



NATIONAL ENDOWMENT FOR THE HUMANITIES

## **NOTICE OF FUNDING OPPORTUNITY**

### **Funding Opportunity Title: Archaeological and Ethnographic Field Research**

Funding Opportunity Number: 20200930-RFW

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.161

**Application Due Date: September 30, 2020**

Ensure your SAM.gov and Grants.gov registrations and passwords are current.  
NEH will not grant deadline extensions for lack of registration.  
Registration in all systems, including SAM.gov and Grants.gov,  
may take up to 1 month to complete.

Division of Research Programs  
Telephone: 202-606-8200  
Email: [fieldwork@neh.gov](mailto:fieldwork@neh.gov)  
TTY: 800-877-8399

OMB control number 3136-0134, expiration date June 30, 2021

## Executive Summary

The National Endowment for the Humanities (NEH) Division of Research Programs is accepting applications for the Archaeological and Ethnographic Field Research program. The purpose of this program is to provide funding to conduct empirical research in the United States or abroad in order to answer questions of importance to the humanities. While the ultimate expectation of such awards is the dissemination of results through publications and other media, the program supports field costs such as travel, accommodation, field staff, field equipment, and salary replacement for the project director and collaborating scholars.

Funding Opportunity Title:	Archaeological and Ethnographic Field Research
Funding Opportunity Number:	20200930-RFW
Federal Assistance Listing Number (CFDA):	45.161
Application Due Date:	September 30, 2020 at 11:59 p.m. Eastern Time
Anticipated Announcement:	April 2021
Anticipated Total Annual Available FY 21 Funding:	\$800,000
Estimated Number and Type of Award(s):	Up to 10 grants
Funding Range:	Up to \$150,000
Cost Sharing/Match Required:	Conditionally required. See <a href="#">Section C</a> for additional information.
Period of Performance:	4 to 36 months, starting as early as June 1, 2021
Eligible Applicants:	U.S. nonprofit organizations with 501(c)(3) tax-exempt status, public and 501(c)(3) accredited institutions of higher education, state and local governmental agencies, and federally recognized Native American tribal governments.  See <a href="#">Section C</a> or additional information.
Program Resource Page:	<a href="https://www.neh.gov/program/archaeological-and-ethnographic-field-research">https://www.neh.gov/program/archaeological-and-ethnographic-field-research</a>
Pre-Application Webinar	Augst 10 at 3:00 p.m Eastern Time <a href="https://attendee.gotowebinar.com/register/2146956290828107280">https://attendee.gotowebinar.com/register/2146956290828107280</a>

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# A. Program Description

## 1. Purpose

This notice solicits applications for the Archaeological and Ethnographic Field Research program.

Through the Archaeological and Ethnographic Field Research program, the National Endowment for the Humanities (NEH) Division of Research Programs seeks to support institutionally-based projects engaged in empirical field research utilizing archaeological and/or ethnographic methods to answer significant questions in the humanities. Archaeological methods may include field survey and field-based remote sensing, documentation or visualization, and excavations in support of answering research questions in ancient studies, history, anthropology, classical studies, art history, regional studies, epigraphy, and other related disciplines. Ethnographic methods may include participant observation, surveys and interviews, and documentation or recording in pursuit of research questions in anthropology, ethnolinguistics, oral history, ethnomusicology, performance studies, folklore studies, sociology, and related disciplines. Competitive submissions will embody exceptional research design, deploy rigorous field methodologies, and clearly articulate a project's value to humanities scholars, general audiences, or both.

NEH Field Research grants provide up to three years of support for domestic or international fieldwork projects. Allowable costs may include:

- travel, lodging, and subsistence
- permits, fees, and visas for the project personnel
- field equipment and supplies
- labor, specialists, translators, and other local vendors
- salary or salary replacement costs for the project director and compensation for collaborating scholars, including support for foreign individuals who are named as collaborating scholars

NEH Field Research grants also allow for up to \$5,000 per 12-month period to be used for conservation or preservation efforts, including site or artifact conservation, community outreach, and public education efforts. NEH strongly encourages applicants to work closely with local collaborators and/or local communities in the co-creation of knowledge, and the preservation of culture, whenever possible.

NEH invites applications from institutions in which the Project Director is a scholar in any discipline of the humanities or related subfields of the social sciences who holds a Ph.D. or the equivalent. Junior faculty are particularly encouraged to apply. While a project may include collaborating scholars, co-project directors are not permitted in this program.

Projects whose main focus is research on collections, archives, or legacy data, or whose methods are predominantly laboratory-based, will not be considered in this competition. Similarly, while the ultimate expectation of these awards is public dissemination through peer-reviewed publications and other media, publication costs and manuscript preparation are not permitted in this program. Applicants interested in substantial post-fieldwork research and manuscript preparation should consider NEH's [Collaborative Research program](#) or the fellowship programs for individuals.

Field school costs are not permitted. While post-fieldwork analyses or data processing are allowable secondary activities, the primary purpose of the program is to support work in the field.

Unallowable activities are described in section [D6. Funding Restrictions](#).

## 2. Background

This program is authorized by [20 U.S.C. §956, et seq.](#) Awards are subject to [2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#), and the [General Terms and Conditions for Awards to Organizations \(for grants and cooperative agreements issued December 26, 2014 or later\)](#).

According to the 1965 National Foundation on the Arts and the Humanities Act, “The term ‘humanities’ includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism and theory of the arts; those aspects of the social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life.”

Examples of previously funded projects may be found by using the NEH's Funded Projects Query Form available online at <https://securegrants.neh.gov/publicquery/main.aspx>.

To learn more about the National Endowment for the Humanities, visit <https://www.neh.gov/about>.

## NEH Areas of Interest

NEH is especially interested in supporting projects that advance humanities-related work in the following areas.

### **“A More Perfect Union”: NEH Special Initiative Advancing Civic Education and Commemorating the Nation’s 250th Anniversary**

As our nation approaches its 250th anniversary in 2026, NEH encourages projects that promote a deeper understanding of American history and culture and that advance civic education and knowledge of our core principles of government. The agency-wide [“A More Perfect Union”](#) initiative will help Americans better understand the world’s oldest constitutional democracy and how our founding ideals are met in a modern, pluralistic society.

NEH welcomes consideration of diverse topics in American history, from Native American culture to rural life to the rise of the industrial city, from the Civil War to the Cold War to the Civil Rights movement, etc. We also seek projects that examine foundational documents in U.S. history, as well as projects that examine historical objects, places, traditions, events, and individuals who collectively shaped our states and nation. Applications about the contributions of under-represented communities are highly encouraged.

## Standing Together

In recognition of the importance of the humanities both in helping Americans to understand the experiences of service members and in assisting veterans as they return to civilian life, NEH has launched a special initiative titled [Standing Together: The Humanities and the Experience of War](#). This special initiative draws on the power of the humanities 1) to support advanced research in the humanities that explores war and its aftermath; 2) to promote discussion and

deepened understanding of the experiences of those Americans affiliated with the armed services, whether active duty or veterans; and 3) to support returning veterans and their families.

## **Protecting our Cultural Heritage**

In response to the destruction of cultural heritage materials worldwide, NEH encourages applications for projects that study, document, or create digital representations of lost or imperiled cultural heritage materials. Proposed projects should be based on scholarly work and follow standards and best practices. Projects must demonstrate the capacity to be sustained and must be widely accessible to the public. Learn more about [Protecting our Cultural Heritage](#).

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

## **B. Federal Award Information**

### **1. Type of Application and Award**

Type(s) of applications sought: new.

NEH will provide funding in the form of grants.

### **2. Summary of Funding**

Approximately \$800,000 is expected to be available to fund up to 10 recipients.

You may request a period of performance of no less than four and up to thirty-six months, with a start date as early as June 1, 2021. For projects with a period of performance between four and twelve months, you may request up to \$75,000. For periods of performance lasting more than twelve months, you may request up to \$75,000 per year, not to exceed the award ceiling of \$150,000.

NEH will not determine the amount available until Congress has enacted the final FY 2021 budget. This program notice is subject to the appropriation of funds, and is a contingency action taken to ensure that, should funds become available for this purpose, applications can be processed and funds awarded in a timely manner.

Successful applicants will be awarded outright funds, matching funds, or a combination of the two, depending on the availability of funds.

Applicants may request up to \$50,000 in federal matching funds. Matching funds require a one-to-one cost share. For institutions of higher education, **if the project director is a tenured faculty member, the applicant must request at least \$20,000 in Federal Matching funds.** The application budget for tenured faculty must reflect the total NEH Outright funds requested plus an additional \$20,000 or more in required cost share, and the applicant must demonstrate the ability to raise third-party gifts eligible to complete the required match. (As an example: \$50,000 outright request + \$20,000 in Federal Matching funds + \$20,000 required cost share/match = \$90,000 in total project costs, direct and indirect). See [C2. Cost Sharing](#).

## C. Eligibility Information

### 1. Eligible Applicants

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

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

### 2. Cost Sharing

Institutions of higher education whose project director is a tenured faculty member are required to provide at least \$20,000 in cost share.

For applicants whose project director is non-tenured, tenure-track, an adjunct faculty member, or a post-doctoral researcher, there is no cost sharing requirement, unless federal matching funds are requested.

Cost-share requirements will be determined based upon the project director named on the [SF-424 Application for Federal Assistance - Short Organizational](#). Note that a change in project director from a non-tenured faculty member to a tenured faculty member may result in a recalculation of required cost share on the award.

Applicants may use voluntary cost sharing for projects in which the total costs exceed the amount awarded by NEH.

Cost sharing or matching is the portion of the project costs not paid by NEH funds. Cost sharing will not be considered in the evaluation of applications.

Voluntary cost sharing consists of the cash contributions made to a project by the applicant, including unrecovered indirect costs, and by third parties as well as third-party in-kind contributions. Third-party in-kind contributions means the value of non-cash contributions (such as property or services) that benefit the funded project, and are contributed by non-federal third parties, without charge, to the recipient of the federal award.

When federal matching funds are requested, the recipient must raise cash contributions from non-federal third parties and have them certified by NEH before the funds are released (see NEH's [Federal Matching Funds Guidelines](#)). The full amount of federal matching funds may not be available for release in the first year of a multi-year period of performance. Federal matching funds are typically distributed on an annual basis over the life of the award. Funds raised to satisfy a match count toward an institution's required cost share for a project.

Recipients are responsible for maintaining auditable records of cost sharing contributions. See [2 CFR §200.306](#) for additional information.

### 3. Other Eligibility Information

Eligible applicants may submit multiple applications for separate and distinct projects under this announcement. An individual may serve as a project director on only one application submitted under this announcement.

If for any reason an application is submitted more than once prior to the application due date (including submitting to the wrong funding opportunity number or making corrections/updates), NEH will only accept your **last** validated online submission, under the



correct funding opportunity number, prior to the Grants.gov application due date as the final and only acceptable application.

Project directors must be scholars in any discipline of the humanities or related subfields of the social sciences with a Ph.D. or the equivalent terminal degree. While a project may include collaborating scholars, co-project directors are not permitted in this program.

Two or more applications for federal funding and/or approved federal award budgets are not permitted to include overlapping project costs.

NEH 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. Such resources may not, however, be used as gifts to release NEH matching funds.

NEH does not provide financial assistance to foreign institutions or organizations. Nevertheless, otherwise eligible American institutions may apply for collaborative projects involving U.S. and foreign organizations provided they do not use NEH funds for the purpose of issuing subawards to any foreign organization, as defined by [2 CFR §200.92](#) and [2 CFR §200.330\(a\)](#). This limitation does not preclude American institutions from obtaining the services of foreign individuals and consultants to carry out various programmatic activities on a fee-for-service basis, as specified in [2 CFR §200.459](#); it also does not preclude vendor contracts such as in-country transportation services. If you are interested in submitting an application for a project involving international collaboration, please consult beforehand with the division staff.

All application materials must be received by the application deadline. Late, incomplete, nonresponsive, or ineligible applications will not be considered for funding under this notice. Applications that exceed specified page limits will not be reviewed. See the [Application Components Table](#).

## **D. Application and Submission Information**

### **1. Application Package**

You must apply electronically, using either [Grants.gov Workspace](#) or your organization's system-to-system software. Use the Standard Form 424 - Short Organizational (SF-424 Short) application package associated with the funding opportunity, and follow the instructions provided by Grants.gov unless otherwise noted below.

The Program Name application package is available in Grants.gov. A link to the application package can be found on the [program resource page](#).

To request a paper copy of this announcement, contact [fieldwork@neh.gov](mailto:fieldwork@neh.gov). Applicants who are deaf or hard of hearing (TTY users) can contact NEH via Federal Relay at 800-877-8399.

### **2. Content and Form of Application Submission**

Your application will consist of a narrative, budget, and other required forms and components described below.



## **i. Project Narrative**

The narrative provides a comprehensive framework and description of all aspects of the proposed project. It should be succinct, self-explanatory, well organized, and free of technical terms and jargon so that peer reviewers can understand the proposed project.

You must limit the narrative to ten single-spaced pages with one-inch margins and a font size no smaller than eleven points. Footnotes are not required but are allowed, if they fit within the ten-page limit.

NEH has aligned each section of the narrative with a corresponding review criterion. Refer to [Section E1. Review Criteria](#) for full descriptions.

Successful applications will contain the information below. Use the following section headings for the narrative.

### **Argument for intellectual significance (corresponds primarily to [Review Criterion 1](#))**

Provide a clear and detailed explanation of the project's research questions and their importance to humanities scholars and general audiences, where appropriate. Discuss the relationship of the proposed research to other published and ongoing work in the discipline or the humanities generally. Explain how the project will complement, challenge, or expand relevant existing studies and literature. (1-2 pages)

### **Research design and methods (corresponds primarily to [Review Criterion 2](#))**

Explain how your proposed research design will help to resolve the problems or questions being examined. Describe the theoretical framework of the argument and explain how the proposed research methods will advance it. Indicate the current state of the project and the part or stage of it that will be supported by this award. Explain the appropriateness of the costs associated with these methods vis-à-vis other alternatives (you will have the opportunity to provide greater detail in the [budget justification](#)). (2-4 pages)

For archaeology proposals, state your research questions and explain how your proposed field methods will address these questions. If you are surveying, detail how and where you will conduct the survey, how information will be collected and analyzed, and what results you hope to achieve from these efforts. For documentation or visualization projects, explain what exactly you will be recording and with what particular methods, and how this work will advance a specific research agenda (versus a conservation, preservation, or presentation agenda). If you are excavating, detail how many trenches you will open, of what size, and in what locations. Explain your methods for collecting accurate data to answer your specific research questions. For all archaeological projects, describe how you plan to store and analyze your data, and how you will mitigate against long-term damage to the site or sites you are studying.

For ethnography proposals, state your research questions and explain how your proposed field methods will address these questions. If you are engaged in participant observation, detail how long and in what capacity you will embed yourself in a particular community, and what insights you hope to glean from this time. For surveying or interviewing projects, provide examples of the questions to be asked and the methods by which these questions will be administered and answers will be recorded. Detail how many people you expect to interview, and how you chose these people vs. others. For documentation projects, explain what information or behavior you are trying to capture, how you plan to record it, and how this work will advance a specific research agenda (versus a conservation, preservation, or

public education agenda). For all ethnographic projects, describe how you plan to store and analyze your data, and how you will mitigate against long-term negative effects on the community or communities you are studying.

**Project director and collaborators (corresponds primarily to [Review Criterion 3](#))**

Name the project director and any collaborating scholars who would work on the project during the proposed period of performance, regardless of whether NEH funds are requested to support their participation. Describe their qualifications and responsibilities. Explain what each collaborator would contribute to the project and the method or nature of the collaboration. State anticipated commitments of time, in percentage of time or hours per week for the project director and key personnel.

Explain the project director's competence or background in the area of his or her project. If the area of inquiry is new to the project director, explain the reasons for working in it and his or her qualifications to do so. Where appropriate, specify the level of competence in any language needed for the study. (1-2 pages)

**Plans for dissemination (corresponds primarily to [Review Criterion 4](#))**

Describe the project's intended results and how it will be conveyed to specific audiences. Provide information on how you plan to disseminate the information gained both during and after the field research phase, including governmental, academic, and public outreach where relevant. If the project has a website, provide the URL. If known, provide a list and timetable for the publication of field reports as well as any planned interpretive essays, articles, and books with their prospective authors and publishers.

If the final publication will appear in a language other than English, explain how access and dissemination will be affected.

Applicants who have previously received NEH funding for any phase of the proposal research project must describe how those results were disseminated and to which audiences. (1-2 pages)

<b>NARRATIVE GUIDANCE</b>	
To ensure that you fully address the review criteria, this table provides a crosswalk between the narrative language and where each section falls within the review criteria.	
<b><u>Narrative Section</u></b>	<b><u>Review Criterion</u></b>
<a href="#">Argument for intellectual significance</a>	<a href="#">1</a>
<a href="#">Research design and methods</a>	<a href="#">2</a>
<a href="#">Project director and collaborators</a>	<a href="#">3</a>
<a href="#">Plans for dissemination</a>	<a href="#">4</a>

## ii. Research and Related Budget

Applicants must submit a project budget using the Research and Related Budget Form found in the Grants.gov application package, and attach a [Budget Justification in section L](#) of this form.

Complete a detailed budget for the period of performance requested. The form will generate a cumulative budget for the period of performance.

Required fields are indicated in yellow. If no funds are requested for a required field, enter "0." You must round to the nearest whole dollar amount in all dollar fields.

All of the items listed, whether supported by NEH funds or required cost sharing contributions (if applicable), must be reasonable, necessary to accomplish project objectives, allowable in terms of [2 CFR 200 Subpart E - Cost Principles](#), auditable, and incurred during the period of performance. All costs are subject to audit, record retention, and other requirements set forth in [2 CFR 200 Subpart F](#).

The inclusion of a cost category on the Research and Related Budget Form does not automatically indicate that an expense is allowable in this program. See [D6. Funding Restrictions](#) for a list of unallowable costs. Carefully review these instructions to ensure that costs are not disallowed.

When indirect costs are charged to the project, ensure that expenses included in the organization's indirect cost pool are not charged to the project as direct costs. For further information, see [Section H. Indirect Costs](#).

### **Introductory Fields**

If not pre-populated, indicate your organization's D-U-N-S® number, the name of your organization, and the period of performance start and end dates. The period of performance start and end dates must be the same as your [SF-424 Application for Federal Assistance - Short Organizational](#). Check "Project" for budget type.

### **Section A. Senior/Key Person**

Include the names of the project director and other senior/key persons employed by the applicant organization who are involved in the project.

Indicate the name and project role of each senior/key person. Enter the annual compensation and identify the number of months the senior/key person will devote to the project in the applicable box (i.e., calendar, academic, summer). Use either calendar months OR a combination of academic and summer months.

If level of effort does not change throughout the year, you may use only the calendar months column. You may use both the academic and summer months columns if your institutional business process requires noting each separately even if effort remains constant. If effort varies between academic and summer months, leave the calendar months column blank and use only the academic and summer months columns. If your institution does not use a 9-month academic year or a 3-month summer period, indicate your institution's definition of these in [Section L. Budget Justification](#).

Regardless of the number of months being devoted to the project, indicate the salary and amount of fringe benefits being requested for the senior/key person. Per [2 CFR §200.431](#), fringe benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe benefits include, but are not limited to, the costs of leave (vacation, family-related, sick, or military), employee insurance, pensions, and unemployment benefit plans. The sum of requested salary and fringe benefits will automatically calculate for each senior/key person.

The form can accommodate up to eight senior/key persons. If you are requesting funds for more senior/key persons than the form allows, you must include an attachment listing the additional senior/key person(s) in the "Additional Senior/Key Persons" field. Attach only one PDF file named additionalpersonnel.pdf. Use the same format as the budget form and include all the information identified in this section. If you have attached a file with additional

senior/key persons, enter the total funds requested for everyone listed in the attachment in the "Total Funds requested for all Senior/Key Persons in the attached file" field.

All salaries and wages claimed must be in compliance with [2 CFR §§200.430](#) and [466](#). All fringe benefits claimed must be in compliance with [2 CFR §200.431](#).

Do not list details of collaborators at other institutions or consultants here, as they will be included in [Section F. Other Direct Costs](#).

## **Section B. Other Personnel**

For each project role category described below, identify the number of personnel proposed, the total number of months, the total salary, and total fringe requested as described in [Section A. Senior/Key Person\(s\)](#). Totals will be automatically calculated.

### **Post-doctoral associates, graduate students, and undergraduate students**

For all post-doctoral associates and graduate students individually list names, roles, associated months, and requested salary and fringe benefits in [Section L. Budget Justification](#). As a matter of programmatic policy, costs for undergraduate students are unallowable.

If applicable, include charges for tuition remission and other forms of compensation paid to students as, or in lieu of, salaries and wages. Such costs are subject to the reporting requirements in [2 CFR §200.430](#), and must be treated as direct or indirect cost in accordance with the actual work being performed. Tuition remission may be charged on an average rate basis.

### **Secretarial/Clerical**

In most circumstances, the salaries of administrative, secretarial, or clerical staff at educational institutions and nonprofit organizations are included as part of indirect costs ([Section H. Indirect Costs](#)). However, examples of situations where direct charging of administrative or clerical staff salaries may be appropriate may be found at [2 CFR §200.413 \(c\)](#).

Inclusion of such costs may be appropriate only if **all** of the following conditions are met:

1. Administrative or clerical services are directly involved in a project or activity (for example, a project coordinator).
2. Individuals involved can be specifically identified with the project or activity.
3. Such costs are explicitly included in the budget or have prior written approval of the federal awarding agency.
4. The costs are not also recovered as indirect costs.

Requests for direct charging for secretarial/clerical personnel (i.e., administrative and clerical staff) must be appropriately justified in [Section L. Budget Justification](#). For all individuals classified as secretarial/clerical, provide a justification (in the budget justification) documenting how they meet all four conditions. NEH may request additional information for these positions in order to assess allowability.

### **Other Project Roles**

List any additional project role(s) in the blank(s) provided. Identify the number of each personnel proposed.

You may include up to six named roles. If you have more than six, you must combine project roles here and add an explanation about the named roles in [Section L. Budget Justification](#).

All salaries and wages claimed must be in compliance with [2 CFR §§200.430](#) and [466](#). All fringe benefits claimed must be in compliance with [2 CFR §200.431](#).

Do not list details of collaborators at other institutions or consultants here, as they will be included in [Section F. Other Direct Costs](#).

### **Section C. Equipment Description**

List each item of equipment to be purchased with Federal funds and its estimated cost (including shipping and maintenance), and justify each in [Section L. Budget Justification](#).

Equipment may be purchased for a project if an analysis demonstrates that purchasing is more economical and practical than leasing (equipment rental/user fees should be included in the budget in [Section F. Other Direct Costs](#)). Equipment is defined as nonexpendable personal property costing \$5,000 or more and having a service life of more than one year (unless the organization has established a lower level). See [2 CFR §§200.313](#) and [439](#).

Consistent with [Executive Order 13788](#) ("Buy American and Hire American"), recipients and subrecipients who purchase equipment and products costing \$10,000 or more per unit with grant funds should purchase only American-made equipment and products. This encouragement does not apply to commercial information technology.

You may add up to ten equipment items to this list. If you request funds for more equipment than the form allows, you must include an attachment listing the additional equipment items in this "Additional Equipment" field. Attach only one PDF file named `additionalequipment.pdf`. List each additional item and the funds requested for each individual item. If you have attached a file with additional equipment, enter the total funds requested for all the equipment listed in the attachment.

Total equipment costs will be automatically calculated based on the sum of the "Funds Requested" column and the "Total funds requested for all equipment listed in the attached file" field.

### **Section D. Travel**

Enter the total funds requested for both domestic (both local and long-distance) and foreign travel. In [Section L. Budget Justification](#), include the purpose, destination, dates of travel (if known), and the names and number of travelers for each trip. If the dates of travel are not known, specify the estimated length of trip (e.g., 3 days). **All trips—both foreign and domestic—must be justified individually.**

For local travel, outline the mileage rate, number of miles, reason for travel and staff member/consumers completing the travel. For long-distance travel, calculate per diem amounts for meals and lodging using written institutional policy. The lowest available commercial fares for coach or equivalent accommodations must be used. Any arrangements made on a non-refundable basis are at the risk of the recipient if the services must be cancelled for any reason. All travel costs claimed must be in compliance with [2 CFR §200.474](#), and foreign travel must comply with article 10 of the [General Terms and Conditions for Awards to Organizations](#).

NEH funds may not be used to support attendance at regularly-occurring professional meetings.

Total travel costs will automatically calculate based on domestic and foreign travel costs. Travel to Canada and Mexico is considered foreign travel.

## **Section E. Participant/Trainee Support Costs**

Per [2 CFR §200.75](#), participant support costs are direct costs for expenses such as stipends, travel allowances, subsistence allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences or training projects. Note that field schools are not an allowable activity in this program.

Per [2 CFR §200.432](#), a conference is defined as a meeting, retreat, seminar, symposium, workshop or event whose primary purpose is the dissemination of technical information beyond the non-Federal entity and is necessary and reasonable for successful performance under the Federal award.

Justify participant/trainee support costs in [Section L. Budget Justification](#).

Total participant support costs will be automatically calculated based on the sum of the Funds Requested column.

### **1. Tuition/Fees/Health Insurance**

Leave this field blank.

### **2. Stipends**

List the total funds requested for Participant/Trainee stipends.

### **3. Travel**

List the total funds requested for Participant/Trainee travel. In [Section L. Budget Justification](#), name the travelers (if possible) and reflect the travel expenses for each (e.g., roundtrip airfare, mileage or public transportation, related parking, etc.). Any arrangements made on a non-refundable basis are at the risk of the recipient or participant if the services must be cancelled for any reason.

### **4. Subsistence**

List the total funds requested for Participant/Trainee subsistence. Subsistence expenses include:

- (a) lodging and service charges;
- (b) meals, including taxes and tips; and
- (c) incidental expenses (fees and tips given to porters, baggage carriers, hotel staff, and staff on ships).

### **5. Other**

Describe any other Participant/Trainee support costs (e.g., local ground transportation to various venues, admission fees, bottled water, etc.) and list the total funds requested for all other Participant/Trainee costs described.

### **Number of Participants/Trainees**

List the total number of proposed Participants/Trainees. The value of this field cannot exceed 999.

## **Section F. Other Direct Costs**

Total Other Direct Costs will be automatically calculated based on the sum of the Funds Requested column.



## **1. Materials and Supplies**

List the total funds requested for materials and supplies. Include the total funds requested for materials and supplies to be used in the project costing the lesser of the capitalization level established by the applicant or \$5,000, regardless of the length of its useful life. See [2 CFR §§200.314](#) and [453](#).

In [Section L. Budget Justification](#), indicate general categories, including an amount for each category. Categories with amounts less than \$1,000 are not required to be itemized.

## **2. Publication Costs**

As a matter of programmatic policy, publication costs are not allowed in this program. Costs included on this line will be disallowed.

## **3. Consultant Services**

List the total funds requested for all consultant services. Identify the following items in [Section L. Budget Justification](#), as applicable:

- each consultant, the services he/she will perform, total number of days, travel costs, and the total estimated costs; and
- persons who are confirmed to serve on external advisory committees to the project. Describe the services to be performed.

All consultant fees claimed must be in compliance with [2 CFR §200.459](#).

## **4. Automated Data Processing (ADP)/Computer Services**

List the total funds requested for ADP/computer services. The cost of the applicant's computer services, including computer-based retrieval of scientific, technical, and education information may be requested. In [Section L. Budget Justification](#), include the established computer service rates at the proposing organization, if applicable. If such services are provided by a third-party, include them in [line 5 Subawards/Consortium/Contractual Costs](#).

## **5. Subawards/Consortium/Contractual Costs**

List the total funds requested for project activities to be undertaken by third-party subrecipients. This includes subawards and other contractual costs proposed for the project. A complete itemization of the cost comprising the charge should be provided in [Section L. Budget Justification](#) organized using the same categories present on the Research and Related budget. If there is more than one subrecipient, each must be justified separately in the budget justification. See [2 CFR §§200.330 and 331](#) for additional information.

Per [2 CFR §§200.92](#) and [330\(a\)](#), *subaward* means an award provided by a pass-through entity (the recipient) to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor (as defined in [2 CFR §200.23](#)) or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

This line item should include both direct and indirect costs for all subrecipients. If a subrecipient is claiming indirect costs, include their federally negotiated indirect cost rate agreement as part of [Attachment 9: Federally negotiated indirect cost rate agreement](#).

Contractual costs as defined in [2 CFR §§200.22](#) and [330\(b\)](#), are occasionally sufficiently high to warrant a categorical breakdown of costs. When this is the case, provide detailed information as part of [Section L. Budget Justification](#).



## **6. Equipment or Facility Rental/User Fees**

List the total funds requested for equipment or facility rental/user fees. In [Section L. Budget Justification](#), identify and justify each rental/user fee.

Applicants may charge depreciation in compliance with [2 CFR §200.436](#). If the equipment was purchased with federal funds under another award, user fees may be appropriate (see [2 CFR §200.313 \(c\)\(2\)](#)). The applicant may not charge both depreciation and user fees.

Per [2 CFR §200.432](#), allowable conference costs may include rental of facilities.

The Hotel and Motel Fire Safety Act of 1990 (Pub. L. 101-391) states that federally funded meetings and conferences cannot be held in properties that do not comply with the law. The Act is applicable to all places of public accommodation affecting commerce, and requires that such properties are equipped with:

- hard-wired, single-station smoke detectors in each guestroom in accordance with the National Fire Protection Association (NFPA) standard 72;
- an automatic sprinkler system, with a sprinkler head in each guest room in compliance with NFPA standards 13 or 13R. Properties three stories or lower in height are exempt from the sprinkler requirement.

Note: "places of public accommodation affecting commerce" are any inns, hotels, or other establishments not owned by the Federal Government that provides lodging to transient guests, except that such term does not include an establishment treated as an apartment building for purposes of any State or local law or regulation or an establishment located within a building that contains not more than five rooms for rent or hire and that is actually occupied as a residence by the proprietor of such establishment.

The United States Fire Administration (USFA) is charged with carrying out FEMA's responsibilities with respect to the Hotel and Motel Fire Safety Act of 1990. In addition to compiling, maintaining and publishing the National Master List, USFA is also responsible for taking steps to encourage states to promote the use of automatic sprinkler systems and automatic smoke detection systems.

## **7. Alterations and Renovations**

Do not include any expenses under 7. Alterations and Renovations. Per [2 CFR §200.462](#), costs incurred for ordinary and normal rearrangement and alteration of facilities are allowable as indirect costs.

## **8-10. Other**

Include items not previously listed under other budget categories or in the indirect cost pool in lines 8-10. Use [Section L. Budget Justification](#) to further itemize and justify. "Miscellaneous" and "contingency" are not acceptable budget categories.

Per [2 CFR §200.432](#), allowable conference costs may include speakers' fees, costs of meals and refreshments, and other items incidental to such conferences. Conference hosts/sponsors must exercise discretion and judgment in ensuring that conference costs are appropriate, necessary and managed in a manner that minimizes costs to the NEH award. If incidental food items and/or meals are provided at no charge during meetings, conferences, training, or other events attended while on NEH-supported travel, the per diem charged to the award must be reduced accordingly. Alcoholic beverages are unallowable and may not be included in your budget.

## Section G. Total Direct Costs

This total will be automatically calculated based on the sum of the Total funds requested for all direct costs (sections A-F).

## Section H. Indirect Costs

Indirect costs (sometimes referred to as Facilities and Administration or “F&A”) are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Items that would typically be regarded as indirect costs include the depreciation on buildings, equipment and capital improvement, operations and maintenance expenses, salaries of executive officers, accounting, and legal services.

Indirect costs are computed by applying a federally negotiated indirect cost rate to a distribution base (usually the modified total direct costs of the project).

For applicants seeking reimbursement for indirect costs: carefully review your institution’s negotiated indirect cost rate(s) to make sure you are using the most appropriate rate in your application budget. Many institutions of higher education 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.

Note: Except as provided in paragraph (c)(1) of [2 CFR §200.414](#), federal agencies must use the negotiated rates in effect at the time of the initial award throughout the life of the federal award. Award levels may not be adjusted in future years as a result of changes in negotiated rates. Except as provided in [2 CFR §200.414](#), when an educational institution does not have a negotiated rate with the federal government at the time of an award (because the educational institution is a new recipient or the parties cannot reach agreement on a rate), the provisional rate used at the time of the award must be adjusted once a rate is negotiated and approved by the cognizant agency for indirect costs. If the recipient fails to negotiate an indirect cost rate applicable to the period of performance within the period of performance, indirect costs may be disallowed.

Organizations that wish to include indirect costs in the budget but have **never** had a federally negotiated indirect cost rate may choose one of the following options:

- direct cost all expenses;
- submit an indirect cost proposal to their cognizant federal agency to negotiate a rate with the federal government within three months of the effective date (period of performance start date) of the award (subrecipients may negotiate a rate with the recipient consistent with the requirements outlined in [2 CFR §200.414](#)); or
- per [2 CFR §200.414\(f\)](#), the applicant may charge a de minimis rate of 10 percent of modified total direct costs (MTDC).

Per [2 CFR §200.68](#), modified total direct costs are all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). Modified total direct costs excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. If you choose one of these three options, indicate on the budget form which option you are choosing.

If you are claiming indirect costs, include a copy of your federally negotiated indirect cost rate agreement as [Attachment 9: Federally negotiated indirect cost rate agreement](#).

### **Indirect Cost Type**

Enter the type of indirect cost (e.g., Other Sponsored Activities (OSA), All Programs, Instruction, 10% de minimis, etc.) and base (e.g., Salaries, Salaries & Fringe, MTDC, etc.) and whether the activity and rate are off-site or onsite. If more than one rate or base is involved for a given type of indirect cost, then list them as separate entries. If you do not have a current indirect rate(s) approved by a federal agency but intend to (re)negotiate, indicate "None--will negotiate." Use [Section L. Budget Justification](#) if additional space is needed.

### **Indirect Cost Rate (%)**

Enter the most recent indirect cost rate(s) established with the cognizant federal agency. This field should be entered using a rate such as "32.5."

### **Indirect Cost Base (\$)**

Enter the amount of the base for each indirect cost type. Use [Section L. Budget Justification](#) to explain any exclusions applied to the F&A base calculation.

### **Funds Requested (\$)**

Enter the funds requested for each indirect cost type.

### **Total Indirect Costs**

This total will be automatically calculated from the "Funds Requested" column.

### **Cognizant Federal Agency**

Enter the name of the cognizant Federal Agency.

### **Section I. Total Direct and Indirect Costs**

This total will be automatically populated from the sum of Total Direct Costs (from [Section G. Direct Costs](#)) and the Total Indirect Costs (from [Section H. Indirect Costs](#)).

### **Section J. Fee**

Do not include any expenses under this section.

### **Section K. Total Costs and Fee**

This total will be automatically calculated from the sum of Total Direct Costs and Fee (from sections "I. Total Direct and Indirect Costs" and "J. Fee"). Since there is no fee, this should be the same amount as in [Section I. Total Direct and Indirect Costs](#).

### **Section L. Budget justification**

The "Budget Justification" attachment is required. Attach only one PDF file named justification.pdf.

Use the Budget Justification to provide the additional information requested in each budget category identified above and any other information the applicant wishes to submit to support the budget request. The budget justification must specifically describe how each item will support the achievement of proposed objectives. If you have a quote(s), you may include it here. The following budget categories must be justified, where applicable: equipment, travel, participant/trainee support, and other direct cost categories.

Also use the Budget Justification to explain any exclusions applied to the F&A base calculation.

**If your project includes voluntary cost share**, describe it here. However, these costs should not be included on the Research and Related budget form.

**If you are requesting federal matching funds**, required cost share must be included on the Research and Related budget form. Identify the activities to be covered by such funds in the budget justification, describe your contributions to the project here. The total federal matching funds and cost share should be equal to the amounts indicated on the [Supplementary Cover Sheet for NEH Grant Programs](#) in the “Federal Matching” and “Cost Sharing” fields.

Do not use the budget justification to expand the project narrative.

### iii. Application Components

In addition to the standard forms included in the Grants.gov application package, your application also consists of a narrative, budget, and other required attachments. You will upload these components into the [Attachments Form](#).

The Application Components Table below will help you prepare a complete application. Applications missing any required documents or conditionally required documents from this list will be considered incomplete and will be rejected from further consideration.

Proposals that exceed page limits or violate format instructions will be considered nonresponsive and will be rejected from further consideration.

Application component	Naming convention	Page limits	Notes
<a href="#">SF-424 Application for Federal Assistance - Short Organizational</a>	Not applicable (Grants.gov form)		Required
<a href="#">Supplementary Cover Sheet for NEH Grant Programs</a>	Not applicable (Grants.gov form)		Required
<a href="#">Project/Performance Site Location(s) Form</a>	Not applicable (Grants.gov form)		Required
<a href="#">Research and Related Budget</a>	Not applicable (Grants.gov form)		Required
<a href="#">Certification Regarding Lobbying</a>	Not applicable (Grants.gov form)		Conditionally required
<a href="#">Standard Form-LLL, “Disclosure of Lobbying Activities”</a>	Not applicable (Grants.gov form)		Conditionally required
<a href="#">Attachments Form</a>	Not applicable (Grants.gov form)		Required
<a href="#">Attachment 1: Statement of significance and impact</a>	statement.pdf	1	Required
<a href="#">Attachment 2: List of key personnel</a>	participants.pdf	1	Required
<a href="#">Attachment 3: Narrative</a>	narrative.pdf	10	Required
<a href="#">Attachment 4: Work plan</a>	workplan.pdf		Required
<a href="#">Attachment 5: Bibliography</a>	bibliography.pdf	5	Required
<a href="#">Attachment 6: Resumes for key personnel</a>	resumes.pdf	2 pages each	Required
<a href="#">Attachment 7: Statement of funding received and requested</a>	funding.pdf	2	Conditionally required

<a href="#">Attachment 8: Site Description (SF-429-A)</a>	429a.pdf		Conditionally required
<a href="#">Attachment 9: Federally negotiated indirect cost rate agreement</a>	agreement.pdf		Conditionally required
<a href="#">Attachment 10: Explanation of delinquent federal debt</a>	delinquentdebt.pdf		Conditionally required
<a href="#">Attachment 11: Additional supporting documentation</a>	appendices.pdf	15	Optional

## **SF-424 Application for Federal Assistance – Short Organizational**

This form asks for basic information about the project, the project director, and the institution. Items **1**, **2**, and **4** will be automatically filled in; item **3** should be left blank. Provide the following information:

### **5. Applicant Information**

Provide your organization's legal name, address, employer/taxpayer identification number (EIN/TIN), D-U-N-S® number, website address, and congressional district of the institution.

If your institution is located, for example, in the 5th Congressional District of your state, put a "5." If your institution doesn't have a congressional district (for example, it is in a state or U.S. territory that doesn't have districts or is in a foreign country), put a "0" (zero).

Also choose the "type" that best describes your institution (you only need to select one).

All institutions applying to federal programs are required to provide a D-U-N-S® number, issued by Dun & Bradstreet, as part of their application. Project directors should contact their institution's grants administrator or chief financial officer to obtain their institution's D-U-N-S® number.

### **6. Project Information**

a. Provide the title of your project. Your title should be brief (no more than 125 characters, including spaces), descriptive, and substantive. Successful applications will typically have titles that are descriptive of the project, substantive, and free of specialized language. Most importantly, your title should be easily understood by the general public. NEH reserves the right to retitle funded projects for clarity when announcing its funding decisions and in its own reports and communications, but recipients are permitted to use their preferred title for any award products.

b. Provide a brief (no more than one thousand characters) description of your project. The description should be written for a nonspecialist audience and clearly state the importance of the proposed work and its relation to larger issues in the humanities.

c. List the starting and ending dates for your project. All starting dates are on the first day of a month. All ending dates are on the last day of a month.

### **7. Project Director**

Provide the name, title, mailing address, e-mail address, and telephone and fax numbers for the project director. The project director is responsible for the programmatic aspects and day-to-day management of the proposed project. Because the project director's involvement in the proposed project is critical to its success, applicants must notify NEH immediately if the project director listed in the application changes.

The status of the project director will determine the cost sharing requirements for the project. Note that a change in project director may result in a recalculation of required cost share on the award. See [C2. Cost Sharing](#).

## **8. Primary Contact/Grants Administrator**

Provide the contact information for the official responsible for the administration of the NEH award (that is, negotiating the project budget and ensuring compliance with the terms and conditions of the award). This person is often a grants administrator or sponsored programs official.

As a matter of NEH policy, the Project Director listed in section 7 may **not** be the same individual listed as the Primary Contact/Grants Administrator listed in section 8. The role of the project director must be distinguished from that of the institutional grant administrator, who functions as the representative of the recipient organization with authority to act on the organization's behalf in matters related to the administration of the award. All financial reports and prior approval requests such as budget revisions, extensions of the period of performance, and changes in key personnel must be signed or countersigned by the institutional grant administrator. Similarly, official correspondence from NEH to a recipient (for example, an offer letter, the award document, an extension, a supplement or amendment) is addressed to the institutional grant administrator and copied to the project director.

## **9. Authorized Representative**

Provide the contact information for the Authorized Organization Representative (AOR) who is submitting the application on behalf of the institution. This person, often called an "Authorizing Official," is typically the president, vice president, executive director, provost, or chancellor. To become an AOR, the person must be designated by the institution's E-Business Point of Contact. For more information, consult the [Grants.gov Online User Guide](#).

## **Supplementary Cover Sheet for NEH Grant Programs**

Provide the following information:

### **1. Project Director**

Use the pull-down menu to select the major field of study for the project director.

### **2. Institutional Information**

Select the appropriate institution type from the drop-down menu.

### **3. Project Funding**

Enter your project funding information. [Learn more about different funding types.](#)

### **4. Application Information**

Indicate whether the proposal will be submitted to other NEH programs, government agencies, or private entities for funding. If so, indicate when and to whom. NEH frequently cosponsors projects with other funders. Providing this information will not prejudice the review of your application.

For Type of Application, check "new."

Enter the primary project discipline (and, if you like, the project's secondary and tertiary disciplines as well).



## **Project/Performance Site Location(s) Form**

Provide the primary location and any other locations where the project activity will occur **during the period of performance**. This form allows for the collection of multiple performance sites. If you need to add more project/performance site locations than the form allows, enter the information in a separate file and add it to the "Additional Locations" section. Instructions for each requested data element may be viewed by positioning your cursor over the blank field.

## **Certification Regarding Lobbying**

Applicants requesting awards greater than \$100,000 must complete and submit the Certification Regarding Lobbying. Once selected, this form will autofill based upon information provided on the [SF-424 Application for Federal Assistance - Short Organizational](#).

## **Standard Form-LLL, "Disclosure of Lobbying Activities"**

If non-federal funds have been or will be used for lobbying, you must also complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities." See [2 CFR §200.450](#) for additional information.

## **Attachments Form**

Attach your narrative, budget, and the other application components to this form. Consult the [Application Components Table](#) to learn about the required application components, how to name each attachment, and the order in which to attach them. You must name and attach your files in the proper order so that NEH can identify them.

When you open the Attachments Form, you will find fifteen attachment buttons, labeled "Attachment 1" through "Attachment 15." By clicking on a button, you will be able to choose the file from your computer that you wish to attach.

Your attachments must be in Portable Document Format (.pdf). Make sure that all files in formats other than PDF (images, Word or Excel files, etc.) have been properly saved as PDF files. Do not simply rename your non-PDF files with PDF extensions. If an attachment contains multiple documents, you must merge those documents into a single PDF. Do not attach a zip file containing multiple PDFs.

Visit [Grants.gov's Adobe Software Compatibility page](#) to verify the compatibility of your current software or to download the appropriate version. 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.

Note the following Grants.gov file naming conventions: limit file names to 50 or fewer characters. Do not attach any documents with the same name. All attachments should have a unique name. Use only the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Attachments that do not follow this rule may cause the entire application to be rejected or cause issues during processing.

Grants.gov may accept and validate your submission even if required components are missing or improperly formatted. This may result in NEH rejecting your application as incomplete. It is your responsibility to ensure that all required components are properly formatted, attached, and submitted.



#### **iv. Attachments**

Provide the following items in the order specified below to complete the content of the application. Each attachment must be saved as a PDF and named in accordance with naming conventions outlined in the [Application Components Table](#).

##### **Attachment 1: Statement of significance and impact (required)**

Provide a one-page project summary statement written for a non-specialist audience, stating clearly the goals of the proposed work, its relation to larger issues in the humanities, and the impact of the proposed project on future research and scholarship.

This attachment corresponds to [review criterion 1](#).

##### **Attachment 2: List of key personnel (required)**

Provide a list, in alphabetical order, surnames first, of all collaborators and other key personnel, designating the project director. Include institutional affiliations and professional title for all listed participants. For those not affiliated with a nonprofit educational institution, provide occupation and employer; if none, list city and state of residence. (1 page)

##### **Attachment 3: Narrative (required)**

Refer to the prior instructions on preparing your [narrative](#). Name the file narrative.pdf.

##### **Attachment 4: Work plan (required)**

Provide a detailed work plan describing what will be accomplished during the period of performance, including major activities and milestones. Explain what has been accomplished previously on this project, and what will be accomplished between submission of this application and the start of the grant period. If the entire research component of the project will not be finished during the grant period, discuss plans for doing so. Describe where the study will be conducted and to what extent local communities are involved in and/or supportive of the research. Specify the arrangements for access to sites or communities needed to conduct the research.

This attachment corresponds to [review criterion 5](#).

##### **Attachment 5: Bibliography (required)**

Provide a list of the main primary and secondary sources cited in the proposal and relevant to the project's goals and methods. (3-5 pages)

This attachment corresponds to [review criterion 2](#).

##### **Attachment 6: Résumés for key personnel (required)**

Provide brief two-page **résumés** for key personnel on the project, with mailing addresses and e-mail addresses, and listings of the highest degree earned, the name of the institution awarding the degree, professional positions held, institutional affiliations, and major publications.

This attachment corresponds to [review criterion 3](#).

##### **Attachment 7: Statement of funding received and requested (conditionally required)**

If the project has received previous support from any federal or nonfederal sources, including NEH; is currently receiving such support; or is applying for or planning to apply for such support, provide a one- to two-page list of the sources, dates, federal award identification numbers, and amounts of these funds. List the NEH awards already received, year by year.

Include fellowships and individual awards received by project participants. If there is a long history of non-NEH support, the sources and contributions may be grouped and summarized.

Applicants who have previously received NEH funding for any phase of the proposed research project must: 1) discuss how the previously funded project met, or did not meet, its goals according to its original or (if appropriate) revised work plan; and 2) include a table with relevant dates, comparing the stated goals with actual accomplishments during the period of the most recent NEH awards, and listing any changes that occurred.

#### **Attachment 8: Site description (SF-429A Real Property Status Report) (conditionally required)**

NEH requires applicants with proposed projects involving ground disturbance on sites in the United States (including U.S. jurisdictions) to provide information on anticipated environmental and historic preservation impacts as part of their applications for NEH review. Applicants must submit a Real Property Status Report (SF-429A) using the NEH SF-429A instructions with their application. This form and instructions are available on the [program resource page](#). This form is not required for fieldwork in foreign countries.

#### **Attachment 9: Federally negotiated indirect cost rate agreement (conditionally required)**

If the applicant institution is claiming indirect costs and has a current federally negotiated indirect cost rate agreement, submit a copy of the agreement. If a subrecipient is claiming indirect costs, submit a copy of its federally negotiated indirect cost rate agreement. Name the file agreement.pdf.

#### **Attachment 10: Explanation of delinquent federal debt (conditionally required)**

If your organization is delinquent in the repayment of any federal debt, provide explanatory information on a separate page or pages. Also provide evidence that you have entered into a repayment agreement with the Internal Revenue Service, and that you are current on all payments due. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. See [OMB Circular A-129](#).

#### **Attachment 11: Additional supporting documents (optional)**

Additional supporting documents may include the following, when applicable and if the information was not already included in the application narrative or other attachments:

- images, maps, plans, or other illustrations
- letters of support from local stakeholders and government officials
- samples of oral history or interview questions
- permits or other official permissions already granted or pending

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

Your additional supporting documents must not exceed 15 pages.

### **3. Unique Entity Identifier and System for Award Management**

All organizations must submit their applications for NEH funding using [Grants.gov Workspace](#) or a Grants.gov system-to-system solution. 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 (<https://fedgov.dnb.com/webform>)
2. System for Award Management (SAM) (<https://www.sam.gov/SAM/>)
3. Grants.gov (<https://www.grants.gov/web/grants/applicants/organization-registration.html>)

Organizations must obtain a Unique Entity Identifier, currently a valid Dun and Bradstreet Data Universal Numbering System (D-U-N-S®) number. Organizations must also register with the System for Award Management (SAM) and continue to maintain active SAM registration with current information at all times during which you have an active federal award or an application or plan under consideration by an agency (unless the applicant is an individual or federal agency that is exempted from those requirements under [2 CFR §25.110\(b\) or \(c\)](#), or has an exception approved by the agency under [2 CFR §25.110\(d\)](#)).

If you have not already done so, SAM.gov will require entities to create a Login.gov user account. Applicants renewing or updating their registrations are strongly advised to know the e-mail address associated with their current SAM.gov user account. Using the same e-mail address allows SAM.gov to automatically migrate your roles. If a different e-mail address is provided, your roles will need to be reassigned. This could cause delays in renewing or updating your SAM.gov registration. As of February 2, 2019, you will be required to review and agree to the Financial Assistance Representations and Certifications when registering or renewing in SAM.gov. These are a common set of certifications and representations required by federal statutes or regulations in accordance with Title 2 of the Code of Federal Regulations. You can review your organization's SAM registration [here](#).

NEH may not make an award to an applicant until the applicant has complied with all applicable D-U-N-S® and SAM requirements and, if an applicant has not fully complied with the requirements by the time NEH is ready to make an award, NEH may determine that the applicant is not qualified to receive an award and use that determination as the basis for making an award to another applicant.

If you have already completed Grants.gov registration for NEH or another federal agency, confirm that the registration is still active and that the Authorized Organization Representative (AOR) has been approved.

If you fail to allow sufficient time to complete registration with SAM or Grants.gov, you will not be eligible for a deadline extension or waiver of the online submission requirement.

## **4. Submission Dates and Times**

Program officers will review draft proposals submitted by August 19, 2020. Program officers cannot review drafts submitted after this deadline. Although this optional preliminary review is not part of the formal review process and has no bearing on the final outcome of the proposal, previous applicants have found it helpful in strengthening their applications. If you choose to submit a draft proposal, send it as an attachment to [fieldwork@neh.gov](mailto:fieldwork@neh.gov).

The due date for applications under this announcement is September 30, 2020 at 11:59 p.m. Eastern Time.

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

**Confirm that you successfully submitted your application**. It is your responsibility as an applicant to confirm that Grants.gov and subsequently NEH have received your application.

NEH will assign a tracking number beginning with RFW- to your application when it has been received by the agency. The assignment of a tracking number does not guarantee that the application is free of technical problems (such as missing attachments or failure to convert attachments to PDFs). If NEH's system detects a technical problem with your application after retrieving it from Grants.gov, NEH will send you an email notification.

Once an applicant formally submits an application, NEH will not comment on its status except with respect to issues of completeness and eligibility.

## **5. Intergovernmental Review**

This funding opportunity is not subject to intergovernmental review under [Executive Order 12373](#).

## **6. Funding Restrictions**

Funds under this notice may not be used for the following purposes:

- field schools
- publication costs and manuscript preparation
- stand-alone databases, digitization projects, and other projects that lack an interpretive argument
- professional development or training
- meetings of professional and scholarly organizations, societies, and institutions
- attendance at regularly-occurring professional meetings
- planning or putting on exhibitions
- inventories of collections
- development of tools, including digital tools, databases, visualizations, or maps, unless they contribute to answering the project's research questions
- costs exceeding \$5,000 per 12-month period for conservation or preservation efforts, including site or artifact conservation, community outreach, and public education efforts
- promotion of a particular political, religious, or ideological point of view
- advocacy of a particular program of social or political action
- support of specific public policies or legislation
- lobbying
- projects that fall outside of the humanities (including the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; and quantitative social science research or policy studies)

All program income generated as a result of awarded funds must be used for approved project-related activities. The program income alternative applied to the award(s) under the program will be addition. Post-award requirements for program income can be found at [2 CFR §200.307](#).

## **E. Application Review Information**

### **1. Review Criteria**

Peer reviewers will use the following criteria to review applications in the Archaeological and Ethnographic Field Research program:

1. The intellectual significance of the proposed project, including the project's potential to stimulate new research, and its relevance to larger questions in the humanities.
2. The clarity and feasibility of the research design, including the appropriateness of the methods to answer an explicit set of humanities questions, and the project's ability to access the research site, a community, or other resources.
3. The qualifications, expertise, and levels of commitment of the project director and, where relevant, any collaborators, including the appropriateness and value of the collaboration.
4. The soundness of the dissemination and access plans to convey information to the relevant audiences. For organizations whose projects have been previously funded, its productivity in relation to previous goals and accomplishments.
5. The likelihood that the project goals will be completed within the stated time frame (not necessarily during the period of performance).

Each review criterion corresponds with specific sections of the narrative and the other application components.

## **2. Review and Selection Process**

NEH staff review applications for eligibility and completeness. NEH uses a peer review process to evaluate all eligible and complete applications. Peer reviewers are experts in the field with relevant knowledge and expertise in the types of project activities identified in the applications. NEH instructs reviewers to evaluate applications according to the review criteria outlined in this notice of funding opportunity. Peer reviewers must comply with federal ethics and conflicts of interest requirements.

NEH staff comments on matters of fact or on significant issues that otherwise would be missing from peer reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at least twice annually to advise the NEH Chairman. The Chairman considers the advice provided by the review process and, by law, makes all funding decisions. [Learn more about NEH's review process.](#)

## **3. Assessment of Risk and Other Pre-Award Activities**

NEH may elect not to fund applicants with management or financial instability that affects their ability to implement the terms and conditions of the award ([2 CFR §200.205](#)).

Applications that have received a favorable objective review are reviewed for other considerations that include past performance, as applicable; cost analysis of the project budget; assessment of management systems; continued applicant eligibility; and compliance with any public policy requirements. You may be asked to submit additional programmatic or administrative information (such as an updated budget or supporting documentation) or to undertake certain activities (such as negotiation of an indirect cost rate) in anticipation of an award. However, even at this point in the process, such requests do not guarantee that an award will be made. Following review of all applicable information, NEH's approving and grant management officials will determine whether an award can be made, if special conditions are required, and what level of funding is appropriate.

Award decisions are discretionary and are not subject to appeal to any NEH official or board.

## 4. Anticipated Announcement and Award Dates

Applicants will be notified of funding decisions by e-mail in April 2021. For successful applicants, this notification is not an authorization to begin performance or incur related costs. Applicants may request evaluations of their applications by emailing [fieldwork@neh.gov](mailto:fieldwork@neh.gov).

## F. Federal Award Administration Information

### 1. Federal Award Notices

Institutional grant administrators and project directors of successful applications will receive award documents from the NEH Office of Grant Management by e-mail in May 2021.

### 2. Administrative and National Policy Requirements

Awards are subject to [2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#), and the [General Terms and Conditions for Awards to Organizations \(for grants and cooperative agreements issued December 26, 2014 or later\)](#), and the specific terms and conditions in the Notice of Award.

### Debarment, suspension, ineligibility, and voluntary exclusion certification

You must comply with [2 CFR §§180.335](#) and [180.350](#) with respect to providing information regarding all debarment, suspension, and related offenses information, as applicable.

- 1) The prospective recipient certifies, by submission of this application, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- 2) Failure to make required disclosures can result in any of the remedies described in [2 CFR §200.338](#), including suspension or debarment. (See also 2 CFR parts [180](#) and [3369](#)).
- 3) Where the prospective recipient is unable to attest to the statements in this certification, an explanation must be included in [Attachment 10: Explanation of delinquent federal debt](#).

### 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 award products. All other considerations being equal, NEH gives preference to those that provide free access to the public.

NEH 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](#).

### Copyright information

NEH recipients may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, 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. NEH has typically exercised



this right in consultation with recipients to publish an excerpt from resulting grant product(s) in *Humanities* magazine or on the NEH website.

## **Acknowledging NEH support**

All materials publicizing or products resulting from NEH-funded activities must contain an acknowledgment of NEH support. Consult the [Acknowledgment and Publicity Requirements for NEH Awards](#) and [Publicizing Your Project](#) pages on the NEH website for guidance on acknowledging NEH support and promotion.

## **NEH Research Misconduct Policy**

In accordance with the Federal Policy on Research Misconduct, published in the December 6, 2000, edition of the Federal Register, 65 Fed. Reg. 76,260, the National Endowment for the Humanities has established procedures for handling allegations of research misconduct applicable to both internal and external research programs supported by NEH. This policy reflects NEH's interest in the accuracy and reliability of the research record and the processes involved in its development. As defined in the Federal Policy on Research Misconduct, research includes all basic, applied, and demonstration research. Review [NEH's Research Misconduct Policy](#).

## **Section 106 of the National Historic Preservation Act of 1966 and National Environmental Policy Act of 1969**

Archaeological and Ethnographic Field Research projects that include fieldwork occurring in the United States, including U.S. jurisdictions, must be reviewed under Section 106 of the National Historic Preservation Act of 1966 (NHPA) ([54 U.S.C. §306108](#)) and the National Environmental Policy Act of 1969 (NEPA) ([42 U.S.C. §4321, et seq](#)) when the proposed project involves:

- ground disturbing activities;
- an impact within or to a flood plain or wetland;
- a determination of an adverse effect that cannot be mitigated on a property eligible for inclusion the National Register of Historic Places; and/or
- an extraordinary circumstance, such as: public controversy, or extensive site contamination.

**If NEH funds your project, you may not start physical work (ground disturbance) until NEH has completed its environmental and historic preservation compliance reviews required by NEPA and Section 106 of the NHPA.**

Applicants should review the NEH's [Section 106 and NEPA guidance](#) to familiarize themselves with the Section 106 process.

## **Native American Graves Protection and Repatriation Act of 1990**

The Native American Graves Protection and Repatriation Act of 1990 (NAGPRA) provides protection of Native American graves and items, that is, human remains, funerary objects, and sacred objects. NAGPRA applies to any organization which controls or possesses Native American human remains and associated funerary objects and which receives federal funding, even for a purpose unrelated to the Act. More information may be found on the [National Park Service website](#).



## Coordination of Geographic Information and Related Spatial Data

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

## Eliminate waste, fraud, and abuse

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](#).

## 3. Reporting

Recipients must comply with the following reporting and review activities:

- 1.) **Federal Financial Report(s).** Recipients must submit the Federal Financial Report (SF-425) on an **annual** basis. It must be completed online in eGMS Reach, NEH's online electronic grant management system. Further information will be provided in the Notice of Action.
- 2.) **Performance Progress Report(s).** Recipients must submit a performance progress report to NEH on an **annual** basis. It must be completed online in eGMS Reach. Further information will be provided in the Notice of Action.
- 3.) **Final Reports.** Recipients must submit a final financial report and a final performance report within 90 calendar days after the period of performance ends. The final performance report collects information relevant to program specific goals and progress on strategies; impact of the overall project; the degree to which the recipient achieved the mission, goal and strategies outlined in the approved application; recipient objectives and accomplishments; barriers encountered; and responses to summary questions regarding the recipient's overall experiences during the entire period of performance. The final reports must be submitted online in eGMS Reach. Further information will be provided in the Notice of Action.
- 4.) **Tangible Personal Property Report.** If applicable, recipients must submit the Tangible Personal Property Report (SF-428) and any related forms within 90 calendar days after the period of performance ends. Recipients are required to report all equipment with an acquisition cost of \$5,000 or more per unit purchased with NEH funds. Tangible personal property reports must be submitted online through eGMS Reach. Further information will be included in the Notice of Action.

Recipients are encouraged to send copies of books resulting from research supported by NEH awards to the address below.

Learn more about [Performance Reporting Requirements](#) and [Financial Reporting Requirements](#).

## G. Agency Contacts

If you have questions about the program, contact:

Division of Research Programs

National Endowment for the Humanities  
400 Seventh Street, SW  
Washington, DC 20506  
202-606-8200  
[fieldwork@neh.gov](mailto:fieldwork@neh.gov)

If you have questions about registering or renewing your registration with [login.gov](https://login.gov) or [SAM.gov](https://sam.gov), contact the Federal Service Desk Monday – Friday 8 a.m. to 8 p.m. Eastern Time at:

The Federal Service Desk: [FSD.gov](https://fsd.gov)  
U.S. calls: 866-606-8220  
International calls: +1 334-206-7828

For assistance in registering with or submitting your application through [Grants.gov](https://grants.gov), contact [Grants.gov](https://grants.gov) 24 hours a day, 7 days a week, excluding federal holidays at:

[Grants.gov](https://grants.gov) Applicant Support  
Telephone: 1-800-518-4726  
International Calls: 606-545-5035  
Email: [support@grants.gov](mailto:support@grants.gov)  
[Grants.gov Support](#)  
[Self-Service Knowledge Base](#)

Always obtain a case number when calling for support.

## H. Other Information

### Related Funding Opportunities

Applicants interested in substantial post-fieldwork research and manuscript preparation should apply to one of our [fellowship programs](#) or for a [Collaborative Research](#) award.

### 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 on average it takes fifteen hours to complete this application. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed, and completing and reviewing the application.

You may 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 Funding Opportunity Officer at [grantmanagement@neh.gov](mailto:grantmanagement@neh.gov). 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. The OMB Control Number for this notice of funding opportunity is 3136-0134, expiration date June 30, 2021.