; telephone: (520) 791-6401; fax: (520) 791-6465; email: tef\_rodeffer@nps.gov

**NPS Technical Expert** : Matthew Smith, Librarian, Museum Services Program, Western Archeological and Conservation Center, 255 N Commerce Park Loop, Tucson, AZ 85745; telephone: (520) 791-6406; fax: (520) 791-6465; email: matthew\_a\_smith@nps.gov

**FUNDING INFORMATION:**

**Amount Funded: $146,257**

**NPS Account Numbers (amounts in parentheses):**

**PX.P0158726R.BA.1 Cost Center PPIMWACC00 ($23,000) BAND Archives Initiative**

**PX.P0158726R.GS.1 Cost Center PPIMWACC00 ($24,994) GRSA Archives Initiative**

**PX.P0158726R.GT.1 Cost Center PPIMWACC00 ($12,000) GRTE Archives Initiative**

**PX.XNR4I0250.00.1 Cost Center: PPWONRADI0 ($25,925) Inventory and Monitoring Networks**

**PX.P0192201B.00.1 Cost Center: PPIMIMRO3D ($21,000) Submerged Resources Center**

**Cost Center: PPIMMEVE10 Functional Area: PPMPSAS1Z.Y00000 Fund: 144 ($19,813) MEVE**

**Cost Center: PPWONRADI0 Functional Area: PNA00NL14.GT0000 Fund: 144 ($12,525) NNL**

**PX.P0212161A.00.1 Cost Center PPIMCACH00 ($7,000) CACH**

**Fund Source (e.g., ONPS, FLREA, CRPP, CESU, etc.): ONPS-Base, Cultural Resources, Natural Resources, Flex Park Base**

[x] NPS Funding

[ ]  Is this funded using a reimbursable account number? If yes, IMR contracting needs a copy of the Interagency Agreement.

**PROJECT DATES:**

**Start Date:** August 1, 2014

***NOTE: This Task Agreement will become effective on the date of final signature or the effective date of the Award document, whichever is later.***

**End Date:** July 31, 2017

**NPS Administrative Contacts**

**CESU Coordinator:** Todd Chaudhry (Interim Coordinator), National Park Service/CPCESU, NAU P.O. Box 5765, Flagstaff, AZ 86011, 928-523-6638, Fax: 928-523-2014; todd\_chaudhry@nps.gov

**Intermountain Region Administrative Contact:** Kelly Adams, Grants and Agreements Specialist, National Park Service, 12795 West Alameda Pkwy, Lakewood, CO 80228. Phone: 303-969-2303 Fax: 303-969-2992 Email: kelly\_adams@nps.gov

**FEDERAL FINANCIAL REPORTS AND DRAWDOWN SCHEDULE:**

***Federal Financial Reports*** (Check as required for project based on spending plan, period of performance, risk, cooperator history, etc.)

{x} Quarterly { } Semi-annually { } Annually {X} Final

**Project SCHEDULE AND TECHNICAL REPORT DEADLINES:**

List all technical reports and products in sequential order as required in the scope (more lines and milestones can be added as needed):

*Project Start Date* – August 1, 2014

Archives Survey at Canyon de Chelly National Monument and Processing Plans – September 30, 2015

Packaged Digital Submerged Resources Archival Collections for at Least Two Parks – December 31, 2015

Inventory, Cataloging, and Reference Services for Mesa Verde Library – December 31, 2015

Digitized National Natural Landmarks Records with Metadata – September 30, 2016

Processed and Arranged Archival Collections – December 31, 2016

ICMS Catalog Records and Finding Aid for Each Collection – March 31, 2017

*Technical progress reports –* { } Quarterly { } Semi-annually {x} Annually

(Check as needed from PI to monitor progress of specific project. Content should be addressed in the scope.)

*Investigator’s Annual Report (IAR)* – N/A

*Database, Collections/Specimens, Archives, and Maps provided to the NPS ATR or Technical Expert* –

ICMS Catalog Records for Each Collection – March 31, 2017

Mesa Verde Library Catalog Records in EOS – September 30, 2015

Digitized National Natural Landmarks Records with Metadata -- September 30, 2016

*Draft Final Report* – May 31, 2017

*Final Report* – June 30, 2017

*Project End Date* – July 31, 2017 (project reports/deliverables are due)

*Final SF425 FFR* must be submitted within 90 days of project end date

**PAYMENTS**

**2 CFR PART 215.22*:*** Cash advance (drawdown) to recipient organization shall be limited to the minimum amounts needed and be timed to be in accordance with the actual immediate cash requirements of the recipient organization in carrying out the purpose of the approved program or project. The timing and amount of cash advances shall be as close as is administratively feasible to the actual disbursements by the recipient organization for direct program or project costs and the proportionate share of any allowable indirect costs.

**2 CFR PART 215.25 (8)(e)(1):** Incur pre-award costs 90 calendar days prior to award or more than 90 calendar days with the prior approval of the Federal awarding agency. All pre-award costs are incurred at the recipient’s risk. (i.e. the Federal awarding agency is under no obligation to reimburse such costs if for any reason the recipient does not receive an award or if the award is less than anticipated and inadequate to cover such costs.)

**CESU REQUIRED PRODUCTS (may be different from those products required by the ATR – See Statement of Work for Products required by the NPS unit):**

The Principal Investigator will prepare a brief report abstract suitable for public distribution and two hard copies and an electronic version (in PDF file format) of the final report and mail all toResearch Coordinator, National Park Service, CPCESU, NAU P.O. Box 5765, Flagstaff, AZ 86011. Please be sure to include the project number (e.g.; NAU-###, UMT-###, UAZDS-###) and the P number on the cover page of the final report.

**PROJECT ABSTRACT:**

This project provides an archives-focused educational work experience opportunity for archives and digital information students that will complement classroom instruction through continuing efforts to catalog archival collections and improve park and public access to archival information. Graduate students, in cooperation with archivists from the Intermountain Region Museum Services Program, will process, arrange, and catalog an estimated 95 linear feet (152,000 items) of archival collections into the Interior Collections Management System (ICMS) and prepare finding aids to facilitate use. Additionally, students will implement a pilot project to package digital archival material from Submerged Resource Center investigations as part of an effort to set a system-wide standard of how a national program should provide archival material to park customers. Students also will digitize records from the National Natural Landmarks Program and participate in an archival survey of Canyon De Chelly National Monument’s records. Students also will assist Mesa Verde National Park with inventorying, creating, and updating records for the park library collection to improve public access and provide reference services. This project will provide an ideal forum for students to acquire diverse skills related to the management of archival, library, and digital information and strategies for making those resources available to multiple audiences while enhancing the students’ employability in the public or private sector.

**Scope of Work:**

This project fulfills a public purpose of support by providing an archives, library, and information management-focused educational work experience for graduate and undergraduate students that complements classroom instruction and continues highly successful archival cataloging projects initiated under UAZCP-293 (FY12) and UAZCP-299 (FY13) which is still ongoing. Students will have an opportunity to work with a wide variety of National Park Service administrative and resource management archival records from multiple disciplines in a variety formats and gain experience applying records management and archival principles as well as local protocols to the processing, arrangement, and cataloging of these collections. Knowledge gained in rehousing and preparing finding aids for the collections will underscore long-term preservation strategies for archival collections and illustrate how tools are provided for public access to archival materials. In this digital age, customers are increasingly requesting information delivery in digital form. Students will have an opportunity to work with archivists in implementing a comprehensive and appropriate packaging strategy for delivery of digital data to a focused customer base and participate in a focused digitization project. Techniques and standards applied can readily be adapted to other digital projects. Conversion of a park library to on-line public accessibility provides an exceptional opportunity for students to apply theoretical principles and agency protocols of library management. The practical work experience this entire project will provide will enhance the students’ employability in the public or private sector after they leave school.

This project continues the joint effort of the Western Archeological and Conservation Center (WACC) and the School of Information Resources and Library Science to make National Park Service archival collections accessible. Students, in cooperation with archivists at WACC, will process, arrange, catalog, and prepare for permanent storage of an estimated 30 linear feet (LF) of archives from Bandelier National Monument (Archeological Project Records); 35 LF of archives from Great Sand Dunes National Park and Preserve (Natural Resources and Facilities Records); 10 LF of archives from Grand Teton National Park (Ethnographic Series in the Cultural Resources Records); and 20 LF of archives from the Chihuahuan Desert, Great Plains, Greater Yellowstone, and Southern Colorado Plateau Inventory and Monitoring Networks using approved processing plans, and prepare an estimated 5 LF of Mesa Verde National Park archives for processing. The students will follow established methods of cataloging, data entry into ICMS, labeling, and housing the archival collections defined in local protocols. WACC archivists will provide considerable training to the students in working with these collections in both a team and individual setting to achieve well processed, properly arranged collections with effective finding aids that are properly housed for long-term preservation.

The Submerged Resources Center, a service-wide National Park Service Program, conducts underwater investigations of natural and cultural resources. The Submerged Resources Center is committed to distributing the full archival record of its projects to park customers in a digital form. The project archives, in many formats, have been digitized and strategies for packaging developed in concept. Students will operationalize and troubleshoot this concept through the creation of several demonstration packages each encompassing the full archival record for the park. Preparation of park-specific ICMS catalog records and finding aids are anticipated as part of this process. Archivists at WACC will work closely with the students during the testing process to evaluate options and review potential solutions so that the final package provides the optimal combination of information and data for park customers.

The initial appraisal of archival records is a critical step toward organizing future processing and cataloging efforts. Students will assist Canyon de Chelly National Monument is conducting an archival survey of approximately 25 LF of records to identify archival materials, assemble data necessary for creating three processing plans, and begin staging subsequent processing and cataloging efforts as time permits. WACC archivists will provide considerable training to students in conducting the archival survey and reporting results in a form that will facilitate preparation of the processing plan and initiating processing.

Digitization of records to provide effective staff and public access to these documents is becoming increasingly expected as part of normal business operations. Students will have an opportunity to apply standard digitization protocols and metadata labeling requirements to an estimated 30 LF of archives from the National Natural Landmarks Program.

The Mesa Verde National Park Special Library is an important resource for many researchers, but access to the library catalog is currently limited to on-site visitors. Students will complete a 100% inventory of the library, confirm and update catalog records as necessary, and catalog an estimated 800 new titles in the NPS EOS on-line library database to improve accessibility to the public while providing reference and routine technical services. Students will acquire experience in many facets of special library operations in a busy Research Center and its direct connections to archival materials. The WACC Librarian will provide training in using EOS and guidance on special park library management.

The final report for the project will include a comprehensive list of all archival collections processed, arranged, cataloged, surveyed, digitized, and rehoused, including catalog numbers and final extent. The variety of efforts to package the Submerged Resources archives for individual parks will be documented, including approaches that were rejected and information about why they were not considered suitable for the product. The results of the library inventory, cataloging, and reference services provided will be detailed.

Most work will be performed at WACC in Tucson, Arizona, where the Intermountain Region Museum Services Program will furnish all necessary space, supplies, equipment, and training. Work on the Mesa Verde library will be performed at the Mesa Verde Research Center and Library near Cortez, Colorado; two trips to Tucson, Arizona are included for training with the WACC Librarian, and the park will provide the necessary space, supplies, and equipment. The archives survey of Canyon de Chelly records will be conducted at the park near Chinle, Arizona. The WACC Archivist and Librarian will facilitate coordination with the park to ensure that preparations have been completed for student work in these locations. Final products will be submitted to the ATR unless otherwise indicated. Draft product reviews will be completed by NPS within 30 days of receipt.

The cooperator will complete the following tasks to achieve cataloging and information packaging goals.

1. Process and arrange each archival collection in accordance with the processing plan. Catalog each collection at the folder level in ICMS, applying content, editorial, and formatting protocols, and prepare three copies of the finding aids for each collection in hard copy and electronic (Word) format.
2. Complete storage upgrades for the preservation of the collections as determined by the ATR and labeling of all archival materials with the appropriate park accession and catalog number.
3. Prepare digital information packages of Submerged Resources investigations for at least two parks. Maintain an ongoing dialog and exchange of information with the ATR who may also bring together other relevant parties for discussions about changes to the packaging strategy, achieving efficiencies, and problem resolution as the process develops.
4. Digitize National Natural Landmarks records and attach metadata.
5. Complete a 100% inventory of the Mesa Verde library, update catalog records as necessary, catalog new volumes into EOS, and provide reference services to patrons.
6. Execute an archival survey at Canyon de Chelly National Monument.
7. Provide the draft final report for review.
8. Complete the final report.

**COOPERATIVE AGREEMENTS OR TASK AGREEMENTS INVOLVING COOPERATORS WORKING ON-SITE**

**Background**

In cooperative agreements or task agreements with universities where the university utilizes interns, student employees, research associates (RAs) or cooperators on-site (hereafter called “cooperator personnel”), these cooperator personnel sometimes work on government sites in close proximity to federal employees. It is illegal (without specific statutory authority) for federal employees to directly supervise the cooperator personnel or any university employees or for the students or other university employees to supervise federal employees. When cooperator personnel are working on an NPS site, it is important that there is a clear distinction between students and federal employees.

**Office Environment and Vehicles**

* The office space of the cooperator personnel and NPS personnel should be clearly labeled (Name and NPS or University affiliation on office or cubicle space).
* Cooperator personnel should be listed separately from NPS personnel in telephone lists, other identification or organizational rosters, and publication credits.
* Cooperator personnel should not receive “all-employee” e-mail or other communications intended for NPS personnel (unless it relates directly to the work the cooperator is doing for the NPS). When the e-mail does relate to the work being done, a copy of the same e-mail message should be sent to the University or cooperator’s supervisor.
* Cooperator personnel may use NPS e-mail systems when the communication relates directly to the work the cooperator is doing for the NPS. The e-mail addresses of the cooperator personnel must include a label associated with their NPS e-mail address that identifies the cooperator’s status (i.e., “Linda Webb, Cooperator” would be the label associated with the e-mail address, linda\_webb@contractor.nps.gov). Doing so clearly identifies this individual each time they send an e-mail message using the NPS system, and it identifies their status as a research associate, student intern or student employee in the e-mail directory.
* Unless stipulated in the agreement, cooperator personnel should not drive government vehicles.
* Unless stipulated in the agreement, cooperator personnel should not ride as a passenger in a government vehicle. When this is planned as part of the agreement, an appropriate amount of liability insurance should be negotiated.
* Prior written approval by the Park Superintendent or Center Manager must be obtained in order for a task to allow cooperator personnel to drive or ride in government vehicles.

**Supervision and Scheduling**

* Each task must specify the university’s/cooperator’s supervisor for the cooperator personnel.
* Unless stipulated in the agreement, NPS staff should not set hours for cooperator personnel, specify where the work should be done, or conduct performance appraisals. National Park Service staff may give performance feedback to the cooperator personnel supervisor.
* Cooperator personnel should report leave, scheduling, and other related issues to the university or cooperator’s supervisor, not to NPS employees. The supervisor of the cooperator personnel should then communicate with the NPS. National Park Service employees cannot directly supervise cooperator personnel on a day-to-day basis. Work should be given to the cooperator personnel (via the cooperator’s supervisor) on a “task basis.” Cooperators should work without NPS supervision to accomplish each task, although technical consultations and cooperation is permissible.
* The Cooperator will be responsible for any disciplinary action needed to correct student employee conduct or performance problems. The NPS agreements technical representative will inform the university/cooperator’s supervisor of any conduct or performance problems.
* The Cooperator will remove student employees from their positions if they fail to improve performance or address conduct issues.
* The NPS will review and provide feedback to students or interns regarding work assignments.
* The NPS will inform the cooperator of conduct or performance problems with cooperator personnel so that the university can counsel employees and correct the performance problems.
* The NPS will recommend to the cooperator dismissal of cooperator personnel based on conduct or performance issues.
* The Cooperator will hire students, interns or RAs to work on NPS tasks identified in the agreement. Hiring will be conducted in consultation with the NPS Agreements Technical Representative (ATR).
* The Cooperator will: pay students, interns or RAs for hours they have worked in support of the agreement.

**Representation and Communication**

* Cooperator personnel cannot in any way represent themselves to the public as NPS employees.
* Cooperator personnel are required to wear visible identification at all times.

**Other Issues**

* Cooperator personnel should not list an NPS affiliation on publications, but rather should list the cooperative agreement under which the work was performed.
* Cooperator personnel should not be invited to official NPS “social” events.
* Cooperator personnel will follow the local policy of the facility when federal facilities are closed due to early release for holidays, snow days, etc.

**PRODUCTS:**

1. Processed and arranged archival collections, with appropriate labels and storage upgrades.
2. ICMS catalog record and finding aid for each collection.
3. Packaged digital submerged resources archival collections for at least two parks.
4. Archival survey of Canyon de Chelly National Monument records.
5. A 100% inventory of Mesa Verde National Park’s library, updated catalog records as necessary to reflect survey results, new volumes cataloged into EOS, and reference services provided to patrons.
6. Digitized National Natural Landmarks records with attached metadata.
7. Draft final report.
8. Final report.

**BUDGET:***(You may create your budget in a spreadsheet and attach it as a separate document when you submit your project coversheet and Form 4.9.)*

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| --- | --- | --- | --- | --- |
| **Item** | **Rate** | **Unit** | **Number of Units** | **Total** |
| **Salaries** |  |  |  |  |
| **Curatorial Museum Specialist (Graduate Assistant)** | **$13,200** | **Academic year salary (an estimated 1,280 hours)** | **4** | **52,800** |
| **Student** | **9** | **Hour** | **1144** | **10,296** |
| **Student** | **12** | **Hour** | **471** | **5,652** |
| **Student** | **15** | **Hour** | **1,204** | **18,060** |
|  |  |  |  |  |
| **Benefits** |  |  |  |  |
| **Curatorial Museum Specialist (Graduate Assistant)** | **63.3%** |  |  | **33,422** |
| **Student** | **2.1%** |  |  | **714** |
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| **Travel** | **See detail** | **See detail** | **See detail** | **3,530** |
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| **Equipment** |  |  |  |  |
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| **Supplies** |  |  |  |  |
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| **Total Direct Costs** |  |  |  | **124,474** |
| **Total Indirect Costs (17.5%)** |  |  |  | **21,783** |
| **GRAND TOTAL** |  |  |  | **146,257** |

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| TRAVEL COSTS DETAILED |  |
|  |  |
| Mesa Verde National Park to Tucson AZ and return (2 trips) |  |
|  Lodging (5 nights @ $101/night x 2 trips) | $1,010.00 |
|  Per Diem (6 days @ $66/day x 2 trips) | $ 792.00 |
|  Personal vehicle, 2,138 miles (1069 miles/trip) @ $.56/mile | $1,198.00 |
|  |  |
| Tucson AZ to Canyon de Chelly National Monument and return (accompanying NPS staff in government vehicle |  |
|  Lodging ($100/night for 3 nights) | $ 300.00 |
|  Per Diem ($46/day for 5 days) | $ 230.00 |
|  |  |
| Total Travel | $3,530.00 |