



NATIONAL ENDOWMENT FOR THE HUMANITIES

**NOTICE OF FUNDING OPPORTUNITY**

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

Funding Opportunity Number: 20210929-RFW

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.161

**Application Deadline: September 29, 2021**

**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)  
Federal Relay: 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	20210929-RFW
Federal Assistance Listing Number:	45.161
Application Deadline	September 29, 2021, 11:59 p.m. Eastern Time
Anticipated Announcement	April 2022
Anticipated FY 22 Funding	Approximately \$800,000
Estimated Number and Type of Awards	Approximately 6 grants
Award Amount	Up to \$150,000
Cost Sharing/Match Required	Conditionally required. See <a href="#">C2. Cost Sharing</a> .
Period of Performance	4 to 36 months, starting as early as June 1, 2022, and as late as May 1, 2023.
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="#">C. Eligibility Information</a> for 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	June 21, 2021, 2:00 p.m. Eastern Time <a href="#">Join the webinar</a>
Published	June 2, 2021

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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, such as site and artifact conservation and/ or community outreach 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 at which the project director is a scholar who holds a Ph.D. or the equivalent in any discipline of the humanities or related subfields of the social sciences. 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. While post-fieldwork analyses or data processing are allowable secondary activities, the primary purpose of the program is to support work in the field. 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.

Unallowable activities are described in [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 [National Foundation on the Arts and the Humanities Act Of 1965](#), “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 NEH-funded projects may be found using the [Funded Projects Query Form](#).

[Learn more about NEH.](#)

### NEH Areas of Interest

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

#### **A More Perfect Union: Exploring America's Story and Commemorating its 250th Anniversary**

The task of building a more perfect Union rooted in the ideal of human equality falls to every generation of Americans, ours no less than our predecessors. The basic goals of life, liberty, and the pursuit of happiness endure over time, even as the challenges change: from founding a nation out of colonies; to dismantling the institution of slavery; to prevailing through times of economic depression and war; to advancing civil rights for all; to strengthening our democratic institutions; to building a more inclusive and sustainable society.

NEH's [A More Perfect Union](#) initiative encourages projects that explore, reflect on, and tell the stories of our quest for a more just, inclusive, and sustainable society throughout our history. NEH especially welcomes projects that bring the perspective of the humanities to questions of racial justice, gender equality, the evolution of the American landscape, as well as America's place in the world. Projects that strengthen Americans' knowledge of our principles of constitutional governance and democracy are strongly encouraged, as are projects that address the experiences of Native Americans and other under-represented communities. In addition, NEH welcomes projects that develop innovative approaches to sustaining the nation's humanities infrastructure and preserving its historical record.

#### **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**

NEH seeks new applications in response to this notice.

NEH will provide funding in the form of grants.

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

For projects with a period of performance between four and twelve months, you may request up to \$75,000. For projects with a period of performance lasting more than twelve months, you may request up to \$75,000 per year, not to exceed \$150,000.

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 third-party 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 third-party 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). Institutional support does not qualify as third-party cost share. Third party funding does not need to be in hand by time of application, but the application should discuss plans to raise the funds. See [C2. Cost Sharing](#).

The period of performance is from four to 36 months, with a start date as early as June 1, 2022, and as late as May 1, 2023.

Approximately \$800,000 is expected to be available to fund 6 recipients.

NEH will not determine the amount available until Congress has enacted the final FY 2022 budget. This notice is subject to the availability of appropriated funds, and is a contingency action to ensure that, should funds become available for this purpose, applications can be processed and funds awarded in a timely manner.

## **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 raise at least \$20,000 in third-party funds and to request at least \$20,000 in federal matching funds.

For applicants whose project director is an adjunct faculty member, non-tenured, non-tenure-track, 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](#). 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. If the initial project director's tenure status changes during the period of performance, the project's cost share requirements will not be adjusted.

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.

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

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 are 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.

Required cost sharing includes third-party non-federal gift money that must be raised to release federal matching funds. Third-party funding does not need to be in hand by time of application, but the application should discuss plans to raise the funds.

Applicants requesting federal matching funds must raise dollar-for-dollar cash contributions from nonfederal third parties and have them certified by NEH before the funds are released (see the [NEH 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.

Recipients are responsible for maintaining auditable records of the source and use of cost sharing contributions. See [2 CFR §200.306](#).

### 3. Other Eligibility Information

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

If for any reason an application is submitted more than once before the deadline (including submitting to the wrong funding opportunity or making corrections/updates), NEH will only accept your **last** validated submission, under the correct Grants.gov funding opportunity, prior to the deadline as the final and only acceptable application.

Project directors must be scholars in 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. However, applicants may seek funding from other NEH programs for **complementary** aspects of the same overall project.

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 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 in [2 CFR §200.1](#) and [2 CFR §200.331\(a\)](#). 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 in accordance with [2 CFR §200.331\(b\)](#). If you are interested in submitting an application for a project involving international collaboration, consult with program staff.

Applications must be received by the 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

This funding opportunity is available in Grants.gov under number 20210929-RFW. You can also find a link to the funding opportunity on the [program resource page](#).

The application package for this funding opportunity can be found under the "Package" tab. It includes a series of required and conditionally required forms. You will upload additional application components into the [Attachments Form](#).

You must apply electronically using Grants.gov Workspace or a Grants.gov system-to-system solution. A multistep registration process is required to submit your application. See [D3 Unique Entity Identifier and System for Award Management](#).



To request a paper copy of this notice, contact [fieldwork@neh.gov](mailto:fieldwork@neh.gov).

Applicants who are deaf or hard of hearing can contact NEH via Federal Relay at 800-877-8399.

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

Your application will include a [narrative](#), [budget](#), and other required [forms](#) and [attachments](#).

### **Narrative**

Compose a narrative that provides a comprehensive description of your proposed project. Your narrative should be succinct, 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 at least 12-point type. Footnotes are not required but are allowed, if they fit within the ten-page limit.

Use the following section headings for your narrative. NEH has aligned each section of the narrative with a corresponding review criterion. Refer to [E1. Review Criteria](#).

#### **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 in general. 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. For projects primarily involving participant observation, detail how long and in what capacity you will engage with a particular community, and what insights you hope to glean from this time. For projects primarily using

surveying or interviewing methods, discuss how this will be a participatory (rather than an extractive) process. 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 they will be selected. 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). Phenomenological perspectives are only allowed when articulated within an ethnographic framework. For all ethnographic projects, describe how you plan to store and analyze your data, and how you will minimize possible long-term effects on the community or communities you are studying.

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

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)

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

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

Describe the project’s intended result(s) and how it will be conveyed to specific audiences. Explain 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>

## Research and Related Budget

You must submit a project budget using the Research and Related Budget form included in the Grants.gov application package and attach a [budget justification](#).

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

Required fields are indicated in yellow. Round to the nearest whole dollar amount in all dollar fields. The inclusion of a cost category on the Research and Related Budget 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.

All costs, 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](#).

If you charge indirect costs to the project, ensure that expenses included in your organization's indirect cost pool are not charged to the project as direct costs. See [H. Indirect Costs](#).

If you are requesting federal matching funds, your budget must reflect total project costs including the one-to-one required cost share for the federal matching funds. As an example, an applicant requesting \$100,000 in outright funds and \$20,000 in federal matching funds must submit a budget that includes \$140,000 in total project costs (\$100,000 in outright funds, \$20,000 in federal matching funds, and \$20,000 in required third party cost share to unlock the federal matching funds.) Refer to the [NEH Federal Matching Funds Guidelines](#) regarding the eligibility of gifts for matching purposes. 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.

### 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. This should be the same as the information provided on your [SF-424 Application for Federal Assistance - Short Organizational](#). Check "project" for budget type.

### A. Senior/Key Person

Include the names of the project director and other senior/key persons who are employed by the applicant organization and who are involved in the project. Do not include collaborators at other institutions or consultants here, as they will be included in [F. Other Direct Costs](#).

Enter the base salary (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 will not change throughout the year, you may use only the calendar months column. If effort remains constant, but your institutional business process requires noting academic and summer months separately, you may use both columns. 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 nine-month academic

year or a three-month summer period, include your institution's definition of these terms in your [budget justification](#).

Enter the requested salary and fringe benefits for each 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 be automatically calculated for each senior/key person.

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

The form can accommodate up to eight senior/key persons. If you are requesting funds for additional senior/key persons, list them in a separate document using the same format as the Research and Related Budget. Save the document as a PDF named `additionalpersonnel.pdf` and attach it under "Additional/Senior Key Persons" If applicable, enter the total funds requested for personnel listed in the attachment in the "Total Funds requested for all Senior/Key Persons in the attached file" field.

## **B. Other Personnel**

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

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

In your [budget justification](#), list names, roles, associated months, and requested salary and fringe benefits for post-doctoral associates, graduate students, and undergraduate students.

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 costs 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 are included as part of indirect costs (see [H. Indirect Costs](#)). Per [2 CFR §200.413\(c\)](#), direct charging of salaries for administrative or clerical staff may be appropriate only if **all** of the following conditions are met:

1. Administrative or clerical services are integral to a project or activity.
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.

In your [budget justification](#), document how direct charging for secretarial/clerical personnel (i.e., administrative and clerical staff) meets all four conditions. NEH may request additional information for these positions in order to assess allowability.

### **Additional Other Personnel**

List any additional project role(s). The form can accommodate up to six named roles. If you have more than six, combine project roles here and explain in your [budget justification](#).

Salaries and wages claimed must be in compliance with [2 CFR §§200.430](#) and [.466](#). 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 [F. Other Direct Costs](#).

### **C. Equipment Description**

List each item of equipment to be purchased and its estimated cost, including shipping and maintenance. Justify each in your [budget justification](#).

You may purchase equipment if an analysis demonstrates that it is more economical and practical than leasing (equipment rental/user fees should be included in [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 your organization has established a lower level). See [2 CFR §§200.313](#) and [.439](#). You may charge depreciation in compliance with [2 CFR §200.436](#).

Per [2 CFR §200.322](#), as appropriate and to the extent consistent with law, applicants should, to the greatest extent practicable under a federal award, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States. The requirements of this section must be included in all subawards including all contracts and purchase orders for work or products under this award.

The form can accommodate up to ten equipment items. If you request funds for additional equipment, list them in a separate document. Save the document as a PDF named `additionalequipment.pdf` and attach it under "Additional Equipment." Enter the total funds requested for the additional equipment in the "Total funds requested for all equipment listed in the attached file" field.

Total equipment costs will be automatically calculated.

### **D. Travel**

Enter the total funds requested for both domestic (local and long-distance) and foreign travel (travel to Canada and Mexico is considered foreign travel). In your [budget justification](#), include the purpose, destination, travel dates (if known), and the names and number of travelers for each trip. If dates 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 consistent with written institutional policy. The lowest available commercial fares for coach or equivalent accommodations must be used. **Arrangements made on a non-refundable basis are at the risk of the recipient if the services must be cancelled for any reason.**

Travel costs must comply with [2 CFR §200.475](#) and foreign travel must comply with article 10 of the [General Terms and Conditions for Awards to Organizations](#). NEH will use the General Services Administration's [published per diem rates](#) to assess if proposed travel costs are reasonable.

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

Include travel costs for participants in [E3](#) and travel costs for consultants in [F3](#).

Total travel costs will be automatically calculated.

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

As defined in [2 CFR §200.1](#), 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 (but not employees) in connection with conferences or training projects.

Per [2 CFR §200.432](#), a conference is defined as a meeting, retreat, seminar, symposium, workshop, or event, the primary purpose of which 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 support costs in your [budget justification](#). **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.**

Total participant support costs will be automatically calculated.

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

Leave this field blank.

### **2. Stipends**

Enter the total funds requested for participant stipends.

### **3. Travel**

Enter the total funds requested for participant travel. In your [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.).

### **4. Subsistence**

Enter the total funds requested for participant subsistence. Subsistence expenses include lodging and service charges; meals, including taxes and tips; and incidental expenses (e.g., fees and tips).

### **5. Other**

Describe other participant support costs (e.g., local ground transportation to venues, admission fees, bottled water, etc.) and enter the total funds requested for the costs described.

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

Enter the total number of participants. The value of this field cannot exceed 999.

## **F. Other Direct Costs**

Total other direct costs will be automatically calculated.

### **1. Materials and Supplies**

Enter the total funds requested for materials and supplies 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 your [budget justification](#), indicate general categories, including an amount for each category (e.g., personal computers, digital cameras, archival supplies). Itemize categories totaling \$1,000 or more.

## **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**

Enter the total funds requested for consultant services. In your [budget justification](#), describe each consultant, the services he/she will perform, total number of days, travel costs, and the total estimated costs. If your project includes an external advisory committee, include associated costs here.

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

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

Enter the total funds requested for ADP/computer services, including computer-based retrieval of scientific, technical, and education information. In your [budget justification](#), include the established computer service rates, if applicable. If such services are provided by a third-party, include them in [Subawards/Consortium/Contractual Costs](#). Personal computers and peripherals should be included in [Materials and Supplies](#).

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

Enter the total funds requested (both direct and indirect costs) for activities to be performed by third-party subrecipients. This includes subawards and other contractual costs. Itemize the costs associated with the subaward or contract in your [budget justification](#), using the same categories on the Research and Related Budget. Justify each subrecipient individually. See [2 CFR §§200.331](#) and [.332](#).

Per [2 CFR §§200.1](#) and [.331\(a\)](#), a subaward is an award provided by a pass-through entity to a subrecipient to carry out part of a federal award. Payments to contractors (as defined in [2 CFR §200.1](#) and [.331\(b\)](#)) or payments to individuals who are beneficiaries of federal programs are not considered subawards.

A pass-through entity may provide a subaward through any form of legal agreement, including an agreement that the pass-through entity considers a contract. In determining whether an agreement between a pass-through entity and another non-federal entity casts the latter as a subrecipient or a contractor, the substance of the relationship is more important than the form of the agreement. See [2 CFR §200.331\(c\)](#).

Per [2 CFR §25.300](#), recipients may only issue subawards with federal funds to organizations that have obtained and provided to the recipient a unique entity identifier. Subrecipients are not required to complete registration with the [System for Award Management \(SAM\)](#) to obtain a unique entity identifier. See [D3. Unique Entity Identifier and System for Award Management](#).

Contractual costs are occasionally sufficiently high enough to warrant a categorical breakdown of costs. When this is the case, provide detailed information in your [budget justification](#). NEH may request additional information in order to assess reasonableness and allowability.

If a subrecipient is claiming indirect costs, include their federally negotiated indirect cost rate agreement in [Attachment 9: Federally negotiated indirect cost rate agreement](#).

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

Enter the total funds requested for rental/user fees for equipment and facilities. Identify and justify each rental/user fee in your [budget justification](#).

You may charge depreciation in compliance with [2 CFR §200.436](#). If you will use equipment purchased with federal funds under another award, it may be appropriate to charge user fees consistent with [2 CFR §200.313\(c\)\(2\)](#). You may not charge both depreciation and user fees.

Per [2 CFR §200.432](#), allowable conference costs may include rental of facilities. Rental costs under “less-than-arm's-length” leases are allowable with the condition that they must be consistent with the limitations set forth in [2 CFR §200.465\(c\)](#).

Federally funded meetings and conferences must be held in properties that comply with the [Hotel and Motel Fire Safety Act of 1990 \(Pub. L. 101-391\)](#). Consult the U.S. Fire Administration’s [National Master List](#) for a list of fire code compliant hotels.

## **7. Alterations and Renovations**

Leave this line blank. Per [2 CFR §200.462](#), costs incurred for ordinary and normal rearrangement and alteration of facilities are allowable as indirect costs.

## **8-10. Other**

List items not previously included in other budget categories or in the indirect cost pool. “Other” project-specific costs may include promotion, acquisition fees, rights, evaluation and assessment fees, and access accommodations (e.g., audio description, sign-language interpretation, closed or open captioning, large-print brochures/labeling). Itemize and justify costs in your [budget justification](#). “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 must exercise discretion and judgment in ensuring that costs are appropriate, necessary, and managed in a manner that minimizes costs to the 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. Per [2 CFR §200.423](#), alcoholic beverages are unallowable.

## **G. Total Direct Costs**

Total direct costs will be automatically calculated.

## **H. Indirect Costs**

Indirect costs 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. Indirect costs include such expenses as the depreciation on buildings, equipment, and capital improvement; operations and maintenance expenses; accounting and legal services; and salaries of executive officers.

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

Carefully review your institution’s negotiated indirect cost rate(s) to make sure you are using the most appropriate rate for your project. 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.



Except as provided in paragraph (c)(1) of [2 CFR §200.414](#), federal agencies must use the negotiated rate(s) in effect at the time of the initial award throughout the life of the federal award. Award levels will 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.

An organization that wishes to include indirect costs in its budget but does not have 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 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
- charge a de minimis rate of 10% of MTDC (see [2 CFR §200.414\(f\)](#))

Per [2 CFR §200.1](#), MTDC 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 subaward). MTDC exclude equipment, capital expenditures, 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 options, indicate this under Indirect Cost Type.

If applicable, 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 rate (e.g., other sponsored activities, all programs, instruction, 10% de minimis, etc.) and base (e.g., salaries, salaries & fringe, MTDC, etc.) and whether the activity and rate are onsite or off-site. If your budget includes more than one indirect cost rate or base, 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." If needed, provide additional detail in your [budget justification](#).

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

Enter the most recent indirect cost rate(s) established with your cognizant federal agency. Enter your rate as a number without special characters (i.e., 32.5).

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

Enter the base for each indirect cost type. Describe any exclusions in your [budget justification](#). If applicable, refer to your federally negotiated indirect cost rate agreement to determine how to calculate your indirect cost base.

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

Enter the funds requested for each indirect cost type.

## **Total Indirect Costs**

Total indirect costs will be automatically calculated.

## **Cognizant Federal Agency**

Enter the name of your cognizant federal agency, if applicable.

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

Total costs will be automatically calculated.

## **J. Fee**

Leave this field blank.

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

This field will be automatically calculated. Since there is no fee, this will be the same amount as [I. Total Direct and Indirect Costs](#).

## **L. Budget Justification**

A budget justification is required. Save the document as a PDF named justification.pdf. Attach only one file. Do not use your budget justification to expand your narrative.

Provide the information requested to support your budget. If applicable, the following categories must be justified: [equipment](#), [travel](#), [participant/trainee support](#), and [other direct costs](#). If your project includes subawards, detail and quantify all subaward costs.

Your budget justification must specifically describe how costs have been calculated and how each item will support the proposed objectives. If you have a quote(s), include it here.

Explain any exclusions applied to your indirect costs base calculation.

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

If you have requested federal matching funds, identify the activities supported by your required cost share, and the source(s) of funding. Refer to the [NEH Federal Matching Funds Guidelines](#) regarding the eligibility of gifts for matching purposes.

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.

Include other pertinent information, but do not use your budget justification to expand your narrative.

## **Application Components**

Your application consists of a series of forms included in Grants.gov Workspace and other components which you will prepare and upload to the [Attachments Form](#).

Applications missing any required documents or conditionally required documents will be considered incomplete and will be rejected from further consideration.

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

<b>Grants.gov form/Attachment</b>	<b>Naming convention</b>	<b>Page limits</b>	<b>Notes</b>
<a href="#">SF-424 Application for Federal Assistance - Short Organizational</a>	Grants.gov form		Required
<a href="#">Supplementary Cover Sheet for NEH Grant Programs</a>	Grants.gov form		Required
<a href="#">Project/Performance Site(s) Location Form</a>	Grants.gov form		Required
<a href="#">Research and Related Budget Attachments Form</a>	Grants.gov form		Required
<a href="#">Certification Regarding Lobbying</a>	Grants.gov form		Conditionally required
<a href="#">Standard Form-LLL “Disclosure of Lobbying Activities”</a>	Grants.gov form		Conditionally required
<a href="#">Attachment 1: Statement of significance and impact</a>	statement.pdf	1	Required
<a href="#">Attachment 2: List of key personnel</a>	personnel.pdf	1	Required
<a href="#">Attachment 3: Narrative</a>	narrative.pdf	10	Required
<a href="#">Attachment 4: Work plan</a>	workplan.pdf	3	Required
<a href="#">Attachment 5: Bibliography</a>	bibliography.pdf	5	Required
<a href="#">Attachment 6: Résumés 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 includes 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.

#### **5. Applicant Information**

Provide your organization’s legal name, address, employer/taxpayer identification number (EIN/TIN), unique entity identifier (assigned by the [System for Award Management](#)), website address, and [congressional district](#). For example, if your institution is located in the 5th congressional district of your state, put a “5.” If your institution does not have a congressional district (for example, it is in a state or U.S. territory that does not have districts, or is in a foreign country), put a “0” (zero).

Select the applicant type that best describes your organization from the drop-down menu.

Institutions applying to federal programs are required to include a unique entity identifier. If you do not know your identifier, contact your grants administrator or chief financial officer.

## **6. Project Information**

a. Provide the title of your project. It should be brief (no more than 125 characters, including spaces). Successful applications typically have titles that are descriptive of the project and 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, including spaces) description of your project. It 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 start and end dates for your project. Your project must start on the first day of a month and end on the last day of a month.

## **7. Project Director**

Provide the project's director's name, title, and contact information. The project director is responsible for the programmatic aspects and day-to-day management of the proposed project and is critical to its success. You must notify the NEH Office of Grant Management immediately if the project director named in the application changes.

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

Provide the name, title, and contact information for the official responsible for the administration of the award (e.g., negotiating the budget and ensuring compliance with the terms and conditions of the award).

As a matter of NEH policy, the project director named in item 7 may **not** be the same individual named as the primary contact/grants administrator named in item 8. The role of the project director must be distinguished from that of the institutional grants 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. 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 grants administrator. Similarly, official correspondence from NEH to a recipient (for example, an offer letter, award documents, an extension, a supplement, or amendment) is addressed to the institutional grants administrator and copied to the project director.

## **9. Authorized Representative**

Provide the name, title, and 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. Consult the [Grants.gov Online User Guide](#).

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

### **1. Project Director**

Select the project director's major field of study from the drop-down menu.

## **2. Institutional Information**

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

## **3. Project Funding**

Enter the amount of each [type of funds](#) requested, as well as required cost share to unlock federal matching funds, if applicable. Do not include voluntary cost share.

## **4. Application Information**

Indicate whether the proposal will be submitted to other NEH programs, government agencies, or private entities for funding. If so, specify 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.”

Select the project’s primary discipline from the drop-down menu. Optionally, select the project’s secondary and tertiary disciplines.

## **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. You may include multiple performance sites. If you need to add more locations than the form allows, enter the information in a separate file and add it to the "Additional Locations" section. Position your cursor over each field to view instructions.

## **Certification Regarding Lobbying (conditionally required)**

If you are requesting an award greater than \$100,000, you must 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” (conditionally required)**

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

## **Attachments Form**

This form can accommodate up to fifteen attachments. Consult the [Application Components Table](#) to name and sequence your attachments in the proper order so that NEH can easily identify them.

Attachments must be in Portable Document Format (.pdf). Reformat all non-PDF files (i.e., Word, Excel, images, etc.) as PDFs. If an attachment contains multiple documents, merge them into a single file. Do not attach portfolios containing multiple PDFs. NEH cannot accept security-enhanced PDFs (e.g., password-protection, encryption, digital signatures, etc.). Flatten these files before uploading to Grants.gov.

Visit the [Grants.gov 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, contact your system administrator.

Limit file names to 50 or fewer characters. Do not attach any documents with the same name. Each attachment 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. If you do not follow these naming conventions, your application may be rejected.

Grants.gov may accept and validate your submission even if required components are missing or are 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.

### **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.

Your statement of significance must not exceed one page. Name the file statement.pdf. 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.

Your List of key personnel must not exceed one page. Name the file personnel.pdf.

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

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

Your Narrative must not exceed 10 pages. 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 period of performance. If the entire research component of the project will not be finished during the period of performance, 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.

Your work plan should reflect major activities described in your narrative and the project dates identified on the [SF-424 Application for Federal Assistance - Short Organizational](#) and the [Research and Related Budget](#). It should not repeat information included in the narrative.

Your work plan must not exceed three pages. Name the file workplan.pdf. 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. Any standard bibliographic format is acceptable.

Your bibliography must be between three and five pages. Name the file bibliography.pdf. 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 and e-mail addresses, listings of the highest degree earned, the name of the institution awarding the degree, professional positions held, institutional affiliations, and major publications.

Name the file resumes.pdf. 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.

Your statement of funding received and requested must not exceed two pages. Name the file funding.pdf.

### **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-429-A) using the NEH SF-429-A 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.

After completing this form, save it, and then print it to PDF, using either the Adobe PDF print driver or the Microsoft print-to-PDF driver in Microsoft Office.

Name the file 429a.pdf.

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

If your organization 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 and has a current federally negotiated indirect cost rate agreement, submit a copy of the agreement. If you are requesting the de minimis rate, this attachment is not required.

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. 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](#).

Name the file delinquentdebt.pdf.

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

Additional supporting documents may include the following, when applicable and if the information was not included in the 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. Name the file appendices.pdf.

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

Before submitting an application, your organization must have a current and active [D-U-N-S® number](#), [System for Award Management \(SAM\)](#) registration, and [Grants.gov](#) registration. [Learn more about this multistep process](#).

Check your registrations well in advance of the deadline to ensure that they are accurate, current, and active. If your D-U-N-S® number and SAM registration are not active and current at the time of Grants.gov submission, your application will be rejected.

You should allow several weeks for the registration process. 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.

If your SAM registration is not active and current at the time an award is made, NEH may determine that you are not qualified to receive an award and use that determination as a basis for making an award to another applicant.

### **D-U-N-S®**

Your organization must obtain a [Dun and Bradstreet Data Universal Numbering System \(D-U-N-S®\) number](#). D-U-N-S® numbers are unique nine-digit numbers assigned to all types of business organizations, including nonprofits and government entities. A D-U-N-S® number will be required to register with the System for Award Management until April 2022.

### **System for Award Management (SAM)**

Your organization must 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\(d\)](#)). When your organization registers in SAM, it will be assigned a unique entity identifier.



If you have not already done so, you will be required to create a [Login.gov](#) user account. When registering or renewing in SAM, you will be required to review and agree to the Financial Assistance Representations and Certifications, a common set of certifications and representations required by federal statutes or regulations in accordance with Title 2 of the Code of Federal Regulations.

## **Grants.gov**

Your organization must register with [Grants.gov](#) before submitting an application. You must submit your application using [Grants.gov Workspace](#) or a Grants.gov system-to-system solution. Workspace is a shared, online environment where team members may simultaneously access and edit forms within a grant application.

After you register with Grants.gov and create an Organizational Applicant Profile, a request will be sent to your E-Business Point of Contact to assign the appropriate Grants.gov roles to individuals within your organization. This includes the authorized organization representative (AOR) who will give permission to complete and submit applications on behalf of your organization.

If you have previously registered with Grants.gov, confirm that your registration is still active and that your authorized organization representative (AOR) is current.

Grants.gov maintains [a library of instructional videos](#) which may be helpful resources as you prepare your application.

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

Program officers will review drafts submitted by August 12, 2021 at 11:59 p.m. Eastern Time. Drafts submitted after this date will not be reviewed. This optional preliminary review is not part of the formal selection process and has no bearing on the final funding decision. However, previous applicants have found it helpful in strengthening their applications. If you choose to submit a draft, send it as an attachment to [fieldwork@neh.gov](mailto:fieldwork@neh.gov).

The deadline for applications under this notice is September 29, 2021, 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 prior to the deadline to be considered under this notice.

It is your responsibility to confirm that Grants.gov and subsequently NEH have received your application. [Check your application status](#).

When NEH receives your application from Grants.gov, the agency will assign it a tracking number beginning with RFW-. 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 a technical problem is detected, NEH will notify you via email. It is your responsibility to correct any errors prior to the deadline.

Once you have applied, NEH will not comment on the status of your application except on issues of eligibility, completeness, and responsiveness.

## **5. Intergovernmental Review**

This funding opportunity is not subject to intergovernmental review under [Executive Order 12372](#).

## 6. Funding Restrictions

Awards made 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, and community outreach
- 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 and the humanistic social sciences (including the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; and quantitative social science research or policy studies)

See also the unallowable costs included in [2 CFR 200 Subpart E - Cost Principles](#).

## 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 [other application components](#).

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

NEH staff review all applications for eligibility, completeness, and responsiveness, and then 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](#) in this Notice of Funding Opportunity. Peer reviewers must comply with federal ethics and conflicts of interest requirements.

NEH staff comment 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 the NEH review process.](#)

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

Applications that have received a favorable review are subsequently reviewed for other considerations, including 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, such requests do not guarantee that an award will be made.

After reviewing 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. 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 §200.206](#)).

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

## **4. Anticipated Announcement and Award Dates**

NEH will notify applicants of funding decisions by email in April 2022. This notification is not an authorization to begin performance or incur related costs. You may request evaluations of your proposal by contacting [fieldwork@neh.gov](mailto:fieldwork@neh.gov).

## **F. Federal Award Administration Information**

### **1. Federal Award Notices**

Institutional grants administrators and project directors of successful applications will receive award documents from the NEH Office of Grant Management via eGMS Reach in May 2022.

### **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 Action.

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

You must comply with [2 CFR §§180.335](#) and [.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 §200.339](#), including suspension or debarment. See also 2 CFR parts [180](#) and [3369](#).
- 3) If 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.

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. Consult [Design for Accessibility: A Cultural Administrator's Handbook](#).

## **Copyright information**

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 [Acknowledgment and Publicity Requirements for NEH Awards](#) and [Publicizing Your Project](#) for guidance.

## **Program income policy**

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](#).

## **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 the [NEH 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**

Applicants requesting funding for the development, acquisition, preservation, or enhancement of geospatial data, products, or services 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, the proposed geospatial data, products, or services must be produced in compliance with applicable proposed guidance posted at [www.fgdc.gov](#).

## **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](#).

## **Termination**

NEH reserves the right to terminate awards consistent with [2 CFR §200.340](#).

### 3. Reporting

Recipients must comply with the following reporting requirements. Reports must be completed online in eGMS Reach, the NEH online grant management system, unless otherwise instructed. Further information will be provided in the Notice of Action.

- 1.) **Federal Financial Report(s).** Recipients must submit the Federal Financial Report (SF-425) on an annual basis.
- 2.) **Performance Progress Report(s).** Recipients must submit a performance progress report to NEH on an annual basis.
- 3.) **Final Reports.** Recipients must submit a final Federal Financial Report (SF-425) and a final performance report within 120 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, goals, 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.
- 4.) **Tangible Personal Property Report.** If applicable, recipients must submit the Tangible Personal Property Report (SF-428) and any related forms within 120 calendar days after the period of performance ends. Recipients must report all equipment with an acquisition cost of \$5,000 or more per unit purchased with NEH funds.

Recipients are encouraged to send copies of books resulting from research supported by NEH awards to the address below. In addition, recipients are asked to update the "Products and Prizes" tab in eGMS Reach for any publications or prizes resulting from NEH support.

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 administrative requirements or allowable costs, contact:

Office of Grant Management  
National Endowment for the Humanities  
400 Seventh Street, SW  
Washington, DC 20506  
[grantmanagement@neh.gov](mailto:grantmanagement@neh.gov)

If you have questions about NEPA and NHPA, contact:

Office of Grant Management

National Endowment for the Humanities  
400 Seventh Street, SW  
Washington, DC 20506  
[hpe@neh.gov](mailto:hpe@neh.gov)

Applicants who are deaf or hard of hearing can contact NEH via Federal Relay at 800-877-8399.

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, 8:00 a.m. to 8:00 p.m. Eastern Time, at:

[Federal Service Desk](#)

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 Applicant Support](#), 24 hours a day, 7 days a week, excluding federal holidays. at:

[Grants.gov Applicant Support](#)

Telephone: 1-800-518-4726

International Calls: 606-545-5035

Email: [support@grants.gov](mailto:support@grants.gov)

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

NEH solicits the information in this Notice of Funding Opportunity under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, [20 U.S.C. 951, et seq.](#) Disclosure of the information is voluntary. The principal purpose for which NEH will use the information is to process the application, which may include determining eligibility, evaluating the application, selecting recipients, and administering the award program. Panelists and other third parties may assist in the evaluation of applications, in which case NEH will take appropriate security measures with respect to the information provided to such individuals for review. NEH may also use or disclose the information it collects as required by law and for governmental purposes such as statistical research, analysis of trends, Congressional oversight, and the other routine uses set forth in the systems of records notice (“SORN”) published by NEH in the Federal Register. NEH ordinarily will not publicly disclose the contents of applications that NEH does not select for funding, except as set forth in the SORN. Failure to provide the information solicited in this Notice may result in 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.