



NATIONAL ENDOWMENT FOR THE
Humanities

DIVISION OF **PRESERVATION AND ACCESS**

HUMANITIES COLLECTIONS AND REFERENCE RESOURCES

Deadline: July 19, 2018 (for projects beginning May 2019)

Catalog of Federal Domestic Assistance (CFDA) Number: 45.149

Funding Opportunity Number: 20180719-PW

If after reading this document you have questions about this program, contact the staff of NEH's Division of Preservation and Access at preservation@neh.gov and 202-606-8570. Applicants who are deaf or hard of hearing can contact NEH via Federal Relay (TTY users) at 800-877-8399.

Contents

I. Program Description	3
Implementation awards	3
HCRR Foundations awards	4
Standing Together.....	6
Protecting our Cultural Heritage.....	6
Previously funded projects.....	8
Providing access to NEH-funded products	8
Copyright information	8
Award information.....	8
Cost sharing.....	9
Eligibility	9
II. Preparing and Organizing your Application.....	10
Resources for preparing a strong application	10
Review criteria.....	10
Application elements	11
III. Submitting your Application.....	21
How to submit supplementary materials	22
Deadlines for submitting optional draft proposals and applications	22
IV. What Happens After the Submission of an Application	23
Review and selection process	23
Information for all applicants and for successful applicants	23
V. Additional Information	24
Contact information for the program and Grants.gov.....	24
Privacy policy.....	24
Application completion time.....	24
APPLICATION CHECKLIST	25
TIMELINE	26

I. Program Description

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

This program is authorized by 20 USC §956 et seq. Awards are subject to [2 CFR Part 200](#) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

HCRR offers two kinds of awards: 1) for implementation and 2) for planning, assessment, and pilot efforts (*HCRR Foundations* awards).

Implementation awards

Applications may be submitted for projects that address one or more of the following humanities activities:

- arranging and describing archival and manuscript collections;
- cataloging collections of printed works, photographs, recorded sound, moving images, art, and material culture;
- providing conservation treatment for collections, leading to enhanced access;
- digitizing collections;
- preserving and improving access to born-digital sources, including the updating of existing digital resources;
- creating oral history interview collections about war and military service in conjunction with NEH's Standing Together initiative, or about imperiled cultural heritage in conjunction with the agency's Protecting our Cultural Heritage encouragement (see below);
- developing databases, virtual collections, other digital resources, or project-specific tools, to codify information on a subject or to provide integrated access to selected humanities materials;

- creating encyclopedias;
- preparing linguistic resources, such as historical and etymological dictionaries, corpora, and reference grammars (separate funding is available for [endangered language projects](#) in partnership with the National Science Foundation); and
- producing resources for spatial analysis and representation of humanities data, such as atlases and geographic information systems (GIS).

Because ensuring the longevity of humanities sources is critical to enabling their ongoing use, applicants may request support for implementing preservation measures, such as reformatting (including microfilming), rehousing, or item-level stabilization procedures, in the context of projects that also create or enhance access to humanities collections.

Applicants seeking support for projects that focus on purchasing storage furniture and rehousing collections; improving environmental conditions (including the installation of climate control systems); and installing security, lighting, and fire-prevention systems should consult the [Sustaining Cultural Heritage Collections](#) program.

Major studies of cultural heritage repositories have cited **sound recordings and moving images** as formats that are seriously endangered. This program encourages applications that address the need to preserve and access such sources. Applicants may request funds to assess or establish intellectual and physical control of such materials as well as to digitize them.

Applications may address the holdings or activities of a single institution or may involve collaboration. In all cases, projects should be designed to facilitate sharing, exchange, and interoperability of humanities information and products.

HCRR Foundations awards

To help in the formative stages of efforts to preserve and create access to humanities collections or to produce reference resources, *Foundations* awards support planning, assessment, and pilot activities that incorporate expertise from a mix of professional domains. Drawing upon the cooperation of humanities scholars and technical specialists, these projects might encompass efforts to prepare for establishing intellectual control of collections, to solidify collaborative frameworks and strategic plans for complex digital reference resources, or to produce preliminary versions of online collections or resources. The period of performance for *Foundations* awards is up to two years.

Foundations awards may be used to address one or a combination of the following activities:

- analyzing and evaluating the humanities content strengths, intellectual control requirements, and preservation needs of significant humanities collections, including the development and distribution of collection-level descriptive information (projects to process or catalog collections at more detailed levels should apply instead for an implementation award);

- identifying and prioritizing humanities materials for digitization, developing project-specific selection criteria, evaluating technical requirements for digital preservation and access, reformatting test-bed items, and/or exploring third-party service arrangements;
- developing plans and protocols for ensuring the preservation of previously digitized or born-digital humanities content, which could include preliminary testing and evaluation of institutional and/or distributed digital repository systems; or
- creating editorial plans, locating and assembling resources, devising strategies for technological and programmatic sustainability, and producing content exemplars for reference resources such as encyclopedias, databases, virtual archives, etymological dictionaries, or online atlases.

See the sample application narratives and Frequently Asked Questions document, all of which are available on the [program resource page](#), for further information about the possible uses of *Foundations* awards.

Foundations projects must encompass a substantial amount of cross-domain participation, typically involving persons with humanities expertise, curatorial experience, and relevant technical skills, such as collection processing and preservation, audiovisual reformatting, metadata creation, or digital preservation. *Foundations* projects should be at no less than a “beta” level of development upon application, demonstrating that the very first stages of effort—for example, initial collections appraisal and accessioning, conceptualization of scope and audience for reference resources, or consortium partner contact and cooperation—have been achieved. Because pilot activities can be crucial to the ultimate success of preservation and access initiatives, applicants are urged to incorporate the creation of test-case products that will inform planning and evaluation.

Successful completion of a *Foundations* project is not a prerequisite for implementation support in this program. Also, while *Foundations* awardees may choose to apply later for support at the implementation level, they are not required to do so. Project outcomes for *Foundations* awards must be clearly identified in the application. These could include, for example, the following:

- detailed evaluation reports to guide decision making for preserving and creating access to humanities collections;
- descriptions of prioritized sources and technical requirements for future digitization;
- strategic planning documents for digital preservation efforts; or
- editorial policy, procedure, and scheduling guidelines; tables of contents; and sustainability and dissemination plans for reference resources.

Foundations awardees should submit such products to NEH and must submit a “white paper” documenting lessons learned, so that others can benefit from the recipients’ experience. White papers will be posted on the NEH website for open access. Pilot projects should make resulting content available in accordance with NEH’s policy on providing access to NEH-funded products. (See the discussion near the end of Section I of these guidelines.)

Partnership/mentorship opportunity

In order to enhance access to humanities collections held by smaller institutions, *Foundations* awards offer an additional \$10,000 (beyond the \$50,000 maximum) to support *inter-institutional* planning and pilot activities. Applicants may be either smaller institutions proposing to work with a larger repository or larger institutions proposing to collaborate with one or more smaller partners. In either case, applicants must demonstrate that each participating institution is fully engaged in the project and serves as an equal stakeholder in its outcomes. Applicants should discuss how *ongoing* working relationships between participating institutions could be maintained through future implementation phases and beyond. Partnerships or mentorships might be especially well suited for community-based cultural heritage initiatives but are not limited in geographic or topical scope.

Standing Together

NEH invites projects related to its [Standing Together](#) initiative, which encourages projects related to war and military service. In conjunction with this initiative, applicants to HCRR may request support to create, preserve, and make available oral history interviews with individuals who can provide eyewitness insights on the experience of war—actual military experience, and/or the impact of war on the American home front during wartime and its aftermath. Informants could include veterans, family members, and others, such as local officials or employees of military bases and industries in places in which the experience of war and its consequences were or are deeply felt.

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. In conjunction with this encouragement, applicants to HCRR may also request support to create, preserve, and make available oral history interviews with individuals who can provide first-hand accounts of and reflection on events or experiences of cultural devastation. Informants could include survivors or other witnesses of natural disasters as well as circumstances of social unrest or armed occupation, during which cultural heritage was at extreme risk. The recorded memory of such testimony can help sustain cultural heritage. For more information about Protecting our Cultural Heritage, click [here](#).

In addition, NEH especially encourages projects that include Native American organizations and communities as lead applicants and project partners.

All applications will be given equal consideration in accordance with the program's review criteria (listed below in Section II of these guidelines, beneath the "Review criteria" heading), whether or not they respond to the Standing Together initiative, focus on lost or imperiled cultural heritage materials, or include Native American organizations and communities as lead applicants and project partners.

Humanities Collections and Reference Resources awards may not be used for

- the acquisition of collections, including appraisal for acquisition or monetary purposes;
- the restoration of historic structures, the preservation of the built environment, or the stabilization of archaeological sites (applicants interested in such projects should consider the [Infrastructure and Capacity Building Challenge Grants](#) program);
- the preservation, organization, or description of materials that are not regularly accessible for research, education, or public programming;
- the digitization of United States newspapers (applicants interested in such projects should consult the [National Digital Newspaper Program](#));
- the creation of tools and reference works designed *exclusively* for classroom instruction;
- scholarly or public conferences (which NEH supports through its [Collaborative Research](#) program);
- the creation of selective compilations of primary sources in print or digital form, when such works are developed primarily as an adjunct to *interpretive research* (NEH supports such compilations through its [Collaborative Research](#) program);
- the support of projects to document endangered languages (applicants interested in such projects should consult [Documenting Endangered Languages](#));
- GIS projects for civic planning or resource management;
- institutional records management;
- 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;
- lobbying; 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).

Applicants seeking support for initial preservation assessments and other basic steps in collections care should consult the [Preservation Assistance Grants for Smaller Institutions](#) program. Projects that focus on serving the preservation and access field more generally by developing new standards, practices, methodologies, and workflows for preserving and creating access to humanities collections are eligible for support through NEH's [Research and Development](#) program. Applicants seeking primarily to develop experimental digital methods and techniques for a variety of purposes not limited to preservation and access should consult the [Digital Humanities Advancement Grants](#) program in the Office of Digital Humanities.

Previously funded projects

An institution whose project has received NEH support may apply for an award 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 current competition. In addition, these proposals must be substantially updated and must include a description of the new activities and a justification of the new budget. The applicant must also describe how the previously funded project met its goals.

Providing access to NEH-funded products

As a taxpayer-supported federal agency, NEH endeavors to make the products of its awards available to the broadest possible audience. Our goal is for scholars, educators, students, and the American public to have ready and easy access to the wide range of NEH grant products. For the Humanities Collections and Reference Resources program, such products may include reference works, digital archives, and websites. For projects that lead to the development of online resources, all other considerations being equal, NEH gives preference to those that provide free access to the public. Additional guidance on access and dissemination matters can be found under the “Dissemination” heading in the instructions for the narrative below.

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

Copyright information

NEH recipients may copyright any work that is subject to copyright and was developed, or for which ownership was produced, under an award. In accordance with 2 CFR 200.315 (b), NEH reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for federal purposes, and to authorize others to do so.

Award information

The maximum award for implementation projects is \$350,000, for a period of performance of up to three years. The maximum award for *Foundations* projects is \$50,000 for a period of performance of up to two years. Applicants for *Foundations* projects involving multi-institutional collaborations between smaller and larger institutions may, however, request an additional \$10,000 (see above, beneath the “Partnership/mentorship opportunity” heading). In such cases, the maximum award would be \$60,000 for a period of performance of up to two years. Successful applicants will receive an award in outright funds, federal matching funds, or a combination of the two, depending on the applicant’s preference and the availability of NEH funds.

(Learn more about [different types of grant funding](#).)

Cost sharing

Cost sharing consists of nonfederal gift money raised to release federal matching funds. Voluntary cost sharing consists of the cash contributions made to a project by the applicant and third parties, as well as third-party in-kind contributions, such as donated services and goods.

Although cost sharing is not required, this program is rarely able to support the full costs of projects approved for funding. Humanities Collections and Reference Resources implementation awards typically cover no more than 67 percent of project costs. In most cases, *Foundations* awards cover no more than 80 percent of total project costs.

Applicants are welcome to use voluntary cost sharing for projects in which the total costs exceed the amount provided by NEH. Voluntary cost share should be addressed in the narrative.

Eligibility

U.S. nonprofit organizations with 501(c)(3) tax-exempt status, state and local governmental agencies, and federally recognized Native American tribal governments are eligible to apply. Eligible organizations include institutions of higher education.

Individuals and foreign and for-profit entities are not eligible to apply.

Eligible applicant institutions may submit multiple applications for separate and distinct projects under this announcement.

Overlapping project costs between two or more applications for federal funding and/or approved federal award budgets is not permitted.

Applications must be complete, must observe the specified page limits, and must be received and validated by Grants.gov under the correct funding opportunity number to be considered under this notice.

Degree candidates may not be project directors or co-directors. Degree candidates may, however, serve in other project roles.

NEH generally does not make awards 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 funds from, or sites and materials controlled by, other federal entities in their projects. Applicants considering the use of materials from federal entities for HCRR projects should consult with division staff before submitting a proposal.

Late, incomplete, or ineligible applications will not be reviewed.

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 **review criteria**, which are listed immediately below;
- read the **Frequently Asked Questions**, which are available on the [program resource page](#);
- contact the **program staff** (at 202-606-8570 or preservation@neh.gov) to discuss your project and raise any questions you may have about the application; and
- submit an optional **draft proposal** (at least six weeks before the deadline), to which program staff will respond with suggestions and advice.

Review criteria

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

- The project's **significance** for supporting scholarly research, education, or public programming in the humanities. *(In what ways is the topic/subject matter important? To what extent is the proposed material or reference resource of value, and how? To what extent would the collections/resource either fill an important gap or complement other available materials? Who will benefit from this project and in what ways?)*
- The soundness of the proposed **methodology**, including the selection criteria where applicable and the project's adherence to accepted national standards and professional practices, especially those that would contribute to making grant products interoperable with related resources and facilitate their discovery. *(To what extent would the project employ best practices in preservation and access? Are the proposed procedures clear and appropriate for achieving the project's goals? For Foundations projects, is the planning process well explained and sufficiently collaborative?)*
- The specificity and utility of the proposed products and outcomes, and the viability of the project, as indicated by the **work plan**. *(To what extent are the outcomes or "deliverables" clearly identified? Is the project doable within the timeline and with the resources proposed? To what extent is the sequencing of activities appropriate?)*
- The soundness of plans for **sustaining project outcomes**, including digital content; for *Foundations* projects, the appropriateness of the next steps in the undertaking, and their likely viability. *(To what extent will the collections or resource be made accessible*

in an ongoing manner, beyond the term of the project? For Foundations projects, to what extent are “next steps” sufficiently clear and potentially viable?)

- The qualifications of the project’s **staff** and suitability of the staffing arrangements. *(Are the roles and duties of project staff clear, and are staff appropriately qualified for the work proposed? Are job descriptions provided for staff to be hired? Are the right kinds of humanities or technical advisors in place in cases where advice such as this might be needed, particularly for Foundations projects, where cross-domain participation is strongly encouraged?)*
- The quality of the project’s plans for **disseminating information** about and providing access to award products. *(How effectively will the results of the project reach the intended users and, if presented as a model, other practitioners? How well does the project conform to NEH’s expressed preference for free and open access to materials and tools?)*
- The reasonableness of the proposed **budget** in relation to anticipated results. *(To what extent are the specific budget items justified in the narrative?)*

As noted earlier, applicants are encouraged to contact program officers, who can offer advice about preparing the proposal and review preliminary proposal drafts if they are submitted at least six weeks before the deadline. Time constraints may prevent staff from reviewing draft proposals submitted after that date. Staff comments are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants have found them helpful in strengthening their applications. Draft proposals are optional; they should be submitted by e-mail attachment to preservation@neh.gov.

Application elements

The title that you assign to your project in item 6.A. (Project Title) of the SF-424 Application for Federal Domestic Assistance – Short Organizational should be brief (not more than 125 characters), descriptive, and informative to a nonspecialist audience.

Your application should consist of the following parts.

1. **Description of the project and its significance to the humanities**

Provide a one-page abstract written for a nonspecialist audience, clearly explaining the project’s importance to the humanities, its principal activities, and its expected results. Be sure to specify the funding subcategory (Implementation or *Foundations*) for which you are applying. In addition, include in item 6.B. (Project Description) of the SF-424 Application for Federal Domestic Assistance – Short Organizational an abridged version of the abstract (limited to a thousand characters, including spaces).

2. **Table of contents**

List all parts of the application.

3. **Narrative**

Limit the narrative for implementation proposals to fifteen single-spaced pages; limit the narrative for *Foundations* proposals to ten single-spaced pages. All pages should have one-inch margins and the font size should be no smaller than eleven point. Use appendices to provide supplementary material. Number the pages of the narrative. (Note, though, that you need not number the pages of the other parts of the application.)

Individuals with a variety of professional backgrounds will read these applications and advise NEH on their merits. Project narratives should therefore be written with a minimum of technical jargon.

Keep the application review criteria (see above, beneath the “Review criteria” heading) in mind when writing the narrative, which consists of the following sections.

- **Significance**

Justify the importance of the project on the basis of its long-term benefits to research, education, or public programming in the humanities. Discuss the central humanities themes, questions, or disciplines to be addressed.

For implementation projects involving **humanities collections**, describe the nature, size, and intellectual content of the selected collections; explain how they relate to similar collections, both within and external to your organization; discuss the rationale for focusing on these particular sources; and describe the selection criteria. For *Foundations* projects, provide a brief profile of the nature and importance of the sources that would be the focus of assessment or planning and include examples of materials to be used in any pilot efforts.

For proposed **reference resources** at the implementation level, define the selection criteria and explain how your project relates to existing resources. Demonstrate what this work or tool will provide that other resources cannot. For *Foundations* proposals, provide a clear conceptual vision of the scope and contents of the eventual reference resource and its relationship to other pertinent works or tools.

All proposals must discuss actual and anticipated use of the collection or reference work. Identify the audience(s) that the project would effectively serve. Provide evidence of use, when possible, through examples of outcomes such as scholarly publications, educational activities, exhibitions, or media programming.

- **History, scope, and duration**

Use this section to explain the activities leading up to the proposed project and, if relevant, the goals of the larger initiative of which it is a part. Provide a concise history of the project, including information about preliminary research or planning, financial support already received, and resources or research facilities available. If an implementation project will take more than three years to complete, describe the scope and duration of the entire project as well as the specific accomplishments or products intended for the period of performance for which funding is requested.

List any project-specific products or publications to date in print or electronic form. When appropriate, indicate print runs, sales, and royalties relating to publications; in the case of online products, include the URL and provide use statistics. If the project has been previously supported by NEH, compare the accomplishments in the current or past period of performance with the intended goals.

- **Methodology and standards**

Explain the manner in which the project will be executed. Activities should conform to appropriate national standards and accepted professional practices. (Informational links to relevant standards are provided in the Frequently Asked Questions document, which is available on the [program resource page](#).) If your project's methodology departs from usual standards and procedures, explain why its goals require such an approach and how the results would be interoperable with other relevant resources that do follow existing standards.

Discuss any intellectual property or privacy issues that might affect the availability of collections or the dissemination of reference resources. Applicants should demonstrate that any applicable permissions, donor agreements, licenses, or proofs of informed consent have been obtained and should provide any pertinent documentation in an appendix.

Include the following, as relevant.

Projects to preserve humanities collections and make them accessible

Provide information about the collections' present physical condition and level of intellectual control. Discuss the manner in which the materials will be organized or reorganized, and the ways in which users will discover and access them. Describe pertinent strategies, policies, and procedures for collection care and service, including the environmental conditions in which collections will be held and the provisions for their use. (NEH expects that any materials proposed for support will be publicly accessible and housed in a suitable preservation environment.)

Additionally, provide the following information.

- For **archival processing** efforts, discuss the rationale for the arrangement of the collections and the level of description that will be provided. Support is generally limited to the preparation of folder-level finding aids.
- For **cataloging**, describe the level of detail of the records to be created, the record formats, vocabularies, and systems to be used, the extent to which the

records will involve original, enhanced, or copy cataloging, and indicate how information will be included in relevant national or international catalog networks.

- For **conservation treatment** projects, describe the amount, types, and condition of material to be treated, and discuss how access will be enhanced; provide the rationale for the chosen approach or method; and identify applicable procedures and/or quality control measures. Include in the appendices treatment proposals and cost estimates prepared by qualified conservators.
- For projects to **digitize collections**, specify the quantity of digital objects to be made available for use; the nature, formats, and quality of the sources from which they would be derived; and the handling and care of original materials during and after reformatting.
- For projects to preserve and provide access to **born-digital sources** (materials with no analog counterpart), specify data formats; the current extent of accessibility or obsolescence; and strategies to ensure enduring use, such as migration, emulation, or data harvesting.
- For projects to **create oral histories** in conjunction with either the Standing Together initiative or the Protecting our Cultural Heritage encouragement, identify interviewees, to the extent possible, and provide examples of questions to be asked. Discuss plans for preparatory research, recording equipment, interview setting, securing permissions, and post-interview preservation and access methods, such as audio streaming, transcription, or time-based indexing. For guidance, refer to the statement of [Principles and Best Practices](#) published by the Oral History Association. Interviews of military veterans should be produced so as to facilitate their inclusion in the [Veterans History Project](#) collection of the Library of Congress.

Projects to create reference works or research tools

- Indicate the content, form, and length of entries or citations and describe the **editorial procedures** for writing entries and verifying information. Include in an appendix a preliminary list of entries, organized by subject areas or topics, and the instructions provided to contributors. As applicable, indicate how the work or tool will be revised, including the addition of new material and the updating of current content.
- Describe the lexicographical principles to be employed for a **language dictionary**.

Projects for planning, assessment, and pilot work (*Foundations* level)

- Identify any professional standards, research, or precedents that will inform the project. Discuss the knowledge and skills that the planning team needs and explain how members have been chosen and assembled. Explain how the team will gather any needed information, and provide copies (via appendices or links) of any assessment tools. Indicate the methods of communication and collaboration to be employed and the framework for decision making.
- Describe the final products and outcomes for the project and how these will guide future stages of work. Specify the nature of any testing or modeling efforts and, where possible, provide examples. If the project will produce and distribute collection information or reference resource content, identify the methods to be employed and the manner in which it will be made accessible.
- If the project pertains to the “Partnership/mentorship opportunity” described above, discuss strategies that could lead not only to immediate, project-specific outcomes, but also to persistent engagement between the collaborating institutions. Explain how the project could enrich the broader mission and longer-term vision, goals, and capabilities of each partner.

If you are requesting complete or partial funding for the development, acquisition, preservation, or enhancement of geospatial data, products, or services, 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 www.fgdc.gov.

Proposals employing digital technology and methods should provide a number of details. Indicate not only *what* technical specifications are to be used, but also *how* they will facilitate the project. In particular, provide the following information:

- the hardware and software to be used or refined (note that for projects that entail software development, applicants are encouraged to use open-source code, which should be made publicly available through an online repository such as [SourceForge](#) or [GitHub](#));
- preparations for and implementation of data processing (for example, digital capture, data entry, optical character recognition, or conversion from another electronic format);
- production, preservation, and distribution formats (for example, TIFF, JPEG, PDF/A, WAV), levels of resolution, compression, image enhancement, and the accuracy of textual conversion or transcription;
- provisions for ensuring quality control;
- schema for descriptive, administrative, and preservation metadata and controlled vocabularies;

- system(s) used to manage and present digital content, including pertinent features for facilitating end use;
- 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; and
- procedures for facilitating computational re-use of data, as relevant, for purposes such as text mining, visualization, topic modeling, geo-coding, or other digital methods.

- **Sustainability of project outcomes and digital content**

Describe how the project's results will be maintained and supported beyond the period of performance. Provide information demonstrating the ability and commitment of the institution to ensure sustained access to collections or reference resources. For *Foundations* projects, discuss the next steps that you envision as an outgrowth of the award, and how these would be supported.

NEH's Division of Preservation and Access expects that any collections or resources produced in digital form as a result of its awards will be maintained so as to ensure their long-term availability. Discuss plans for meeting this expectation. In addition to pertinent technical specifications requested in the previous section, provide details on 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.

- **Dissemination**

Explain how the results of the project will be disseminated and why these means are appropriate to the subject matter and intended audience. Where applicable, identify the online systems through which researchers will discover and use finding aids, catalog information, or digital sources. NEH strongly encourages the contribution of descriptive information and digital products to cooperative networks and digital resource aggregators. If relevant, discuss publishing arrangements, publicity plans, estimated prices, and user costs. Describe plans to bring the project to the attention of the relevant communities of users through, for example, conference presentations, publication, public events, or social media.

NEH encourages applicants to consider ways in which the collections or resources on which a project focuses can engage the wider public in exploring the humanities. To that end, dissemination might involve activities such as sponsoring

- community humanities programming;
- reading and discussion programs;
- film screenings;

- traveling exhibitions; or
- the development of resources for K-12 educators and students. (NEH's [EDSITEment website](#) is a respected source of educational materials for the classroom. NEH encourages applicants seeking to create such resources to do so in a manner that would be appropriate for publishing on or promotion through EDSITEment.)

HCRR grants can support activities like these, within appropriate limits. See the Frequently Asked Questions document, which is available on the [program resource page](#), for further information.

NEH expects grantees to provide broad access to all products through the Internet, on-site use, interlibrary loan, or duplication of materials at cost, insofar as the condition of the materials and intellectual property rights allow. NEH strongly encourages projects that offer open access to online resources, using [Creative Commons licenses](#), as possible and appropriate. All other considerations being equal, NEH will give preference to projects that provide free, online access to digital materials produced with NEH funds.

- **Work plan**

Provide a clear summary of the proposed products and outcomes, followed by a detailed time schedule indicating benchmarks of accomplishment during each stage of the project. Divide large, complex goals into discrete objectives. For each activity, indicate who will carry out the work.

- **Staff**

Identify the members of the project's staff, including consultants and/or personnel to be hired, and summarize their duties and relevant qualifications for the tasks assigned. Be specific about their individual roles and responsibilities as they relate to project activities, the tasks that they will perform, and the aspects of the project that they will oversee. (Note that reviewers tend to look favorably on project teams that include experts from both within and beyond the application institution.) Indicate the amount of time that the principal members of the project's staff will devote to the project. If the project has an advisory board, list the names and affiliations of the board's members and explain the board's function. Provide two-page résumés for major project staff and all consultants in the appendices.

As relevant, explain how the perspectives of communities that are the subjects of projects would be incorporated in the proposed activities and decision-making process. In the case of Native American groups, indicate how your staffing plan (and other project components) will facilitate adherence to the NEH [Code of Ethics Relating to Native Americans](#). See the links to "Community + Museum Guidelines or Collaboration" and "Protocols for Native American Archival Materials" near the end of the Frequently Asked Questions document, which is available on the [program resource page](#).

4. **History of awards**

If the project has received previous support from any federal or nonfederal sources, including NEH, list on one page the sources, dates, and amounts of these funds. If the project has a long history of support, you may group and summarize the sources and contributions.

5. **Project deliverables (required only for implementation projects)**

In a separate attachment, proposals for implementation projects must include the following quantitative information, as relevant:

- the total amount of linear feet to be arranged and described;
- the number of finding aids and/or collection-level descriptions to be produced;
- the total number and type(s) of items to be cataloged (for example, books, manuscripts, photographs, broadsides, maps, artworks, artifacts, audio or video tapes or disks);
- the total number and type(s) of items to be digitized;
- the total number of hours of sound recordings or moving images to be preserved and made available (if both types are included in the project, provide separate numbers for each type);
- the total number of individual records or entries to be created for a database, encyclopedia, historical dictionary, or cartographic resource: and
- the number and type of any other quantifiable products expected as a result of the grant.

6. **List of participants**

On a separate page, list in alphabetical order, surnames first, all project participants and collaborators and their institutional affiliations. As relevant, this list should include advisory board members, consultants, and authors of letters of commitment and letters of support. Because these individuals may not participate in the review process, this list is used to ensure that prospective evaluators have no conflict of interest with the projects that they will assess.

7. **Budget**

Using the instructions and the sample budget, complete the budget form 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](#).

Staff costs should include the position title, name (if possible), percent of full-time equivalent or total number of hours charged to the project. List travel costs according to

local and long distance travel. For local travel, outline the mileage rate, number of miles, reason for travel and staff member/consumers completing the travel. The budget should also reflect the travel expenses (for example, airfare, lodging, parking, per diem, etc.) for each person and trip associated with participating in meetings and other proposed trainings or workshops. Name the traveler(s) if possible, describe the purpose of the travel, and provide the number of trips involved, the destinations, and the number of individuals for whom funds are requested.

Permanent equipment may be purchased for a project if an analysis demonstrates that purchasing is more economical and practical than leasing. Permanent equipment is defined as nonexpendable personal property costing \$5,000 or more and having a useful life of more than one year. List equipment costs and provide a justification for the need to purchase the equipment to carry out the program's goals.

For any outsourced work, third party subawards and/or contractor costs should be included in the budget category "Services" as a single line item for each service or subaward. Provide a clear explanation as to the purpose of each contract/subaward, how the costs were estimated, and the specific contract/subaward deliverables. Recipients and subrecipients are subject to the procurement standards set forth in 2 CFR §§200.317 – 326.

Consistent with the Buy American Act (41 U.S.C. 8301-8305 and Public Law 105-277), grant recipients and subrecipients who purchase equipment and products with NEH funds should purchase only American-made equipment and products.

You must show cost sharing in the budget if you are requesting federal matching funds. Explain any voluntary cost share in the narrative.

If the applicant institution is claiming indirect costs and already has a federally negotiated indirect-cost rate agreement, submit a copy of its current federally negotiated indirect-cost rate agreement. Do not attach the agreement 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 has never received a negotiated indirect-cost rate and is using the government-wide de minimis rate of 10 percent of the total direct costs, less distorting items (including equipment, capital expenditures, rental costs, tuition remission, participant support costs, scholarships and fellowships, and the portion of each subaward in excess of \$25,000). See 2 CFR §200.414 (f) for additional information regarding the de minimis rate.

For applicants seeking reimbursement for indirect costs: Please review carefully your institution's negotiated indirect cost rate(s) to make sure you are using the most appropriate rate in your application budget. Many institutions negotiate multiple rates—for example, "Research," "Instruction," and "Other Sponsored Activities." With rare exceptions, your institution's "Research" rate will not be the appropriate rate for inclusion in your NEH

project budget, as the use of this rate is reserved for projects involving scientific research, not scholarly inquiry of the type most often supported by NEH.

All items should be justified by the narrative. Provide further explanation as needed in notes appended to the budget. For any outsourced work, include third-party subawards or vendor costs in this item. Attach a clear explanation of the purpose of each contract or subaward, how the costs were estimated, and the specific contract or subaward deliverables. Please do not provide line item details on proposed contracts. Instead you should explain the basis for your cost estimate for the contract. Grant recipients are responsible for ensuring that their organization or institution has in place an established and adequate procurement system with fully developed written procedures for awarding and monitoring all contracts or subawards. Grant recipients must notify potential subrecipients that entities receiving subawards must be registered in the System for Award Management (SAM). Potential subrecipients must provide the grant recipient with their DUNS number.

8. Appendices

Appendices should show the final or anticipated form of the project or illustrate the experience of the project's staff in doing comparable work, for example, bibliographic records, catalog entries, finding aids, entries for encyclopedias or dictionaries, results of specific queries to databases, screenshots for Web interfaces, instructions to contributors, audio files and images, and conservators' reports. **They should be selective, concise, and specific to the project.** Reviewers are unlikely to respond favorably to lengthy appendices.

As applicable, use the appendices to provide

- sample materials and reports (restrict these to summaries or excerpts where possible; hyperlinks to online versions may also be used in the narrative);
- documentation of permissions, donor agreements, licenses, or proofs of informed consent;
- for conservation treatment projects, treatment proposals and cost estimates prepared by qualified conservators;
- for projects to create reference works or research tools, a preliminary list of entries, organized by subject areas or topics, and the instructions provided to contributors;
- for projects at the *Foundations* level, copies of any tools to be used for assessment of collections;
- **brief** résumés (no longer than two pages) for staff with major responsibilities for the project's implementation and for consultants to the project;
- job descriptions for any additional staff who will be hired specifically to work on the project;

- letters of commitment from the principal cooperating participants or partners, both within and outside the parent institution; and
- letters of support (ideally no more than three) from experts in the project's subject area (and, if necessary, its proposed methodology).

III. Submitting your Application

All organizations must submit their applications for NEH funding via [Grants.gov Workspace](#). Before using Grants.gov for the first time, each organization must have an Employer Identification Number (EIN) and register with Grants.gov.

The Grants.gov registration process requires completing information in three separate systems:

1. Dun and Bradstreet (<http://www.dnb.com/duns-number.html>)
2. System for Award Management (SAM) (<https://www.sam.gov>)
3. Grants.gov (<http://www.grants.gov/>)

In order to apply through Grants.gov, the applicant organization must first have or obtain a valid Dun and Bradstreet Data Universal Numbering System (DUNS) number, and register (or have an active registration) in the System for Award Management (SAM). Note: If you are registering in SAM for the first time, you must provide an original, signed [notarized letter](#) stating that you are the authorized Entity Administrator for the entity associated with the DUNS number before your registration will be activated. Read the [SAM update and FAQs](#) to learn more about this process change. **The initial SAM registration can take up to six weeks.**

Organizations must maintain active SAM registration with current information at all times during which they have an active federal award or an application or plan under consideration by a federal agency. You must therefore review and update your information at least annually after the initial registration, and more frequently if required by changes in information. You can review your organization's SAM registration [here](#). You must provide an original, signed notarized letter stating that you are the authorized Entity Administrator for the entity associated with the DUNS number in order to renew your registration or change your banking information. **We strongly recommend that you verify the status of your SAM registration at least two weeks before the application deadline.**

Applicant organizations with a valid DUNS number and an active SAM registration must then register with Grants.gov. Visit Grants.gov at <https://grants.gov/web/grants/applicants/organization-registration.html> for complete registration information. **The initial Grants.gov registration process can take up to two weeks.**

If your organization has already registered with Grants.gov, you must verify that your registration is still active and that your Authorized Organization Representative (AOR) is current and has been approved. **We strongly recommend that you do this at least two weeks before the application deadline.** Note: Grants.gov passwords expire every 60 days. Accounts that have been inactive for one year or more result in removal of all account roles.

If you have problems registering or verifying your registration with Grants.gov, call the Grants.gov help desk at 1-800-518-4726 or email support@grants.gov.

Links to the Grants.gov application package and instructions 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.

How to submit supplementary materials

If you are sending supplementary materials (those that cannot be scanned and converted to an electronic form and submitted via Grants.gov), please include a list of the supplementary materials in the application's table of contents, with an indication that the materials are being sent separately. Please send eight copies of the supplementary materials to the following address:

Humanities Collections and Reference Resources
Division of Preservation and Access
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
202-606-8570

NEH recommends that supplementary materials be sent by a commercial delivery service to ensure that they arrive intact by the receipt deadline.

Deadlines for submitting optional draft proposals and applications

You are welcome to contact the Division of Preservation and Access to seek advice about preparing the proposal. **Draft proposals are optional, but applicants are strongly encouraged to take advantage of this preliminary review.** Please send your draft to preservation@neh.gov, at least six weeks before the July 19 deadline for submitting applications. NEH staff may not be able to review drafts submitted after that date.

Applications must be received and validated by Grants.gov by **11:59 p.m. (Eastern Time), Thursday, July 19, 2018**. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after that date will not be accepted. Supplementary materials must also arrive at NEH on or before July 19, 2018, to be considered as part of the application.

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. 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 the Administrative Requirements set forth in 2 CFR [§200.205](#). (See below the next heading for more information about the Office of Management and Budget's Administrative Requirements, which NEH has implemented.) 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 March 2019. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail in April 2019. 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 a letter to NEH, Division of Preservation and Access, 400 Seventh Street, S.W., Washington, D.C. 20506, or an e-mail message to preservation@neh.gov.

In December 2014 NEH adopted without exception 2 CFR Part 200: [UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS](#). 2 CFR 200 applies to all NEH awards to organizations and is aimed at reducing the administrative burden on award recipients and improving accountability of federal financial assistance for tax payers. NEH will identify in each award document the relevant programmatic terms, conditions, and reporting requirements with which the grant recipient 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:

Humanities Collections and Reference Resources
Division of Preservation and Access
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
preservation@neh.gov

Grants.gov: www.grants.gov

Grants.gov help desk: support@grants.gov

Grants.gov training resources 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 *et seq.* The principal purpose for which the information will be used is to process the 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 the average time to complete this application is fifteen hours per response. 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, DC 20506; and the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, DC 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

- **Register your institution or verify its registration with the System for Award Management (SAM).** Begin a new registration at least six weeks before the deadline.
- **Register your institution or verify its registration with Grants.gov.** Begin a new registration at least two weeks before the deadline.
- **Access the application package 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. The program resource page has a direct link to the NEH instructions for completing the package.
- **Complete the following forms contained in the Grants.gov application package.**
 1. Application for Federal Domestic Assistance - Short Organizational (in which you must include in the Project Information field (6.b.) a one-paragraph description—up to one thousand characters, including spaces—written for a nonspecialist audience, clearly explaining the project’s principal activities and its expected results)
 2. Supplementary Cover Sheet for NEH Grant Programs
 3. Project/Performance Site Location(s) Form
 4. Attachments Form—Using this form, attach the parts of your application as described in the guidelines:
 - ATTACHMENT 1: Description of the project and its significance (name the file “projectdescription.pdf”)
 - ATTACHMENT 2: Table of contents (name the file “contents.pdf”)
 - ATTACHMENT 3: Narrative (name the file “narrative.pdf”)
 - ATTACHMENT 4: History of awards (name the file “awardhistory.pdf”)
 - ATTACHMENT 5: Project deliverables (**required only for implementation projects**; name the file “deliverables.pdf”)
 - ATTACHMENT 6: List of project participants, consultants, and advisers (name the file “participants.pdf”)
 - ATTACHMENT 7: Budget (name the file “budget.pdf”)
 - ATTACHMENT 8: Appendices (name the file “appendices.pdf”)

5. Budget Narrative Attachment Form (also known as the Budget Narrative File)— Using this form, attach **only** a copy of the applicant 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 applicant organizations, 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 7.

Your attachments must be in Portable Document Format (.pdf). Visit Grants.gov's Adobe Software Compatibility page to verify the compatibility of your current software or to download the appropriate version at <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. Even if you choose to complete the online webforms in Workspace, you will need to convert the files that you will attach (to the Attachments Form and the Budget Narrative Attachment Form) into PDFs. If you have a problem installing Adobe Reader, it may be because you do not have permission to install a new program on your computer. Many organizations have rules about installing new programs. If you encounter a problem, contact your system administrator.

Upload your application to Grants.gov. NEH **strongly** suggests that you submit your application no later than noon 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.

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 July 19, 2018: Contact Division of Preservation and Access program officers (at 202-606-8570 or preservation@neh.gov) with questions and for advice (optional)

June 7, 2017: Submit draft application (optional) by this date

June 7, 2018: Applicants that have not registered in the System for Award Management (SAM) and Grants.gov should begin the process by this date

July 5, 2018: Applicants that have registered in SAM and Grants.gov should verify their registrations by this date

July 19, 2018: Application must be submitted through and validated by Grants.gov by 11:59 p.m. Eastern Time on this date. Supplementary materials must also arrive at NEH on or before this date

October-December 2018: Peer review panels take place

March 2019: Meeting of the National Council on the Humanities, followed by funding decisions

March 2019: Applicants are notified of the funding decisions

April 2019: Institutional grants administrators and project directors of successful applications receive award documents by e-mail from the NEH Office of Grant Management

May 2019: Successful applicants may begin work on their projects