



NATIONAL ENDOWMENT FOR THE
Humanities

OFFICE OF DIGITAL HUMANITIES

HUMANITIES OPEN BOOK PROGRAM

Deadline: September 13, 2016 (for projects beginning May 2017)

Catalog of Federal Domestic Assistance (CFDA) Number: 45.169

Items referred to in this document needed to complete your application:

- Budget instructions
- Budget form
- Grants.gov application package and instructions

Also see the **application checklist** at the end of this document.

Questions?

Contact the NEH Office of Digital Humanities (ODH) via e-mail at odh@neh.gov. Applicants wishing to speak to a staff member by telephone should provide in an e-mail message a telephone number and a preferred time to call. Applicants who are deaf or hard of hearing can contact NEH via TDD at 1-866-372-2930.

Submission via Grants.gov

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.

System for Award Management Entity records

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 your organization or update its Entity record. We strongly recommend that applicants update (or, if necessary, create) their SAM Entity record at least four weeks before the application deadline.

I. Program Description

The Humanities Open Book Program is designed to make outstanding out-of-print humanities books available to a wide audience. By taking advantage of low-cost "ebook" technology, the program will allow teachers, students, scholars, and the public to read humanities books that have long been out of print. Humanities Open Book is jointly sponsored by NEH and the Andrew W. Mellon Foundation.

Traditionally, printed books have been the primary medium for expressing, communicating, and debating humanistic ideas. However, the vast majority of humanities books sell a small number of copies and then quickly go out of print. Most scholarly books printed since 1923 are not in the public domain and are not easily available to the general public. As a result, there is a huge, mostly untapped resource of remarkable scholarship going back decades that is largely unused by today's scholars, teachers, students, and members of the public, many of whom turn first to the Internet when looking for information. Modern ebook technology can make these books far more accessible than they are today.

NEH and Mellon are soliciting proposals from academic presses, scholarly societies, museums, and other institutions that publish books in the humanities to participate in the Humanities Open Book Program. Applicants will provide a list of previously published humanities books along with brief descriptions of the books and their intellectual significance. Depending on the length and topics of the books, the number to be digitized may vary. However, NEH and Mellon anticipate that applicants may propose to digitize a total that ranges from less than fifty to more than one hundred books. Awards will be given to digitize these books and make them available as Creative Commons-licensed "ebooks" that can be read by the public at no charge on computers, mobile devices, and ebook readers. The final ebook files must be in EPUB version 3.0.1 (or later) format, to ensure that the text is fully searchable and reflowable and that fonts are resizable on any e-reading device.

Applicants are encouraged to form partnerships, if appropriate, when applying. For example, two or more presses could collaborate to bring together books published by their respective institutions on similar themes and topics.

Applicants are required to create an advisory board composed of scholars, librarians, publishers, and other experts to help select the books to digitize. This advisory board should include at least two members from outside the applicant institution.

Applicants are also required to describe a marketing plan designed to spark interest in the newly digitized books. This would likely take the form of new supplementary content about each book to help introduce it to readers today. For example, a press might propose a short marketing essay on its website about a book's history or reception as a way to engage new readers. Alternatively, a press might propose a longer essay, video, or series of blog entries to help introduce and contextualize a group of books that it is proposing to digitize. The marketing plan might include the involvement of original authors or editors, if appropriate.

The Common Good: The Humanities in the Public Square

NEH invites proposals to digitize books on topics related to its new 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.

More information about the Common Good initiative is available [here](#).

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.

II. Award Information

Awards are for one to three years and range from \$50,000 to \$100,000. Some projects will receive awards from the NEH, while others will receive awards from the Mellon Foundation. Please see the FAQ document (which is available on the [program resource page](#)) for more information.

Cost sharing

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. Cost

sharing is not required for the Humanities Open Book Program. However, applicants are welcome to use cost sharing for projects in which the total budget exceeds the grant limit.

III. Eligibility

Eligibility is limited to

- U.S. nonprofit organizations with IRS tax-exempt status; and
- state and local governmental agencies and federally recognized Indian tribal governments.

Individuals are not eligible to apply.

Degree candidates may not be project directors.

Project directors may submit only one application to this program at a time, although they may participate in more than one Humanities Open Book project. They may also apply for other NEH and Mellon awards.

When two or more institutions or organizations collaborate on a project, one of them must serve as the lead applicant and administer the grant on behalf of the others.

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.

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

IV. Application and Submission Information

HOW TO PREPARE YOUR APPLICATION

Application advice and draft proposals

Prior to submitting a proposal, applicants are encouraged to contact program officers, who can offer advice about preparing the proposal and review draft proposals. These comments are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants in other programs have found them helpful in strengthening their applications. Program staff recommends that draft proposals be submitted at least six weeks before the deadline. Time constraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals are optional; if you choose to submit one, send it as an attachment to odh@neh.gov.

You will prepare your application for submission via Grants.gov. Your application should consist of the following parts.

1. Table of contents

List all parts of the application and corresponding page numbers.

2. List of participants

On a separate page, list all project participants and collaborators and their institutional affiliations, if any. The list is used to ensure that prospective reviewers have no conflict of interest with the projects that they will evaluate. This list should include advisory board members.

3. Abstract

Provide a one-page, single-spaced abstract written for a nonspecialist audience, clearly explaining the project's principal activities and its expected results.

4. Narrative

The narrative should not exceed ten single-spaced pages. All pages should use one-inch margins and a font size no smaller than 11 point. Applicants should keep the review criteria (see Section V below) in mind when writing the narrative, which must consist of the following sections.

4a) Intellectual Significance of the Selection of Books that You Propose.

Discuss the intellectual significance and likely uses of the books that you chose, referring to individual titles as needed to support your case. Explain why these books should be digitized and made accessible digitally. Describe the rationale employed by your advisory board in making its recommendations. Describe any thematic connections among the selected books, and explain how these connections make the books more compelling. In addition, explain why the books will be significant for readers today. Finally, discuss the likely research or educational uses of the selected books, and explain how digitization would facilitate these uses.

4b) History and Overview of the Publisher(s). In this section, provide a brief overview of your organization's publishing history in the humanities. Describe its lists, how long it has been in operation, and publications of note. If you are collaborating with another publishing organization, please describe its history as well and explain why the two collaborators complement one another.

4c) Dissemination. Describe how you plan to make the books available for download. What repository (or repositories) and website(s) would you use, and by what means would the books be discoverable? Also discuss how these books might be integrated into your institution's website to encourage readers to learn about other related titles. Will you offer your readers other value-added content or services like print-on-demand?

4d) Service Provider and Technical Standards. All books must be digitized and turned into ebooks produced using EPUB 3.0.1 or a later version. Each ebook should have metadata embedded into the file, following the recommendations of the [Best Practices for Product Metadata](#) of the Book Industry Study Group (BISG). Whether you are using an in-house or outside service provider (for example, another press or a commercial firm), please describe it and its experience, and explain why you chose it for this work. Please attach in item 7 of the application a letter of commitment from the service provider that confirms that the books will be in EPUB 3.0.1 or later format and will follow the BISG guide cited above. Also, list other additional formats that you plan to use in addition to EPUB (for example, Kindle format or PDF). You should also ensure that your subcontract to your service provider is reflected in your budget.

4e) Work Plan. Describe each task in your workflow and who will accomplish it and how. Describe how your staff will work in concert with your service provider (if appropriate). Cover key items such as researching and securing rights; digitizing, keying, correcting, and editing texts; converting to EPUB 3.0.1 (and other standards you plan to support, for example KF8/AZW3 to ensure Kindle compatibility); and how/where you will post the ultimate files to the Web for download. Describe any challenges or risks related to the work plan, such as those raised by unanticipated rights or digitization issues. Include a timeline for your project.

4f) Licenses. There are six standard Creative Commons (CC) licenses (found on the [Creative Commons website](#)). Please discuss which of the licenses you intend to use and why. (Depending on the rights that you negotiate with authors or other content owners, you may end up using different CC licenses for different books.)

4g) Marketing Plan. Describe your overall plan for marketing the newly digitized books. For example, describe how you might create new web pages, essays, blogs, videos, or other new marketing content to help engage readers today. Explain what audience(s) you envision for the books that will be digitized, and how you will tailor your marketing plan accordingly.

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, budget form, and sample budget on the [program resource page](#).

If you are contracting some of the work to a service provider, please indicate the total subcontract amount in your budget in section 6 “services” and also include a separate page that breaks out the detailed costs of the subcontract.

If the applicant institution has a federally negotiated indirect-cost rate agreement and is claiming indirect costs, submit a copy of the 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 at 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 application 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.

Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect-cost rate or have not submitted a pending indirect-cost proposal to a federal agency may choose one of the following options:

1. NEH will not require the formal negotiation of an indirect-cost rate, provided that the charge for indirect costs does not exceed the government-wide rate of up to 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 a sponsorship or umbrella organization—that is, an organization that applies for a grant on behalf of an organization that may not be eligible to apply directly to NEH for a grant. Applicants choosing this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.
2. If your organization wishes to use a rate higher than 10 percent, provide on the budget form an estimate of the indirect-cost rate and the charges. If the application is approved for funding, the award document will provide instructions on how to negotiate an indirect-cost rate with NEH.

All project directors will attend a project directors meeting (date and location to be determined). The meeting will be aimed at discussing and disseminating best practices for ebook digitization. Directors should budget accordingly for a one-day meeting in the first year of the requested grant period.

Applicants are advised to retain a copy of their budget form.

6. Résumés

Include brief (two-page) résumés for each of the principal project participants, as well as members of the advisory board.

7. Letter(s) of commitment

Include a letter of commitment from your service provider (whether in-house or an outside vendor) that confirms that the books will be converted to EPUB 3.0.1 or later format and will follow BISG's Best Practices for Product Metadata. You may also attach letters of commitment from participants and cooperating institutions.

8. List of books and other appendices

All applicants must list in an appendix the books that they propose to digitize. For each book, please provide the following information. Use no more than one page per book.

- **Title**
- **Author(s)**
- **Discipline(s)**
- **Edited Collection? (yes or no)**
- **Year of Publication**
- **Name of Publisher**
- **Number of Pages in Hardcover Edition**
- **Current Digital Status:** Explain whether you already have on hand a digital version of the book. If so, in what format is it? (For example, it might be in Adobe Indesign or it might be a raw TIFF scan with OCR.) Alternatively, is the book available in paper form only? (For example, it might be available only as a hardcover book.)

If necessary, attach other relevant materials in the appendices.

HOW TO SUBMIT YOUR APPLICATION

The application must be submitted to 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.**

Deadlines

Program staff recommends that draft proposals be submitted at least six weeks before the deadline. Time constraints may prevent staff from reviewing draft proposals submitted after that date.

Applications must be received by Grants.gov on or before September 13, 2016. Grants.gov will date- and time-stamp your application after it is fully uploaded. Late applications will not be reviewed.

V. Application Review

Evaluators are asked to apply the following criteria:

1. The intellectual significance of the proposed slate of books, including the books' potential to enhance research, teaching, and learning.
2. The appropriateness of the overall marketing plan and new marketing materials that help contextualize the books for readers today.
3. The reasonableness of the proposed budget in relation to anticipated results.
4. The quality of the conception, definition, organization, and description of the project and the applicant's clarity of expression.
5. The overall experience and track record of the project team (including the service provider) in book digitization projects and its ability to meet the technical requirements of the grant program.
6. The feasibility of the work plan and schedule.

Review and selection process

Knowledgeable persons outside NEH and the Mellon Foundation will read each application and advise both organizations about its merits. NEH and Mellon staff will comment on matters of fact or on significant issues that otherwise would be missing from these reviews.

Based on the outcome of these reviews, NEH staff will make recommendations to the National Council on the Humanities. The NEH 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 for NEH awards. More details about NEH's review process are available [here](#).

Based on the outcome of these reviews, Mellon staff will make recommendations to the Mellon Foundation's Board of Trustees. The Mellon Foundation's Board meets quarterly and makes final decisions on grant proposals.

Prior to making an award, NEH will conduct a risk assessment of successful applicants, consistent with Uniform Guidance [§200.205](#). (See Section VI below 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.

Highly-rated proposals may be funded by NEH and/or Mellon.

VI. Award Administration Information

Note that some awards will be made by NEH, while others will be made by the Mellon Foundation. Awardees may be asked to prepare additional information (beyond the information supplied in the application), depending on who is issuing their grant. Awardees should also be

aware that final reporting requirements and other details may differ, depending on which organization issues their grant.

The information below, unless otherwise noted, applies to all awardees.

Award notices

Applicants will be notified of the decision by e-mail in March 2017. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail in April 2017. Applicants may obtain the evaluations of their applications by sending an e-mail message to odh@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’s Office Inspector General. You can find details on how to report such allegations and suspicions [here](#).

Administrative requirements

Before submitting an application, applicants should review their [responsibilities as an award recipient](#) and the [lobbying certification requirement](#). Applicants should also familiarize themselves with the Mellon Foundation’s grantmaking policies and guidelines, which are available at <http://mellon.org/grants/grantmaking-policies-and-guidelines/>.

Award conditions (for NEH awards only)

The requirements for awards are contained in the [General Terms and Conditions for Awards](#), any specific terms and conditions contained in the award document, and the federal government’s [Uniform Administrative Guidance document](#).

Reporting requirements (for NEH awards only)

A schedule of report due dates will be included with the award document.

Reports must be submitted electronically via [eGMS](#), NEH’s online grant management system.

A final performance report will be required and interim reports may be required, depending on the length of the grant period. Further details can be found in [Performance Reporting Requirements](#).

A final [Federal Financial Report](#) (SF-425, PDF) will be due within ninety days after the end of the award period. For further details, please see the [Financial Reporting Requirements](#).

White paper requirement

A white paper will be required of both NEH and Mellon grantees and will be due within ninety days after the end of the grant period. This white paper should document the project, including lessons learned, so that others can benefit. This white paper will be posted on the NEH website.

VII. Points of Contact

If you have questions about the program, contact the ODH staff at odh@neh.gov. Applicants wishing to speak to a staff member by telephone should provide in an e-mail message a telephone number and a preferred time to call.

If you need help using Grants.gov, refer to

Grants.gov: <http://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)

VIII. Other Information

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 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

- **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.
- **Verify your institution’s registration or register your institution 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. (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.) You can also search Grants.gov for this program. 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
 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: Table of contents (name the file “contents.pdf”)
 - ATTACHMENT 2: List of project participants (name the file “participantslist.pdf”)
 - ATTACHMENT 3: Abstract (name the file “abstract.pdf”)
 - ATTACHMENT 4: Narrative (name the file “narrative.pdf”)
 - ATTACHMENT 5: Budget (name the file “budget.pdf”)
 - ATTACHMENT 6: Résumés (name the file “resumes.pdf”)
 - ATTACHMENT 7: Letter(s) of commitment (name the file “letters.pdf”)
 - ATTACHMENT 8: List of books and other 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 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.

Be sure to read the [document](#) (PDF) that explains how to confirm that you successfully submitted your application.