DIVISION OF EDUCATION PROGRAMS

NEXT GENERATION HUMANITIES PhD PLANNING GRANTS

Deadline: November 29, 2017 (for projects beginning April 2018)

Catalog of Federal Domestic Assistance (CFDA) Number: 45.162

If after reading this document you have questions about this grant program, contact the staff of NEH’s Division of Education Programs at 202-606-8500 or nextgen@neh.gov. Applicants who are deaf or hard of hearing can contact NEH via Federal Relay (TTY users) at 800-877-8399.
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I. Program Description

In recent years, research published by *Humanities Indicators*, among others, has revealed that humanities PhDs pursue careers in many different professions—both inside and outside academia. Yet most humanities PhD programs in the United States still prepare students primarily for tenure-track professor positions at colleges and universities. The increasing shortage of such positions has changed students’ expected career outcomes. NEH therefore hopes to assist universities in devising a new model of doctoral education, which can both transform the understanding of what it means to be a humanities scholar and promote the integration of the humanities in the public sphere.

Next Generation Humanities PhD Planning Grants support universities in preparing to institute wide-ranging changes in humanities doctoral programs. Humanities knowledge and methods can make an even more substantial impact on society if students are able to translate what they learn in doctoral programs into a multitude of careers. Next Generation Humanities PhD Planning Grants are designed to bring together various important constituencies to discuss and strategize, and then to produce plans that will transform scholarly preparation in the humanities at the doctoral level. Students will be prepared to undertake various kinds of careers, and humanities PhD programs will increase their relevance for the twenty-first century.

Applicants are encouraged to read the white papers posted by former grantees for details on the work of previous Next Generation Humanities PhD Planning projects. Click [here](#) to see a list of grantees and links to their white papers.

**Grantee institutions must provide funds raised from nonfederal third parties equal to the grant funds released by NEH.**

Grantees may not use Next Generation Humanities PhD Planning Grants to support

- faculty or student travel abroad;
- the development of courses for a non-degree program;
- textbook research or revision;
- promotion of a particular political, religious, or ideological point of view;
- advocacy for a particular program of social or political action;
- support of specific public policies or legislation; or
- projects that fall outside of the humanities (including the creation or performance of art; creative writing, memoirs, and creative nonfiction; and empirically based social science research or policy studies).

**Award information**

NEH will offer successful applicants a 1:1 matching grant of up to $25,000 for as long as twelve months. Thus the total grant will come to a maximum of $50,000: up to $25,000 raised by the grantee institution from nonfederal third parties, and up to $25,000 provided by NEH. The
requested grant amount should be appropriate to the needs of the institution, the scope of the planning, and the institution’s capacity to raise funds from nonfederal third parties.

Successful applicants must raise contributions from nonfederal third parties and have them certified before NEH will release the grant funds to the grantee (see NEH’s Federal Matching Funds Guidelines).

Matching funds

Matching funds consist solely of cash gifts donated by nonfederal third parties to a project. Cash contributions made to a project by the applicant or other federal agencies will not be certified by NEH as matching funds (and will accordingly not be matched by NEH). Similarly, in-kind gifts (donated services and goods) will not be certified by NEH as matching funds or matched by NEH.

If sufficient donations are not raised, the federal offer may have to be forfeited. The forfeiture of some or all federal funds proportionately reduces the total matching requirement.

Certification of gifts is due no later than July 1, 2018.

Eligibility

Eligible applicants are U.S. nonprofit institutions of higher learning with PhD programs in the humanities. Individuals are not eligible to apply.

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.

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;
- consult the program’s evaluation criteria, which are listed immediately below;
- review the sample narratives, which are available on the program resource page; and
- contact the program staff (at 202-606-8500 or nextgen@neh.gov) to discuss your project and raise any questions you may have about the application.
Evaluation criteria

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

1. **Significance of the Ideas Animating the Planning Process**
   The quality, breadth, and scope of the ideas underlying the planning and the potential impact in transforming humanities doctoral education.

2. **Planning Committee**
   The creativity, qualifications, and level of commitment of team members; their appropriateness to participate in the planning process; the breadth of representation from all relevant constituencies.

3. **Timeline**
   The likelihood that the applicant will achieve the project’s goals in a timely and efficient manner.

4. **Budget**
   The appropriateness and reasonability of the project’s costs, and the ability of the institution to raise the necessary funds from nonfederal third parties.

As noted earlier, applicants are strongly encouraged to contact program officers, who can offer advice about preparing the proposal.

Once NEH has received a formal application, the staff will not comment on its status except with respect to questions of completeness or eligibility.

Application elements

The application consists of an abstract, a narrative, a budget, and supplementary materials (résumés and letters of commitment).

1. **Abstract**

   Provide a one-paragraph abstract (up to one thousand characters, including spaces) written for a nonspecialist audience, clearly explaining the project’s principal activities and its expected results. You should also copy the paragraph into the Project Information field in the Application for Federal Domestic Assistance - Short Organizational form. (Information about this form is available in the Grants.gov Instructions for Institutional Applicants document. You can find a link to that document on the program resource page.)

2. **Narrative**

   The narrative should not exceed ten single-spaced pages, with one-inch margins. You should use at least eleven-point type. The narrative should not assume any specialized knowledge on the part of its readers, and it should be free of jargon.
The narrative should consist of the following sections.

- **Overview**

In a few paragraphs, describe the principal activities and expected results of the planning process. Explain your understanding of the need for new directions in humanities doctoral education, outlining priorities for broadening the career preparation of humanities PhDs, and referring to other projects to transform graduate education if applicable. Mention relevant research or data collected for the programs or disciplines outlined in the proposal, and provide a brief budget summary.

- **Planning Committee**

Explain the composition of the committee to determine the planning agenda. The core committee **must include** at least five to eight humanities graduate students and three to five alumni of the humanities doctoral program; faculty at institutionally relevant levels (adjunct, lecturer, tenure-track, and/or tenured faculty); high-level administrators such as deans and provosts; and humanities-oriented career development professionals. The white papers submitted by current grantees indicate that the involvement of current students and alumni as committee members is a “best practice.”

NEH strongly encourages the presence at appropriate planning meetings of a variety of stakeholders from additional institutional and community entities as advisers and/or working group members. Thus a larger listing of committee members should also include—when institutionally relevant—teaching and learning center professionals; professors and administrators from other fields or schools within the university (for example, from the social sciences or medical sciences); representatives from university presses; potential prospective employers such as disciplinary and professional societies, cultural organizations, government agencies, and corporations; consultants; and staff from other funding agencies.

List names of individuals who have already committed to participating in the planning process, as well as those who have been invited but have not yet committed to participate, and those who might be invited. Explain the contributions that both the committed participants and the potential participants would make to the planning process.

In the supplementary materials section of the application provide two-page résumés for the individuals who have committed to participating, as well as letters of commitment from them.

Explain the qualifications of the project director, who might for example, be an academic administrator or a faculty member. Outline the project director’s responsibilities.

- **Planning Themes**

Outline the topics (three or four at a minimum) that planning committee members will address in their meetings and explain their relevance to your institution. Topics might, for example, include the following:

  - strategies to achieve faculty support for the project;
• ways to integrate multiple career outcomes from the very beginning of students’ experience in graduate school (such as connecting graduate students with humanists who work at museums, historical archives, libraries, nonprofit cultural organizations, state humanities councils, or in publishing);
• approaches to stimulate collaboration between programs, departments, and perhaps different schools within a university;
• ideas for developing new courses and curricula;
• altered formats or requirements for the PhD dissertation (so that a student could receive a doctorate without producing a research monograph);
• experiments in providing financial support for graduate students for activities other than teaching;
• identification of humanities PhD alumni in various fields to advise or mentor graduate students;
• initiation of partnerships with non-academic institutions;
• commitment to collecting and publicly disseminating data about retention rates and students’ post-doctoral career paths; and
• development of an evaluation plan for future activities and implementation.

- **Fundraising**

Discuss the institution’s capacity to raise the necessary funds from nonfederal third parties. Explain how the institution’s development/institutional advancement office will aid project staff in identifying and cultivating third-party donors.

- **Timeline**

Provide a month-by-month schedule of the specific tasks and the individuals responsible for them. It may be helpful to present this section in a grid format. Clearly indicate when the team will meet and explain the expected results of each meeting. Teams must meet at least seven times throughout the grant period.

Grantees will be required to submit a white paper to NEH within ninety days after the end of the grant period. This white paper should document the accomplishments of the planning, including concrete plans for implementation, and comment on lessons learned. This white paper will be posted on the NEH website for the benefit of other potential grantees.

3. **Budget**

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

Eligible budget items for this program may include the payment of a salary or partial salary and/or benefits to the project director, stipends for participants in the planning process, site visits, travel to conferences, and the acquisition of relevant resources.

Near the start of the grant period NEH will host a meeting in Washington, DC, for Next Generation Humanities PhD Planning Grant project directors to discuss strategies and
anticipated outcomes. Please include a line item for this expense (approximately $1,000/project director) in the budget, under travel costs (budget item 4).

If the applicant institution is claiming indirect costs and already has a federally negotiated indirect-cost rate, please indicate on the budget form the rate, the base, the name of the federal agency with which the agreement was negotiated, and the date of the agreement. Please also submit a copy of its current federally negotiated indirect-cost rate agreement. Do not attach the agreement to the budget form. Instead you must attach it to the Budget Narrative Attachment Form. (See the instructions for this form in the Application Checklist near the end of this document.) Alternatively, you must attach a statement to the form, explaining a) that the applicant institution is not claiming indirect costs; b) that the applicant institution does not currently have a federally negotiated indirect-cost rate agreement; or c) that the applicant institution is using the government-wide rate of up to 10 percent of the total direct costs less distorting items (including but not limited to capital expenditures, participant stipends, fellowships, and the portion of each individual subgrant or subcontract in excess of $25,000).

4. Supplementary materials (résumés and letters of commitment)

Include in this section

- two-page résumés for the project director, members of the Planning Committee who have already agreed to serve, and other relevant individuals; and
- letters of commitment from the applicant institution, Planning Committee members, institutional administrators, and other individuals or organizations involved in the planning process.

III. Submitting your Application

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

All applications to this program must be submitted via Grants.gov. NEH strongly recommends that you complete or verify your Grants.gov registration at least two weeks before the application deadline, since it takes time to process your registration.

You can find links to the Grants.gov application package and instructions for preparing and submitting five of the six forms included in the package on the program resource page. Instructions for completing the sixth form are beneath the next heading.

The Federal Funding Accountability and Transparency Act (FFATA) requires federal agencies to make information about the expenditure of tax funds available to the public. To facilitate this, the applicant organization must maintain current information in its Entity record in the System for Award Management (SAM). You must therefore review and update the information in your organization’s Entity record at least annually after the initial registration, and more frequently if required by changes in your organization’s information or another award term. In order for your organization to apply for an award via Grants.gov, receive an award, or receive payment on an award, the information in its Entity record must be current. You can update your organization’s
Entity record [here](#). You may need a new SAM User Account to register or update your organization’s Entity record. NEH strongly recommends that applicant organizations update (or, if necessary, create) their SAM Entity records at least four weeks before the application deadline.

**Instructions for completing the NEH Matching Request Form**

As the form states, you must indicate the fiscal year in which you are requesting funds; fiscal years begin on October 1 and end the following September 30. The relevant date on which matching requests will be made to NEH is the certification date, which is discussed earlier in these guidelines: the certification date is July 1, 2018 (which is in fiscal year 2018).

As a result, the completed form will contain a row for the year 2018.

For that year, provide the information requested in columns A, B, C, and D. The amount requested in Column A (Request from NEH) should equal the amount in Column B (Non-federal third-party gifts). For Column C (Cost share), put 0 (zero). For column D, the NEH required match ratio is one-to-one (1:1).

After you have provided the information for the single year of the grant, the numbers in the “TOTAL” row will appear automatically.

*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.*

**Deadline for submitting applications**

*Grants.gov must receive applications on or before November 29, 2017*, for projects beginning in April 2018. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after November 29, 2017, will not be accepted.

**IV. What Happens After the Submission of an Application**

**Review and selection process**

Knowledgeable persons outside NEH will read each application and advise the agency about its merits. NEH staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH chairman on grants. The chairman takes into account the advice provided by the review process and, by law, makes all funding decisions. More details about NEH’s review process are available [here](#).
Prior to making an award, NEH will conduct a risk assessment of successful applicants, consistent with Uniform Guidance §200.205. (See the second paragraph below the next heading for more information about the Uniform Guidance provided by the Office of Management and Budget.) This assessment guards against the risk that federal financial assistance might be wasted, used fraudulently, or abused. Based on its risk assessment, NEH will include in the award documents specific conditions designed to mitigate the effects of the risk.

Information for all applicants and for successful applicants
Applicants will be notified of the decision by e-mail in March 2018. Institutional grants administrators and project directors of successful applications will receive offer letters in April 2018, accompanied by documents explaining the terms of the offer, matching instructions, and the matching schedule. Once an award is made (after the certification of the funds raised from nonfederal third parties), awardees will receive additional documents identifying 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 proposals by sending an e-mail message to nextgen@neh.gov.

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

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

V. Additional Information

Contact information for the program and Grants.gov
If you have questions about the program, contact

nextgen@neh.gov
202-606-8500

Grants.gov help desk: support@grants.gov
Grants.gov support line: 1-800-518-GRANTS (4726)
Privacy policy

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

Application completion time

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates that 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, D.C. 20506; and the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number.

APPLICATION CHECKLIST

☐ Verify and if necessary update your institution’s Entity record, or create an Entity record for your institution, at the System for Award Management (SAM). Complete at least four weeks before the deadline.

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

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

1. Application for Federal Domestic Assistance - Short Organizational

2. Supplementary Cover Sheet for NEH Grant Programs
3. NEH Matching Request Form

4. Project/Performance Site Location(s) Form

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

ATTACHMENT 1: Abstract (name the file “abstract.pdf”)

ATTACHMENT 2: Narrative (name the file “narrative.pdf”)

ATTACHMENT 3: Budget (name the file “budget.pdf”)

ATTACHMENT 4: Supplementary materials (résumés and letters of commitment) (name the file “supmaterials.pdf”)

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

Do not attach your application budget to the Budget Narrative Attachment Form; instead you must attach it to the Attachments Form (see above in the Application Checklist), as attachment 3.

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. It is your responsibility as an applicant to confirm that Grants.gov and subsequently NEH have accepted your application.

**TIMELINE**

**Until November 29, 2017:** Contact Division of Education Programs program officers (at 202-606-8500 or nextgen@neh.gov) with questions and for advice (optional)
November 1, 2017: Create or verify your institution’s Entity record at the System for Award Management by this date

November 15, 2017: Register your institution (or verify its registration) with Grants.gov by this date

November 29, 2017: Submit application through Grants.gov by this date

January 2018: Peer review panels take place

March 2018: Meeting of the National Council on the Humanities, followed by funding decisions

March 2018: Applicants are notified of the funding decisions

April 2018: Institutional grants administrators and project directors of successful applications receive offer letters by e-mail

April 2018: Successful applicants may begin work on their projects

July 1, 2018: Date by which the grantee must submit certification of the gifts required to claim federal funds