



NATIONAL ENDOWMENT FOR THE
Humanities

DIVISION OF RESEARCH PROGRAMS

COLLABORATIVE RESEARCH GRANTS

Deadline: December 7, 2016 (for projects beginning as early as October 1, 2017, and as late as September 1, 2018). Applicants will be notified of the decision by e-mail by August 31, 2017.

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.

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I. Program Description

Collaborative Research Grants support *interpretive humanities research* undertaken by two or more collaborating scholars, for full-time or part-time activities for periods of one to three years. Support is available for various combinations of scholars, consultants, and research assistants; project-related travel and archival research; field work; and technical support and services. All grantees are expected to disseminate the results of their work to the appropriate scholarly and public audiences.

Eligible projects include

- research that significantly adds to knowledge and understanding of the humanities;
- conferences on topics of major importance in the humanities that will benefit scholarly research; and
- archaeological projects that emphasize interpretation, data reuse, and dissemination of results.

Sample narratives from successful grant applications are available on the [program resource page](#).

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 the Collaborative Research program, such products may include monographs, excavation reports, multi-authored volumes, and digital materials. 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 III).

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.

Collaborative Research Grants may not be used for

- projects undertaken by individuals without collaboration;
- editions or translations (see the note below);
- projects that seek to promote a particular political, religious, or ideological point of view;
- projects that advocate a particular program of social action;
- specific policy studies;
- educational, curricular, or technical impact assessments;
- research in educational methods, tests, or measurements, or any projects primarily intended for students in formal learning environments;
- professional development or training;
- support for the preparation or publication of textbooks;
- planning or putting on exhibitions;
- inventories of collections;
- development of tools, including digital tools, databases, visualizations, or maps, or any materials analysis whose primary goal is refinement of a method, unless the development contributes substantially to the larger interpretive goals of the project, coincides with research activities, and involves interpretive analysis of the data;
- creation or enhancement of databases, unless the database contributes to the larger interpretive goals of the project;
- archaeological projects that focus on scientific fieldwork and analyses without humanistic interpretation;
- projects in cognitive psychology;

- collection of oral history interviews or ethnographic research, unless accompanied by humanities research that is interpretive;
- recurrent meetings of professional organizations, societies, and scholarly organizations;
- the organization of more than one conference;
- works in the creative and performing arts (for example, painting, writing fiction or poetry, dance performance);
- producing secondary work in languages other than English; or
- publication subvention or other publication costs.

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 at publicpgms@neh.gov.

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>.

The Common Good: The Humanities in the Public Square

NEH invites projects related to its initiative, [The Common Good: The Humanities in the Public Square](#). This initiative seeks to connect the study of the humanities to the current conditions of national life. Many of today's challenges require more than ever the forms of understanding and knowledge represented by the humanities. They require the broadest possible engagement of scholars and the public with the resources of the humanities, including but not limited to the study of language, literature, history, philosophy, comparative religion, and ethics. The study of the humanities can help illuminate the complexity of many contemporary challenges while enriching our understanding of the common good.

Note that the Common Good initiative incorporates the [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](#).

Science, technology, and society

The Division of Research Programs encourages projects that involve collaborations between humanities scholars and scientists to advance understanding of the effects of science and technology on society. The Division especially encourages projects that explore the nature of scientific discovery and its technological applications, as well as the social and cultural significance of recent advances in information and biomedical technologies.

Projects might, for example, probe the historical and socioeconomic conditions associated with the spread of diseases; examine the reception and impact of scientific studies and information historically or currently; assess the social effects of changing modes of energy production; undertake a historical study of privacy laws and regulations; or analyze how technological innovation affects specific sectors of the economy and society or the culture more generally.

Project directors must be humanities scholars, and the projects must employ humanities methods; project co-directors may come from other disciplines. Projects that do not contain significant humanities content will not be reviewed.

All applications will be given equal consideration in accordance with the program's evaluation criteria, whether or not they respond to the Common Good initiative or the Standing Together initiative, seek to protect lost or imperiled cultural heritage materials, or examine the effects of science and technology on society.

Award information

Awards are made for one to three years and rarely exceed \$100,000 per year. Awards for conferences do not exceed \$65,000 per grant. 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 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 nonfederal gift money raised from 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. Previously funded projects seeking further support should expect a progressively larger share of the costs to be assumed by the host institution or third parties.

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 collaborator in addition to the project director.

The following types of applicants are eligible:

- U.S. nonprofit organizations with IRS tax-exempt status;
- state and local governments;
- federally recognized Indian tribal governments;
- unaffiliated project directors who are U.S. citizens; and
- unaffiliated project directors who are not U.S. citizens but have been living in the United States or its jurisdictions for at least the three years immediately preceding the application deadline.

The following types of applicants are ineligible:

- other federal agencies;
- for-profit institutions; and
- foreign nationals (who would be applying as unaffiliated project directors) who have not been living in the United States or its jurisdictions for at least the three years immediately preceding the application deadline.

Project directors affiliated with an eligible institution must apply through an institution, ordinarily their own 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.

Project directors and co-directors of funded applications may not hold concurrent awards from the NEH Division of Research Programs.

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: 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.

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 the **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, 2016), to which program staff will respond with suggestions and advice.

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. The intellectual significance of the project, including its value to humanities scholars, general audiences, or both; the merit of the resulting interpretive study and its potential to stimulate new research; its relationship to larger themes in the humanities; and the significance of the material on which the project is based.
2. The clarity of the research questions being posed, the appropriateness of research methods or conference design; the appropriateness of the technology employed in the project; the feasibility of the work plan; and the appropriateness of the field work to be undertaken, the archival or source materials to be studied, and the research site.
3. The qualifications, expertise, and levels of commitment of the project director and collaborators, and the appropriateness and value of the collaboration.
4. The soundness of the dissemination and access plans, including benefit to the audience identified in the proposal and the strength of the case for employing print, a digital format, or a combination of media; the sustainability of the print and/or digital dissemination. For projects producing digital materials, all other considerations being equal, NEH will give preference to those that provide free access to materials produced with grant funds.
5. The likelihood that the proposed project 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, and the clarity of the application's account of work completed in relation to the project's previous goals and of the work to be accomplished during the grant period.

As noted earlier, before they submit a proposal 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.

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.

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)

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.

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

Provide a list, in alphabetical order, surnames first, of all participants and collaborators on the project, designating the project director and if applicable the co-director. NEH expects the lead scholar on the project (not an institutional administrator) to serve as the project director. The project director must also devote a large percentage of time to work on the project. Include any institutional affiliations for all listed participants. For those who are 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. After you list the participants, provide a separate list of advisory board members, if any. Foreign nationals may participate in the project, and payments to them may be included in the budget.

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

In the narrative applicants must provide an intellectual justification for the project and a work plan. Applicants should write their proposals with the evaluation criteria in mind, describing the project's intellectual significance, research questions and method, qualifications of collaborators, dissemination plan, and the likelihood of completion. The narrative should not assume any specialized knowledge on the part of readers, and it must be free of jargon.

The narrative must be introduced with a project title that describes the proposal. The project title must be no more than 125 characters, and it should be informative to a nonspecialist audience.

Narratives are limited to **twenty-five** double-spaced pages. *Applications with narratives that exceed the page limit will be rejected.* All pages should have one-inch margins, and the font size should be no smaller than Times New Roman eleven point. *Applications with narratives that do not follow this formatting will also be rejected.* Use appendices to provide supplementary material.

Provide a detailed project description consisting of the following sections.

- *Substance and context* (about ten pages)

Provide a clear and concise explanation of the project and its value to scholars, students, and general audiences in the humanities. Describe the scope of the research, the source materials, the relationship of the research to other published and ongoing work in the field, and the major research questions to be addressed. Include a bibliographical essay that situates the project with regard to the existing relevant literature (and a bibliography of relevant primary and secondary sources in an appendix).

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

Provide a history of the project to date. Explain how the project began, its progress, and its estimated date of completion. Describe any research or planning that has already been completed, and the resources or research facilities available.

In table format list any print or digital products with dates of publication; when applicable, the list must indicate the publisher, print or production runs, and usage statistics.

If the project has a website, provide its URL.

Provide reviews of the most recent products in an appendix. If an archaeological excavation is proposed, list publications of previous field reports and interpretive studies of the site.

If the application requests support for only 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 that work. If the estimated date of completion for the larger project is more than seven years from the date of this application, applicants should demonstrate that the work being proposed is organized and planned to yield freestanding results if the larger project is not completed.

Applications submitted for projects that have previously received funding from this program 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; and
 - 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.
- *Collaborators* (about three pages)

Name 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 in the project. Describe their responsibilities and qualifications. State anticipated commitments of time for the project director and all collaborators, and 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 (maximum of two pages each) in an appendix.

- *Methods* (about four pages)

For all applicants:

Explain how the project's interpretive goals correspond to the proposed methodology.

- Explain how central research questions will be approached and how any potential difficulties in working with primary source materials will be resolved.
- Describe in detail the tasks to be undertaken and the digital technology to be employed, indicating what resources will be required, as well as the experience of the collaborators with the technology and its application to humanities scholarship. If your project involves a large amount of data, describe your plan to manage the data.

For applicants proposing a conference:

To receive support in this program, conferences must address significant issues or new directions in a humanities discipline or a combination of disciplines. The

conference may be responding to a critical juncture in research on a particular topic; the availability of new data or materials; or the need to assess recent developments that affect future directions for research. 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. An application may propose only a single conference. NEH funds support the organization and hosting of the conference, as well as the dissemination of its results. NEH funds do not support additional research activities by the conference participants.

Proposals must include

- clearly focused research questions, whose significance is explained;
- an explanation of why a conference is the best forum for addressing these questions;
- the URL for the conference website, if it already exists;
- a discussion of the plans to disseminate the results of the conference to the broadest possible audience (specifically including those who did not attend the conference), and where appropriate plans for digital components or activities;
- a description of the facilities to be used for holding the conference and housing participants;
- an agenda, including the titles of key papers and the names of their authors and any commentators; and
- an explanation of how presenters have been (or will be) selected.

For applicants proposing field work:

- 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.

For applicants proposing archaeology projects:

- 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 proposing the development, acquisition, preservation, or enhancement of 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](#).

For applicants employing digital technology:

Indicate not only *what* technical specifications are to be used, but also *how* they will facilitate the project. In particular, provide the following information:

- provide information on the technology to be used, and how the technology will facilitate the project, including the hardware and software to be used;
- provide information on the digital partners who will participate in the project (whether they work at your own institution or are outside contractors) and their activities;
- discuss the preparations for and implementation of data processing (for example, digital capture, data entry, optical character recognition, or conversion from another digital format);
- discuss the production, preservation, and distribution formats, levels of resolution, compression, image enhancement, and the accuracy of textual conversion or transcription;
- discuss the provisions for ensuring quality control;
- discuss the schema for descriptive, administrative, and preservation metadata and controlled vocabularies;
- discuss the system(s) used to manage and present digital content, including pertinent features for facilitating end use; and
- discuss the methods for enhancing discoverability, via search engine optimization and open data harvesting and/or inclusion in an aggregated resource such as a digital library, cooperative portal, or clearinghouse.

Discuss the sustainability of digital content

- 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.
- In addition to pertinent technical specifications on open standards, markup conforming to the Text Encoding Initiative (TEI), and employing best practices in the creation of digital materials, provide details on data management and digital preservation infrastructure and policies, such as repository system capabilities, storage requirements and capacity, migration or emulation strategies, and collaborative or third-party arrangements, if any.
- Provide usage statistics (if available) for existing open access websites.

- For sites that do not grant open access, provide the number of subscribers.
- *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 six-month period.
 - Name all collaborators involved in the project during each six-month period and describe their specific tasks.
- *Final product and dissemination* (about three pages)

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, such products may include monographs, excavation reports, multi-authored volumes, and digital materials. Although grants may be used to support the preparation of print publications, NEH strongly encourages projects that offer free public access to digital material. For projects producing digital materials, all other considerations being equal, NEH will give preference to projects that provide free access to materials produced with grant funds.

Projects that focus on developing tools (including digital tools, databases, visualizations, or maps) without producing their own substantive interpretive scholarship are not eligible in this program. (See above for the bulleted list of types of projects that may not receive Collaborative Research grants, in the Program Description section of the guidelines.)

Discuss publication arrangements, publicity plans, estimated prices, and user costs for both print and digital publication. You must include any 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.

Discuss both the media chosen for the final product (print volumes, digital materials, or some combination), and the reasons for this choice.

- Projects proposing print publications must describe the organization and content of the final product.
- Projects proposing digital materials must describe the organization and contents of the site on which they would appear, providing screenshots and URLs whenever possible.
- Projects proposing conferences must describe how the conference results will be made accessible to the broadest public audience. For example, the

results might be disseminated through print publications, public lectures, recorded sessions, and various forms of digital dissemination such as posted papers, podcasts, blogs, and discussion boards.

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. Enter explanations for any unusual circumstances directly on the form. Include any subcontracts. Note that budgets cannot include expenses for travel to professional conferences, meals at conferences, professional development, and publication subventions.

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).

Indirect costs are computed by applying a negotiated indirect-cost rate to a distribution base (typically a portion of the direct costs of the project). If the applicant institution is claiming indirect costs and has a current federally negotiated indirect-cost rate agreement, include on the budget form the following information: a) the indirect-cost rate; b) the federal agency with which the agreement was negotiated; and c) the date of the agreement.

If the applicant institution does not have a current federally negotiated indirect-cost rate or has not submitted a pending indirect-cost proposal to a federal agency, you may choose one of the following options, if you wish to include overhead charges in the budget:

- NEH will not require the formal negotiation of an indirect-cost rate, provided that the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (including but not limited to capital expenditures, participant stipends, fellowships, and the portion of each individual subgrant or subcontract in excess of \$25,000). This option is not available to sponsorship (umbrella) organizations. If you choose this option, you must maintain documentation to support overhead charges claimed as part of project costs.
- If the applicant organization wishes to use a rate higher than 10 percent, you must provide an estimate of the indirect-cost rate and the charges on the budget form. If the application is approved for funding, NEH will provide instructions in the award document on how to negotiate an indirect-cost rate with NEH.

If you choose one of these two options, please indicate on your budget form that you are doing so.

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:

- a brief résumé (two-page maximum) 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.
- For conferences only, the proposed conference program and e-mail messages or letters of commitment from presenters.
- 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 Historical 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](#).
- When applicable, include as well
 - permissions or letters of support from archives or other research venues;
 - contracts or letters of interest from print or digital publishers;
 - published reviews;

- documents confirming that copyright permissions have been secured;
- samples such as web pages, screenshots, questionnaires, selection principles, or site maps; and
- a summary of results from previous grants, limited to essential information.

Do NOT include letters of reference, assessments of previous applications, or testimonials.

7. **Statement of history of grants** (one page)

If the project has received previous support from any federal or nonfederal sources, including NEH, provide a one-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 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 7, 2016. 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 2017. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail in September 2017. 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

Grants.gov help desk: support@grants.gov

Grants.gov customer support tutorials and manuals:

<http://www.grants.gov/web/grants/applicants/applicant-tools-and-tips.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.** 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)
 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)

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 conference projects only, e-mail messages or letters of commitment from participants and the proposed program**
- For archaeology projects 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 Historical Preservation Officer for a written determination of the project’s impact, together with all supporting materials**
- Permissions or letters of support**
- Contracts or letters of interest from publishers**
- Published reviews**
- Documents confirming that copyright permissions have been secured**
- Samples (for example, web pages, screenshots, questionnaires, selection principles or site maps)**
- A summary of results from previous grants**

ATTACHMENT 7: History of grants (name the file “granthistory.pdf”) (1 page)

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.)

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 7, 2016: Contact Division of Research Programs program officers (at 202-606-8200 or collaborative@neh.gov) with questions and for advice (optional)

October 15, 2016: Submit draft application (optional) by this date

November 9, 2016: Create or verify your institution's Entity record at the System for Award Management by this date (applies only to institutional applicants)

November 23, 2016: 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 7, 2016: Submit application through Grants.gov by this date

March-April 2017: Peer review panels take place

July 2017: meeting of the National Council on the Humanities, followed by funding decisions

August 2017: applicants are notified of the funding decisions

September 2017: institutional grants administrators and project directors of successful applications receive award documents by e-mail

October 2017: successful applicants may begin work on their projects as early as this date

September 2018: successful applicants must begin work on their projects no later than this date