DIVISION OF RESEARCH PROGRAMS

COLLABORATIVE RESEARCH GRANTS

Deadline: December 6, 2017 (for projects beginning as early as October 1, 2018, and as late as September 1, 2019). Applicants will be notified of the decision by e-mail by August 31, 2018.

Catalog of Federal Domestic Assistance (CFDA) Number: 45.161

If after reading this document you have questions about this grant program, contact the staff of NEH’s Division of Research Programs at collaborative@neh.gov and 202-606-8200. Applicants who are deaf or hard of hearing can contact NEH via Federal Relay (TTY users) at 800-877-8399.
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I. Program Description

Debate, exchange of ideas, and working together—all are basic activities that advance humanities knowledge and foster rich scholarship that would not be possible by researchers working on their own. The Collaborative Research grant program encourages collaboration that proposes diverse approaches to topics, incorporates multiple points of view, and explores new avenues of inquiry that lead to publications and other resources for scholarly audiences and/or general audiences.

Collaborative Research grants support groups of two or more scholars engaging in significant and sustained research in the humanities. The program seeks to encourage interdisciplinary work, both within the humanities and beyond. Projects that include partnerships with researchers from the natural and social sciences are encouraged, but they must remain firmly rooted in the humanities and must employ humanistic methods. Collaborators may be drawn from a single institution or several institutions across the United States; up to half of the collaborators may be based outside of the U.S. Partnerships among different sorts of institutions are welcome: for example, research universities might partner with teaching colleges, libraries, museums, or independent research institutions.

Eligible projects must propose tangible and sustainable outcomes such as co-authored or multi-authored books; born-digital publications; themed issues of peer-reviewed journals; and content-rich, open-access digital resources (for example, websites, databases, or tools). All project outcomes must be based on and must convey interpretive humanities research. All grantees are expected to disseminate the results of their work to scholarly audiences and/or general audiences.

Funding is available for full-time or part-time activities that make collaboration possible. Funds may be requested to cover, where appropriate, salary replacement; compensation of collaborators, consultants, and research assistants; fringe benefits; and travel, lodging, and per diem costs. Indirect costs can be included. NEH is rarely able to cover the full cost of a project. For that reason, funding from other sources and cost sharing are expected but not required. (See the budget instructions below for additional information.)

Collaborative Research offers three types of awards to address different sorts of projects and stages of development.

Type 1: Convening Grants – up to $50,000

Convening grants last one year and typically fund conferences and working group meetings to sharpen the chosen research topic and discuss and plan subsequent publication.

Type 2: Publication Grants – up to $250,000 (no more than $100,000 per year)

Publication grants last one to three years and support the project toward completion of its publication goals. Publications can appear in traditional print or in digital form. Note that costs paid to publishers and subventions are not supported.
Type 3: Archaeology Grants – up to $250,000 (no more than $100,000 per year)

Archaeology grants last one to three years and support projects that lead to publication.

A Type 1 Convening Grant can be used to plan and prepare for a Type 2 Publication Grant in a subsequent year. A Type 1 grant is not, however, a prerequisite for a Type 2 grant. Collaborators who have done their planning and are ready to work toward completion and publication can apply directly for a Type 2 Publication grant.

Providing access to grant products

As a taxpayer-supported federal agency, NEH endeavors to make the products of its grants available to the broadest possible audience. Our goal is for scholars, educators, students, and the American public to have ready access to the wide range of NEH grant products. For projects that lead to the development of digital materials, all other considerations being equal, NEH gives preference to those that provide free access to the public.

Detailed guidance on access and dissemination matters can be found in the Final product and dissemination section below (at the end of the instructions for the narrative, in Section II).

NEH grantees must follow the requirements of Section 504 of the Rehabilitation Act of 1973, which is designed to eliminate discrimination on the basis of handicap in any program or activity receiving federal financial assistance. For more information consult Design for Accessibility: A Cultural Administrator’s Handbook here.

Previously funded projects

Applicants whose projects have received NEH support may apply for a grant for a new or subsequent stage of their projects. Proposals for these projects do not receive special consideration and are judged by the same criteria as others in the grant competition. They must, however, demonstrate that the projects used previous NEH support productively.

A grant from NEH for one stage of a project does not commit NEH to continued support for the project. Applications for each stage of a project are evaluated independently.

Collaborative Research Grants may not be used for

- projects undertaken by individuals without collaboration;
- education projects that propose the development of curricula, teaching methods or theories, or education or technical impact assessments;
- professional development or training;
- planning or putting on exhibitions;
- inventories of collections;
- archaeology field schools;
- the planning or production of documentary films;
- publication subvention or other publication costs;
- promotion of a particular political, religious, or ideological point of view;
• advocacy for a particular program of social or political action;
• support of specific public policies or legislation; or
• projects that fall outside of the humanities (including the creation or performance of art; creative writing, memoirs, and creative nonfiction; and empirically based social science research or policy studies).

Applications for such projects will not be reviewed.

Other funding opportunities

Note: Applicants for individual projects should apply to the Public Scholar, Fellowships, NEH-Mellon Fellowships for Digital Publications, or Summer Stipends programs. Applicants who propose to develop digital tools should consult with the NEH Office of Digital Humanities at odh@neh.gov. Proposals for editions and translations should be submitted to Scholarly Editions and Translations. Proposals for preparing bibliographies, descriptive catalogs, dictionaries, encyclopedias, databases, or other research tools or reference works should be submitted to the Humanities Collections and Reference Resources program in the NEH Division of Preservation and Access. Applicants planning exhibitions should apply to the Public Humanities Projects program in the NEH Division of Public Programs. Applicants planning documentary films should apply to the Media Projects: Development Grants program or the Media Projects: Production Grants program in the NEH Division of Public Programs.

Applicants proposing research in the social or behavioral sciences, linguistics, physical anthropology, paleoanthropology, archaeometry, or economics are encouraged to consider the funding programs of the National Science Foundation’s Directorate for Social, Behavioral, and Economic Sciences at http://nsf.gov/dir/index.jsp?org=sbe.

Standing Together

NEH invites projects related to its Standing Together initiative, which encourages projects related to war and military service.

Protecting our Cultural Heritage

In response to the destruction of cultural heritage materials worldwide, NEH encourages applications for projects that study, document, or create digital representations of lost or imperiled cultural heritage materials. Proposed projects should be based on scholarly work and follow standards and best practices. Project teams must include appropriate methodological specialists and humanities scholars. Projects must demonstrate the capacity to be sustained and must be widely accessible to the public. For more information click here.

All applications will be given equal consideration in accordance with the program’s evaluation criteria, whether or not they respond to the Standing Together initiative or seek to protect lost or imperiled cultural heritage materials.
Award information
Awards for Convening Grants (Type 1) are made for one year and will not exceed $50,000. Awards for Publication and Archaeology grants (Types 2 and 3) are made for a minimum of one and a maximum of three years; amounts will not exceed $100,000 per year, and the total award will not exceed $250,000.

Indirect costs (if any) are included in the awarded amount. Successful applicants will be awarded a grant in outright funds, matching funds, or a combination of the two, depending on the applicant’s preference and the availability of funds. Federal matching funds are released on a one-to-one basis when a grantee secures gift funds from eligible nonfederal third parties. (Note that agencies of the federal government are not eligible third parties.)

(Learn more about different types of grant funding.)

Cost sharing
Cost sharing consists of the cash contributions made to a project by the applicant, third parties, and other federal agencies, as well as third party in-kind contributions, such as donated services and goods. Cost sharing also includes gift money raised from nonfederal third parties to release federal matching funds. Although cost sharing is not required, the Collaborative Research program is rarely able to support the full costs of projects approved for funding. The balance of the costs is to be borne by the applicant’s institution or other sources. Include a plan for cost sharing in the budget. (See below in Section II for the budget instructions.)

Eligibility
The Collaborative Research program accepts applications from both institutions and individuals without an institutional affiliation (who may apply as unaffiliated project directors). Note that all projects must include at least one collaborating scholar in addition to the project director.

The following types of applicants are eligible:

- U.S. nonprofit organizations with 501(c)(3) tax-exempt status;
- state and local governments;
- federally recognized Native American tribal governments; and
- unaffiliated project directors who are U.S. citizens.

The following types of applicants are ineligible:

- other federal agencies;
• for-profit institutions; and

• unaffiliated project directors who are not U.S. citizens.

Project directors affiliated with an eligible institution must apply through an institution, ordinarily their own institution. Applicant institutions may, however, designate a project director affiliated with another institution if that person is a leading scholar in a relevant field of study and wishes to receive research support through the applicant institution.

Only adjunct faculty, faculty at for-profit institutions, and scholars without an institutional affiliation may apply as unaffiliated project directors.

Degree candidates may not be project directors.

Project directors and co-directors may submit only one application to either the Collaborative Research or the Scholarly Editions and Translations program, but not both. They may, however, apply for other NEH awards, including Fellowships and Summer Stipends.

Note that project directors and co-directors of funded applications may not hold concurrent full-time awards from the NEH Division of Research Programs—for example an NEH Fellowship.

NEH generally does not award grants to other federal entities or to applicants whose projects are so closely intertwined with a federal entity that the project takes on characteristics of the federal entity’s own authorized activities. This does not preclude applicants from using grant funds from, or sites and materials controlled by, other federal entities in their projects. Such resources may not, however, be used as gifts to release NEH matching funds.

Late, incomplete, or ineligible applications will not be reviewed. Find answers to your eligibility questions in the Frequently Asked Questions, available on the program resource page.

Note that project participants (including the project director, when the application is submitted by an institution) need not be U.S. citizens or U.S. residents, so long as the applicant institution is eligible. However, at least 50 percent of grant funds must be used to support research conducted at U.S.-based institutions, research conducted by citizens of or residents in the U.S., or both.

NEH encourages submission of Collaborative Research applications from independent scholars and faculty at Hispanic-Serving Institutions, Historically Black Colleges and Universities, and Tribal Colleges and Universities.
II. Preparing and Organizing your Application

Resources for preparing a strong application

To prepare a strong application, applicants are encouraged to take the following steps:

- read these guidelines carefully, noting what information needs to be provided in the application;
- review the sample narratives, which are available on the program resource page;
- consult the program’s evaluation criteria, which are listed immediately below;
- read the Frequently Asked Questions, which are available on the program resource page;
- contact the program staff (at 202-606-8200 or collaborative@neh.gov) to discuss your project and raise any questions you may have about the application; and
- submit an optional draft proposal (by October 15, 2017), to which program staff will respond with suggestions and advice.

Applicants previously funded by NEH’s Collaborative Research program are encouraged to contact the Division of Research staff at 202-606-8200 or collaborative@neh.gov before submitting an application.

Applicants whose projects have received NEH support may apply for a grant for a new or subsequent stage of that project. These proposals receive no special consideration and will be judged by the same criteria as others in the grant competition. In addition, such applicants must substantially update their proposals and must include a description of the new activities and a justification of the new budget. Such applicants must also describe how the previously funded project met its goals.

Evaluation criteria

Applicants should read the program’s evaluation criteria (listed immediately below) and ensure that their applications respond to them.

Evaluators are asked to apply the following criteria in assessing applications:

1. **Significance:** The intellectual significance of the project to humanities scholars, general audiences, or both; the merit of the resulting interpretive study and publication; the project’s potential to stimulate new research; and its relevance to larger questions in the humanities.

2. **Work Plan and Method:** The clarity and feasibility of the work plan; the clarity of expression in the application; the appropriateness and feasibility of the research methods proposed to answer an explicit set of research questions; the appropriateness of digital and technical methods and services employed in the project; and the project’s ability to access the research site or materials.
3. Collaborators: The qualifications, expertise, and levels of commitment of the project director and collaborators, and the appropriateness and value of the collaboration for producing significant publications and resources for humanities audiences.

4. Publication Goals: The soundness of the publication, dissemination, and access plans, including the strength of the case for employing print, a digital format, or a combination of media; and the sustainability plan for digital projects.

5. Completion: The likelihood that the project goals will be completed within the stated time frame; and the reasonableness of the budget in relation to the proposed activities and plan of work. For previously funded applicants, the project’s productivity in relation to previous goals and accomplishments.

Before applying to the program, applicants are encouraged to contact program officers, who can offer advice about preparing the proposal and review preliminary proposal drafts. Applicants may submit by e-mail (collaborative@neh.gov) a draft of their proposal no later than October 15. **Do NOT submit your draft through Grants.gov.** A response cannot be guaranteed if the draft arrives later than October 15. Draft proposals are optional; submitting a draft enables an applicant to receive staff comments about the substance and format of the application. The more complete the draft, the more helpful the response can be. A draft proposal should include the statement of significance and impact, the narrative, and the budget.

Previously unsuccessful applicants are encouraged to submit draft proposals. The draft must take into account the comments by evaluators of the previous application. It must also explain in the draft the changes that were made in response to criticisms.

Staff comments on draft proposals are not part of the formal review process and have no bearing on the final outcome of the application, but previous applicants have found them helpful.

Once NEH has received a formal application, the staff will not comment on its status except with respect to questions of completeness or eligibility. No materials may be added to the application after the deadline.

**Application elements**
Your application must consist of the following parts.

1. **Table of contents** (one page)

   Provide a list of all parts of the application and corresponding page numbers.

2. **Statement of significance and impact** (one page) and **abstract** (one paragraph)

   **Statement of significance and impact:** provide a project statement written for a nonspecialist audience, stating the significance of the proposed work, its relation to larger issues in the humanities, and the impact of the project results on its intended audience and on future scholarship. State the publication goals and other expected
outcomes of the project. Submit the statement of significance and impact (but not the abstract—see below) as attachment 2 of the application.

**Abstract:** create a brief abstract describing the project, explaining the importance of the proposed work and its relation to larger issues in the humanities. The brief abstract may but need not be an abridgment of the statement of significance and impact. (If your application will be submitted by a grants officer at your institution, provide the grants officer with the brief abstract—along with the rest of the application materials.) The brief abstract is limited to a thousand characters, including spaces.

Do not append the abstract to the statement of significance and impact. Do not include the abstract in attachment 2 of the application. Instead the brief abstract must be included in the Project Description field of the Application for Federal Domestic Assistance – Short Organizational (or, for unaffiliated project directors, the Application for Federal Domestic Assistance for Individuals). These forms are part of the application package that must be submitted to Grants.gov.

3. **List of participants** (one page)

Provide a list, in alphabetical order, surnames first, of all collaborators and other participants in the project, designating the project director and if applicable the co-director or co-directors. A scholar of the proposed subject matter should serve as the project director and devote a significant percentage of time to work on the project. Include institutional affiliations for all participants. For those not affiliated with a nonprofit educational institution, provide occupation and employer; if none, list city and state of residence.

The names on this list must match the names mentioned in the Collaborators section of the project’s narrative description, as well as those listed in the budget. If necessary, after you list the participants, provide a separate list of advisory board members. Foreign nationals may participate in the project, and payments to them may be included in the budget. Note, though, that at least 50 percent of grant funds must be used to support research conducted at U.S.-based institutions, research conducted by citizens of or residents in the U.S., or both.

4. **Narrative** (maximum of 25 pages)

The narrative should not assume any specialized knowledge on the part of readers. It must be free of jargon and define field-specific terms.

The narrative must be introduced with a project title that describes the proposal and is composed for a nonspecialist audience. The project title must be no more than 125 characters.

Following a brief introduction to the subject, the narrative should focus on the intellectual justification for the project, the research and publication goals, and the work
plan to achieve them. Applicants should write their proposals with the evaluation criteria in mind, describing the project’s intellectual significance, research questions and method, qualifications of collaborators, publication plan, and a schedule for completing the project—both for the proposed grant period and the overall life of the project, if it exceeds three years.

Narratives are limited to **twenty-five** double-spaced pages. All pages should have one-inch margins, and the font size must be Times New Roman eleven or twelve point. *Applications with narratives that do not follow this formatting will be rejected.* See the instructions for the appendices section below for information on providing supplementary material.

Provide a detailed project description consisting of the following sections.

- **Substance and context** (about five pages)

  Provide a clear and concise explanation of the project and its value to humanities scholars and general audiences, where appropriate. Describe the scope of the research and the source materials. Discuss the relationship of the research to other published and ongoing work in the field or the humanities generally, and the major research questions to be addressed. Include a bibliographical essay that situates the project in relation to the existing relevant literature (the corresponding bibliography of relevant primary and secondary sources forms one of the appendices).

- **History of the project and its productivity** (about three pages)

  Provide a history of the project to date, if you have previously been working on this topic or related topics. Explain how the project began and its progress to date. Describe any research or planning that has already been completed, and the resources or research facilities available.

  In table format list the project’s previous print or digital products with dates of publication, if any; where applicable, the list must indicate the publisher, print or production runs, and usage statistics.

  If you are proposing an archaeological excavation and resulting publications, list the major field reports and interpretive studies of the site that have been published.

  If the project has a website, provide its URL.

  If the application requests support for part of a larger project, describe the overall design of the whole project and clearly delineate the specific part intended for NEH funding through this application.
If work on the larger project will continue after the proposed grant period, applicants should describe the work that will remain (including a realistic date of completion for the entire project) and the probable sources of financial support for it. For long-term projects, provide a provisional plan for overall completion, including milestones with dates.

Applications submitted for projects that have previously received NEH funding must

- be substantially updated, including a description of the new activities and a justification of the new budget request;
- discuss how the previously funded project met, or did not meet, its goals according to its original or (if appropriate) revised work plan;
- include a table with appropriate dates, comparing the stated goals with actual accomplishments during the period of the most recent NEH grant, and listing any changes that occurred; and
- provide an estimated date of completion for the entire project.

Applications submitted for projects that will not be completed during the proposed grant period must describe how they will address succession in project leadership.

o Collaborators (about three pages)

Describe the responsibilities and qualifications of the project director and all collaborators who would work on the project during the proposed grant period, regardless of whether NEH funds are requested to support their participation. Describe their responsibilities and qualifications. State anticipated commitments of time for the project director and all collaborators who would be funded by NEH. Explain the reasons for and nature of their participation. Project directors must devote a significant portion of their time to their projects. Provide résumés of the principal collaborators and all those funded by NEH (maximum of two pages each) in an appendix.

For collaborators providing scientific and conservation work or other laboratory analysis, explain how their activities are important for achieving the project’s goals and answering humanistic questions. Support for such work is limited to 10 percent of the total funding requested from NEH; applicants are encouraged to cost-share these activities with non-NEH funds.
• Methods and execution (about seven pages)

For all applicants:

Explain how the proposed methodology corresponds to the project’s interpretive and publication goals.

State the central research questions and explain how the proposed methods address them.

For applicants requesting Convening grants (Type 1):

Describe the convening event(s) and how it or they contribute(s) to the preparation of the planned publication or resource. Explain why face-to-face meetings are the best format for collaboration and achieving the project’s goals. Describe the venue(s); the sponsorship where appropriate; the housing of participants; advertising; the expected audience; and whether attendance is open or by invitation.

List the participants, noting whether they are confirmed or not (see below for the instructions for the Appendices section of the application) and, where appropriate, how they were selected. NEH expects that participants will have diverse points of view, that the conference will be widely advertised, and that a wide variety of scholars will be invited to attend.

Proposals for a convening meeting or meetings or a conference must include:

• the URL for the conference website, if it already exists;

• an agenda, including the titles of key papers and the names of their authors and any commentators; and

• a discussion of how some portion of the meeting(s) or conference will be opened to the public or members of an intellectual community that is broader than the invited attendees.

For applicants requesting Publication grants (Type 2):

Explain why the collaboration is essential to answer the proposed research questions and topics. Describe how collaboration will take place and the division of labor to produce the planned publication. Discuss any remaining research to be undertaken with and without travel by the collaborators.
Discuss both the media chosen for the final product (print volumes, digital materials, or a combination), and the reasons for this choice. Provide a detailed chapter outline or content description of the publication or resource.

Digital projects must describe the organization and contents of the site on which they would appear, providing screenshots and URLs whenever possible. Explain the reasons for and advantages of employing digital methods. Describe the technology to be used (hardware and software) and how it will facilitate the project. Where appropriate, provide information on pertinent technical standards and employing best practices. Describe the digital partners who will participate on the project and their activities. Discuss the methods for enhancing discoverability of the digital resource or content to aid the project’s dissemination.

For applicants requesting Archaeology grants (Type 3):

- Discuss the appropriateness of the methodology, including a clear, explicit discussion of the links between the project’s interpretive questions, the data, and the methods of collection and analysis.

- Applicants proposing to conduct excavations in the United States must also submit (in the appendices) the following additional information (described more fully in the Appendices section below, and in the Additional Information document) to comply with the Davis-Bacon Act, the Americans with Disabilities Act (ADA), and Section 106 of the National Historic Preservation Act (NHPA).
  - Affirmation that the project will comply with the Davis-Bacon Act and the ADA.
  - A copy of the request submitted to the State Historic Preservation Officer (SHPO) and/or the Tribal Historic Preservation Officer (THPO) for a written determination of the project’s impact, along with all supporting materials, including
    - a description of the project;
    - a map, photograph, or drawing clearly demarcating the project’s Area of Potential Effects (APE);
    - descriptions of all properties in the APE that are listed in the National Register of Historic Places or might be eligible for listing there;
    - a description of the project’s effects on historic properties;
- an explanation of why the criteria for an adverse effect were found applicable or inapplicable, including any conditions or future actions that might avoid, minimize, or mitigate adverse effects; and

- contact information for the person in the SHPO/THPO office who will be assisting NEH with its review.

For applicants requesting Publication or Archaeology grants that propose to develop, acquire, preserve, or enhance geospatial data:

You must conduct a due diligence search at the Data.gov list of datasets to discover whether the needed geospatial-related data, products, or services already exist. If not, you must produce the proposed geospatial data, products, or services in compliance with applicable proposed guidance posted at http://www.fgdc.gov. For further information on this requirement, please see Article 34 of the General Terms and Conditions for Awards.

- **Work plan** (about two pages)

  The work plan must be consistent with the work described in both the “Collaborators” section of the narrative and the budget.

  - Describe what will be accomplished during each three-month period for Convening grants, or during each six-month period for Publication and Archaeology grants.

  - Name all collaborators involved in the project during each three- or six-month period and describe their specific tasks for each period, including approximate time commitments in percentages or days.

- **Final product and dissemination** (about three pages)

  Convening grants (Type 1):

  Publication is not expected by the end of the grant period, but the application should describe publication and dissemination goals and timelines. Where appropriate, describe how information about the meetings themselves will be disseminated (for example, through recordings of the sessions or various forms of digital dissemination such as posted papers, podcasts, blogs, and discussion boards).

  Publication grants (Type 2):

  Submission to a publisher is expected by the end of the grant period. Discuss publication arrangements, publicity plans, estimated prices, and user costs for both print and digital publication. Include pertinent correspondence with a print or digital publisher in the appendices. If the project involves materials under
copyright, indicate your plans for securing the necessary permission to publish. Any supporting documents must also be included in the appendices.

Archaeology grants (Type 3):

Publication plans are expected by the end of the grant period. Provide a list and timetable for the publication of field reports as well as interpretive essays, articles, and books with their prospective authors and publishers. See also the instructions for Publication grants.

NEH expects grantees to provide broad access to all grant products, insofar as the condition of the materials and intellectual property rights allow. For this program, anticipated products include books, articles, edited volumes, and digital publications and resources. NEH strongly encourages projects that offer free public access to digital products and datasets. All other considerations being equal, NEH will give preference to projects that provide free access to materials produced with grant funds. NEH does not support costs paid to publishers and does not provide publication subventions.

NEH expects that any materials produced in digital form as a result of its awards will be maintained so as to ensure their long-term availability. To that end, describe how the project’s digital results will be maintained and supported beyond the period of the grant. Provide information on the ability and commitment of the hosting institution to ensure sustained access to collections or digital materials, as well as the project’s financial sustainability. Provide details on data management and digital preservation infrastructure and policies. Provide usage statistics (if available) for existing open access websites. For sites that do not grant open access, provide the number of subscribers.

5. Project budget

Using the instructions and the sample budget, complete the budget form (MS Excel format) or a format of your own that includes all the required information. (You can find links to the budget instructions, sample budget, and budget form on the program resource page.) You can customize the form to suit your project. Include any amounts for subcontracts.

The primary NEH budget form and any subcontracts in which NEH funds are requested should contain only those expenses that the applicant is asking NEH to support. List the amounts of all other expenses that are cost-shared by the applicant or by subgrantees, or funded by other third-party sources on separate, secondary spreadsheets. The secondary spreadsheets should account for all project-related expenses included in the “cost-sharing” or “third-party” expenses on the primary NEH budget form. Budget forms and spreadsheets should be labelled to make it clear which is the primary budget form and which are secondary budget forms.

Include all in-hand and anticipated funding and cost-sharing. Enter explanations for any unusual circumstances directly on the form. Include complete budget forms for all subcontracts to other institutions. Project costs that are not detailed or clearly explained as line items on the budget and not listed on any subcontracts will not be funded.
Budget instructions details:

In addition to the general budget instructions (which are available through a link on the program resource page), the following are specific instructions about allowable costs for the Collaborative Research grant program:

1. Salaries and Wages
Report project activity to be supported as a percentage of time for each year of the project. The percentage of time allocated to the project should match what is stated in the narrative. List all collaborators here, including those performing scientific analysis, rather than as consultants (item 3). Graduate students may be compensated either for their work on the project as wages; alternatively, they may receive funds toward tuition remission as compensation for their work. They may not, however receive both.

2. Fringe Benefits
There are no specific instructions beyond those found in the general budget instructions.

3. Consultant Fees
Consultant fees may be requested to cover advisory collaborators, consultation with humanities scholars, native consultants, state and local historic preservation advisors, and any other non-technical advisors to be consulted on an ad hoc basis. Funding to pay for all other consultants for technical analysis is capped at 10 percent of the total NEH request.

4. Travel Costs
Calculate per diem amounts for meals and lodging using standard GSA rates. The costs for activities in foreign countries should be based on what those costs historically have been. Travel to regularly occurring professional meetings cannot be supported with NEH funds.

5. Supplies and Materials
Services, equipment, supplies, and materials are capped for this program at $10,000. The NEH budget should not include computers or laboratory equipment. All other necessary technical or scientific expenses that exceed $10,000 should be cost-shared or funded by third parties.

6. Services
Services, equipment, supplies and materials are capped for this program at $10,000. The NEH budget should not include computers or laboratory equipment. The costs of project activities to be undertaken by a third-party contractor (rather than a collaborator or consultant) should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be provided in an attachment. If there is more than one contractor, each must be budgeted separately on the NEH form and must have an attached itemization. You may include the cost of duplication and printing, long distance telephone calls, equipment rental, postage, and other services directly related to project objectives that are not included under other budget categories or as indirect costs.
Unallowable Expenses:
Among other unallowable expenses, NEH does not support travel to annual professional conferences, meals at conferences and/or receptions (except as per diem expenses), professional development, field schools, technical services that exceed 10 percent of the total NEH request, lab or computer equipment, and publication subventions. Do not include such expenses on the NEH budget. You may, however, use cost sharing to pay for them.

Indirect Costs:
For institutional applicants only: If the applicant institution is claiming indirect costs and has a federally negotiated indirect-cost rate agreement, submit a copy of the agreement. Do not attach it to your budget form. Instead you must attach it to the Budget Narrative Attachment Form (also known as the Budget Narrative File). (See the instructions for this form in the Application Checklist near the end of this document.) Alternatively, you must attach a statement to the form, explaining a) that the applicant institution is not claiming indirect costs; b) that the applicant institution does not currently have a federally negotiated indirect-cost rate agreement; or c) that the applicant institution is using the government-wide rate of up to 10 percent of the total direct costs, less distorting items (including but not limited to capital expenditures, participant stipends, fellowships, and the portion of each subgrant or subcontract in excess of $25,000).

Additional information about indirect costs is available in the main budget instructions document, which you can find on the program resource page.

6. Appendices (maximum of 35 pages—except for U.S. archaeology projects)

Use appendices to provide essential supplementary materials. Appendices must not exceed thirty-five pages (not counting the information that U.S. archaeology projects must submit to comply with Section 106 of the NHPA). Applications with appendices exceeding the page limit will be rejected.

Appendices must include the following:

- brief two page résumés for each principal project participant, with mailing addresses and e-mail addresses, and listings of the highest degree earned, the name of the institution awarding the degree, professional positions held, institutional affiliations, and major publications.

- a bibliography of relevant primary and secondary sources.

- samples, when applicable, such as web pages, screenshots, questionnaires, selection principles, or site maps.

- for meetings and conferences, the proposed program and e-mail messages or letters of commitment from participants.
• for archaeology projects, appropriate plans, maps, and photographs, as well as evidence that all necessary permits will be forthcoming.

• As noted earlier, applicants proposing archaeological field work in the United States must also supply additional information to comply with Section 106 of the NHPA. Specifically, they must provide a copy of the request submitted to the State Historic Preservation Officer and/or Tribal Historic Preservation Officer for a written determination of the project's impact, together with all supporting materials listed above. (See above for the instructions for applicants proposing archaeology projects, in the "Methods" section of the instructions for the narrative.) Applicants proposing U.S. archaeology projects must also comply with the Davis-Bacon Act and the Americans with Disabilities Act. You can find more information about complying with these requirements in the Additional Information document.

Appendices should also include the following, when applicable:

  o permissions to publish materials under copyright;
  o letters of support from archives or other research venues;
  o contracts or letters of interest from print or digital publishers; and
  o a summary of results from previous grants, limited to essential information.

Do NOT include letters of recommendation or assessments of previous applications.

7. **Statement of funding received and requested** (one to two pages)

   If the project has received previous support from any federal or nonfederal sources, including NEH; is currently receiving such support; or is applying for or planning to apply for such support, provide a one- to two-page list of the sources, dates, and amounts of these funds. List the NEH grants already received, year by year. Include fellowships and individual awards received by project participants. If there is a long history of support, the sources and contributions may be grouped and summarized.

**III. Submitting your Application**

To be able to submit an application, applicants must have registered with Grants.gov and must have an updated Entity record in the System for Award Management (SAM). More detailed information is immediately below.

All applications to this program must be submitted via Grants.gov. NEH strongly recommends that you complete or verify your registration at least two weeks before the
application deadline, since it takes time to process your registration. (Institutional applicants must apply through an institution that has registered with Grants.gov; unaffiliated project directors must themselves have registered with Grants.gov to be able to apply.)

The Federal Funding Accountability and Transparency Act (FFATA) requires federal agencies to make information about the expenditure of tax funds available to the public. To facilitate this, the applicant organization must maintain current information in its Entity record in the System for Award Management (SAM). You must therefore review and update the information in your organization’s Entity record at least annually after the initial registration, and more frequently if required by changes in your organization’s information or another award term. In order for your organization to apply for an award via Grants.gov, receive an award, or receive payment on an award, the information in its Entity record must be current. You can update your organization’s Entity record here. You may need a new SAM User Account to register or to update your organization’s Entity record. NEH strongly recommends that applicant organizations update (or, if necessary, create) their SAM Entity records at least four weeks before the application deadline. (Note that this requirement pertains only to institutional applicants, not to unaffiliated project directors.)

The application must be submitted to Grants.gov. Links to the Grants.gov application package and instructions (for both institutional applicants and unaffiliated project directors) for preparing and submitting the package can be found on the program resource page.

Be sure to read the document (PDF) that explains how to confirm that you successfully submitted your application. It is your responsibility as an applicant to confirm that Grants.gov and subsequently NEH have accepted your application.

Deadlines for submitting optional draft proposals and applications

Submission of draft proposals is optional. Program staff recommends that draft proposals be submitted no later than October 15. Time constraints may prevent staff from reviewing draft proposals submitted after that date.

Applications must be received by Grants.gov by 11:59 P.M., Eastern Time, on December 6, 2017. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after that date will not be accepted.

IV. What Happens After the Submission of an Application

Review and selection process
Knowledgeable persons outside NEH will read each application and advise the agency about its merits. NEH staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH chairman on grants. The chairman takes into account the advice provided by the review process
and, by law, makes all funding decisions. More details about NEH’s review process are available [here](#).

Prior to making an award, NEH will conduct a risk assessment of successful applicants, consistent with Uniform Guidance §200.205. (See the second paragraph below the next heading for more information about the Uniform Guidance provided by the Office of Management and Budget.) This assessment guards against the risk that federal financial assistance might be wasted, used fraudulently, or abused. Based on its risk assessment, NEH will include in the award documents specific conditions designed to mitigate the effects of the risk.

**Information for all applicants and for successful applicants**

Applicants will be notified of the decision by e-mail in August 2018. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail in September 2018. Award documents will identify the relevant terms, conditions, and administrative requirements that pertain to successful applications. The Grant Management section of the NEH website outlines all the responsibilities of award recipients, including anti-lobbying restrictions, in great detail. Applicants may obtain the evaluations of their applications by sending an e-mail message to collaborative@neh.gov.

In September 2015 NEH adopted without exception a new government-wide regulation for federal awards, referred to as the “Uniform Guidance.” The Uniform Guidance applies to all NEH awards and is aimed at reducing the administrative burden on award recipients and improving accountability of federal financial assistance for tax payers. (See 2 C.F.R. Part 200: [UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS](#).) NEH will identify in each grantee’s award documents the relevant terms, conditions, and administrative requirements from the Uniform Guidance with which the grantee must comply.

Help NEH eliminate fraud and improve management by providing information about allegations or suspicions of waste, fraud, abuse, mismanagement, research misconduct (fabrication, falsification, plagiarism), or unnecessary government expenditures, during the period of award performance, to the NEH Office of the Inspector General. You can find details on how to report such allegations and suspicions [here](#).

**V. Additional Information**

**Contact information for the program and Grants.gov**

If you have questions about the program, contact NEH’s Division of Research Programs at 202-606-8200 and collaborative@neh.gov.

Grants.gov: [www.grants.gov](http://www.grants.gov)
Grants.gov help desk: support@grants.gov
Grants.gov training documents and videos:  
https://www.grants.gov/web/grants/applicants/applicant-training.html

Grants.gov support line: 1-800-518-GRANTS (4726)

Privacy policy

Information in these guidelines is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.

Application completion time

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates that on average it takes fifteen hours to complete this application. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed, and completing and reviewing the application.

Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the completion time, to the Chief Guidelines Officer, at guidelines@neh.gov; the Office of Publications, National Endowment for the Humanities, Washington, D.C. 20506; and the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number.

APPLICATION CHECKLIST

- Verify and if necessary update your institution’s Entity record, or create an Entity record for your institution, at the System for Award Management (SAM). Complete at least four weeks before the deadline. This requirement applies only to institutional applicants, not to unaffiliated project directors.

- Verify your institution’s registration (or, for unaffiliated project directors, your individual registration) or register your institution (or, for unaffiliated project directors, yourself) with Grants.gov. Complete at least two weeks before deadline.

- Download the application package from Grants.gov, or access it through Grants.gov Workspace. The program resource page on NEH’s website has a direct link to the package. You can also search Grants.gov for this program. (Note that
Grants.gov tells you to download the “application instruction” as well as the “application package.” The “application instruction” is this document, so there’s no need to download it.) The program resource page also has a direct link to the instructions for completing the package.

Complete the following forms contained in the Grants.gov application package.

1. Application for Federal Domestic Assistance - Short Organizational (or, for unaffiliated project directors, Application for Federal Domestic Assistance for Individuals) Insert the brief abstract that you created (see above for the instructions for application element 2) in part 6 of the form.

2. Supplementary Cover Sheet for NEH Grant Programs

3. Project/Performance Site Location(s) Form (required only for institutional applicants; unaffiliated project directors do not fill out this form)

4. Attachments Form—Using this form, attach the parts of your application as described in the guidelines:

   ATTACHMENT 1: Table of contents (name the file “contents.pdf”) (1 page)

   ATTACHMENT 2: Statement of significance and impact (name the file “statement.pdf”) (1 page and 1 paragraph)

   ATTACHMENT 3: List of project participants (name the file “participantslist.pdf”) (1 page)

   ATTACHMENT 4: Narrative (name the file “narrative.pdf”) (limited to 25 pages, including the following elements):

   - Substance and context
   - History and duration of the project
   - Collaborators
   - Methods
   - Work plan
   - Final product and dissemination

   ATTACHMENT 5: Budget (name the file “budget.pdf”)

   ATTACHMENT 6: Appendices (name the file “appendices.pdf”) (limited to 35 pages, not counting the information that U.S. archaeology projects must submit to comply with section 106 of the NHPA. Include the following elements, as appropriate):

   - Participant résumés and contact information
   - A bibliography of relevant primary and secondary sources
   - For convening grants only, e-mail messages or letters of commitment from participants and the proposed program
□ For archaeology grants only, appropriate plans, maps, and photographs, evidence that permits will be forthcoming, and (for U.S. archaeology projects only) a copy of the request submitted to the State Historic Preservation Officer and/or Tribal Historic Preservation Officer for a written determination of the project’s impact, together with all supporting materials
□ Permissions to publish materials under copyright
□ Letters of support from archives or other research venues
□ Contracts or letters of interest from publishers
□ Samples (for example, web pages, screenshots, questionnaires, selection principles or site maps)
□ A summary of results from previous grants

ATTACHMENT 7: Statement of funding received and requested (name the file “funding.pdf”) (1-2 pages)

5. Budget Narrative Attachment Form (also known as the Budget Narrative File) (required only for institutional applicants; unaffiliated project directors do not use this form)—Using this form, attach only a copy of your institution’s current federally negotiated indirect-cost rate agreement (or an explanation why you are not attaching such an agreement). (See the Grants.gov instructions for institutional applicants, which are available on the program resource page, for additional information.)

Do not attach your application budget to the Budget Narrative Attachment Form; instead you must attach it to the Attachments Form (see above in the Application Checklist), as attachment 5.

Your attachments must be in Portable Document Format (.pdf). We cannot accept attachments in their original word processing or spreadsheet formats. If you don’t already have software to convert your files into PDFs, many low-cost and free software packages will do so. You can learn more about converting documents into PDFs here.

Upload your application to Grants.gov. NEH strongly suggests that you submit your application no later than 5:00 p.m. Eastern Time on the day of the deadline. Doing so will leave you time to contact the Grants.gov help desk for support, should you encounter a technical problem of some kind. The Grants.gov help desk is now available seven days a week, twenty-four hours a day (except on federal holidays), at 1-800-518-4726. You can also send an e-mail message to support@grants.gov. For purposes of verification, keep a record of any communication with Grants.gov, including a case number if it is assigned.

Be sure to read the document (PDF) that explains how to confirm that you successfully submitted your application. It is your responsibility as an applicant to confirm that Grants.gov and subsequently NEH have accepted your application.
TIMELINE

Until December 6, 2017: Contact Division of Research Programs program officers (at 202-606-8200 or collaborative@neh.gov) with questions and for advice (optional)

October 15, 2017: Submit draft application (optional) by this date

November 8, 2017: Create or verify your institution’s Entity record at the System for Award Management by this date (applies only to institutional applicants)

November 22, 2017: Register your institution (or verify its registration) with Grants.gov by this date (unaffiliated project directors must register themselves or verify their registration by this date)

December 6, 2017: Submit application through Grants.gov by this date

March-April 2018: Peer review panels take place

July 2018: meeting of the National Council on the Humanities, followed by funding decisions

August 2018: applicants are notified of the funding decisions

September 2018: institutional grants administrators and project directors of successful applications receive award documents by e-mail

October 2018: successful applicants may begin work on their projects as early as this date

September 2019: successful applicants must begin work on their projects no later than this date