NATIONAL ENDOWMENT FOR THE HUMANITIES

NOTICE OF FUNDING OPPORTUNITY

Funding Opportunity Title:
Digital Humanities Advancement Grants

Funding Opportunity Number: 20210115-HAA

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.169

Application Due Dates:
January 15, 2021
June 24, 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.

Executive Summary

The National Endowment for the Humanities (NEH) Office of Digital Humanities is accepting applications for the Digital Humanities Advancement Grants program. The program supports innovative, experimental, and/or computationally challenging digital projects at different stages of their lifecycles, from early start-up phases through implementation and sustainability. Experimentation, reuse, and extensibility are valued in this program, leading to work that can scale to enhance scholarly research, teaching, and public programming in the humanities. The program also supports scholarship that examines the history, criticism, and philosophy of digital culture or technology and its impact on society.

Funding Opportunity Title:	Digital Humanities Advancement Grants
Funding Opportunity Number:	20210115-HAA
Federal Assistance Listing Number (CFDA):	45.169
Application Due Dates:	January 15, 2021, 11:59 p.m. Eastern Time June 24, 2021, 11:59 p.m. Eastern Time
Anticipated Announcements:	August 2021 (for proposals submitted for the January 15, 2021 deadline) December 2021 (for projects submitted for the June 24, 2021 deadline)
Anticipated Total Available Funding:	Approximately $2,000,000 per deadline
Estimated Number and Type of Awards:	Approximately 12-15 grants per deadline
Funding Range:	Level I: up to $50,000 Level II: $50,001 to $100,000 Level III: $100,001 to $325,000 An additional $50,000 per project in matching funds may be available for Level III applicants.
Cost Sharing/Match Required:	No
Period of Performance:	Level I: up to 24 months Level II: up to 24 months Level III: up to 36 months Applications submitted for the January 15, 2021 deadline may start no earlier than September 1, 2021. Applications submitted for the June 24, 2021 deadline may start no earlier than January 1, 2022.
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 Section C for additional information.
Program Resource Page:	https://www.neh.gov/grants/odh/digital-humanities-advancement-grants
Pre-Application Webinar:	A pre-recorded webinar available on program resource page after November 13, 2020.

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A. Program Description

1. Purpose

This notice solicits applications for the Digital Humanities Advancement Grants (DHAG) program offered by the NEH Office of Digital Humanities (ODH).

The DHAG program supports innovative, experimental, and/or computationally challenging digital projects at different stages of their lifecycles, from early start-up phases through implementation and sustainability. Experimentation, reuse, and extensibility are valued in this program, leading to work that can scale to enhance scholarly research, teaching, and public programming in the humanities. The program also supports scholarship that examines the history, criticism, and philosophy of digital culture or technology and its impact on society. Proposals are welcome in any area of the humanities from organizations of all types and sizes.

DHAG proposals should respond to one or more of these programmatic priorities:

- creating or enhancing experimental, computationally-based methods, techniques, or infrastructure that contribute to the humanities;
- pursuing scholarship that examines the history, criticism, and philosophy of digital culture or technology and its impact on society; or
- conducting evaluative studies that investigate the practices and the impact of digital scholarship on research, pedagogy, scholarly communication, and public engagement.

Unallowable activities are described in section D6. Funding Restrictions. See the Related funding opportunities section for additional information about other NEH programs that might be appropriate for funding digital projects.

Funding levels

Awards are available at three funding levels. Applicants should carefully choose the funding level appropriate to the scope and maturity of the proposed project.

Level I

Level I awards (up to $50,000 and up to 24 months) support exploratory sessions, workshops, early alpha-level prototypes, and initial planning. In addition, Level I proposals can identify a problem or research question, explore a research agenda, or discover appropriate methodologies or technologies for both new projects and digital humanities projects in need of substantive revision or recovery. Outcomes for Level I projects may include reports, position papers, collaboration building, and plans for subsequent steps and future research or development. For projects pursuing scholarship that examines the history, criticism, and philosophy of digital culture or technology, outcomes might include articles, essays, books, edited volumes, or reports. Applicants planning for the revitalization and/or recovery of existing digital projects should apply for a Level I award for activities that might include testing and evaluation with target audiences to determine needs and priorities; consideration of how project data can be incorporated into a federated or discipline-specific platform; or planning for a redesign of a project's interface to align with current web design and accessibility standards.

Level II

Level II awards (from $50,001 to $100,000 and up to 24 months) support projects that have completed an initial planning phase. Level II proposals should include a well-defined plan of work leading to concrete and tangible outcomes, such as working prototypes or code, sample data sets or models, methodological workflows, and/or documentation.

Level III

Level III awards (from $100,001 to $325,000 and up to 36 months) support scaling-up and expansion of established projects. Level III projects must already have completed a start-up or prototyping phase prior to submitting an application, and must demonstrate project success, discuss targeted user communities, and offer strong plans for accessibility, dissemination beyond the applicant institution, and documentation based on user needs. The earlier phases of the project's development may or may not have been supported by NEH or other funding sources. Level III applicants may request an additional $50,000 in federal matching funds above the $325,000 ceiling to leverage external funding to support digital initiatives and ensure long-term sustainability of digital projects. See Section B. Federal Award Information for more details.

Projects developing new software are encouraged to make the software free including use, copying, distribution, and modification. Open-source software or source code should preferably be made publicly available in an online repository such as GitHub. Software should be thoroughly documented to promote its reuse and implementation.

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 NEH, 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.

Libraries and museums advance the digital humanities

In support of its efforts to advance digital infrastructures and initiatives in libraries and archives, and subject to the availability of funds and agency discretion, the Institute of Museum and Library Services (IMLS) anticipates providing funding through this program. These funds may support some Level I and Level II DHAG projects that further the IMLS mission to advance, support, and empower America's libraries, archives, museums, and related organizations. IMLS funding supports innovative collaborations between library and archives professionals, humanities professionals, and relevant public communities that advance the preservation of, access to, and public engagement with digital collections. IMLS highly encourages DHAG applicants to work in collaboration, and employ the expertise of, library and archives staff at your institution or across the country to strengthen knowledge networks, empower community learning, foster civic cohesion, and support the traditionally underserved. Organizations interested in applying for support for larger projects involving museums, libraries, and/or archives may still apply to the NEH DHAG program (Level III), but should also consider applying to either the IMLS National Leadership Grants for Libraries program or the IMLS National Leadership Grants for Museums program.

Note that while some DHAG projects may be funded in part by IMLS and identified as joint NEH/IMLS projects, all awards will be issued by NEH and recipients must follow NEH grant management procedures. Two or more applications for federal funding and/or approved federal award budgets may not include overlapping costs.

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

Approximately $2,000,000 is expected to be available to fund approximately 12-15 recipients per deadline.

NEH will not determine the amount available until Congress has enacted the final FY 2021 and FY 2022 budgets. 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.

Level I awards are up to $50,000 in outright funding with a period of performance of up to 24 months.

Level II awards range from $50,001 to $100,000 in outright funding with a period of performance of up to 24 months.

Level III awards range from $100,001 to $325,000 in outright funding with a period of performance of up to 36 months.

To encourage institutions to leverage external funding to support digital initiatives and ensure long-term sustainability of digital projects, applicants seeking Level III funding may request up to $50,000 in federal matching funds (for a total award of up to $375,000). Matching funds may support allowable activities that will take place during the period of performance and may include activities that are part of the project's sustainability plan (required for all Level III projects): for example, the work of personnel dedicated to data curation, costs associated with long-term storage, extended documentation planning, training, and other efforts to develop and sustain an audience or user community. Funds raised to satisfy a match count toward an institution's required cost share for a project.

Instructions for documenting matching funds may be found in the instructions for completing the Research and Related Budget.

Applications submitted for the January 15, 2021 deadline may start no earlier than September 1, 2021.

Applications submitted for the June 24, 2021 deadline may start no earlier than January 1, 2022.

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.

An eligible entity may apply on behalf of a consortium of collaborating organizations. The lead applicant would be programmatically, legally and fiscally responsible for the award.

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

2. Cost Sharing

Cost sharing is not required in this program, unless federal matching funds are requested. 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 dollar-for-dollar cash contributions from nonfederal 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.

Recipients are responsible for maintaining auditable records of the source and use of cost sharing contributions. See 2 CFR §200.306 for additional information.

3. Other Eligibility Information

Eligible institutions may submit multiple applications for separate and distinct projects under this announcement. Projects that have significant overlap with other applications already under review by this program (or other NEH programs) will not be reviewed.

Individuals at a given institution may only appear as a project director or co-director on one application to this program per deadline, but may be listed as participants (not in a leadership role) in more than one DHAG application per deadline.

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

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.

An institution whose project has received NEH support may apply for a new or subsequent stage of that project. These proposals receive no special consideration and will be judged by the same criteria as others in the current competition. In addition, these proposals must be substantially updated and must include a description of the new activities and a justification of the new budget.

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 §200.1 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. 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 through Grants.gov, using either 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 Grants.gov registration process is described in Section D3.

The 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 odh@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 state whether you are applying for Level I, Level II, or Level III funding. You may apply to any of the three levels as appropriate to the needs of the project. You are not required to obtain a Level I or II award prior to applying for a Level III award, but you must have completed some earlier phase of work prior to applying for Level III.

For Level I proposals, the narrative section must not exceed **four** pages. For Level II proposals, the narrative must not exceed **six** pages. For Level III proposals, the narrative must not exceed **eight** pages.

For all levels: all pages should be single-spaced and have one-inch margins, and the font size must be no smaller than eleven point. You may use any citation style and format, as long as you use them consistently.

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.

Enhancing the humanities (corresponds to Review Criterion 1)

Provide a clear and concise explanation—comprehensible to a general audience—of the project's intellectual goals and describe how the proposed activities and the ultimate results address a need or challenge for specific audiences (i.e., scholars, students, or public audiences). In this section, describe how the project addresses one of the DHAG program priority areas outlined in section A1. Discuss the potential impact of the project's outcomes. For projects that are developing experimental methods, techniques, or tools, describe the technologies, platforms, and standards that you plan to use and how those choices are shaped by and contribute to needs in the humanities.

NEH views the use of open-source software as a key component in the broad distribution of exemplary digital scholarship in the humanities. If the project will not employ generally accessible open-source software, explain why and also explain how the project will satisfy NEH's goal for scholars, educators, students, and the American public to have ready and easy access to the wide range of NEH award products. (See "Providing access to NEH-funded projects.")

Environmental scan (corresponds to Review Criterion 2)

Describe how your project advances the field by contextualizing the problem and your proposed scholarly and/or technical interventions. Provide a clear and concise summary of relevant work within your area of study as well as work that is technically or methodologically similar. For example, if you are developing software to solve a particular humanities problem, discuss software that may be used to address similar questions in other content areas outside of your field of expertise, and explain how the proposed solution differs. If there are existing software products that could be adapted and re-used for the proposed project, identify them and discuss the pros and cons of taking that approach. If there are existing humanities projects that are similar in nature to your project, describe them and discuss how they relate to the proposed project. The environmental scan should make it clear that you are aware of work being done across the digital humanities and should explain how this proposed project contributes to and advances work already done in the field.

History of the project (corresponds to Review Criterion 2)

Provide a concise history of the project, including information about preliminary research or planning, previous related work, previous financial support, publications produced, and resources or research facilities available.

If you are seeking a Level I award to plan for the revitalization or recovery of an older project, briefly describe how—if at all—the project is currently maintained (for example, through institutional support or grant support). Provide data documenting the project's user community, usage, and/or describe the project's impact on the field.

If you are seeking a Level III award, describe the results of testing and evaluation from earlier stages, and provide a clear explanation of how earlier phases have positioned the project for successful execution. Describe how this implementation phase will enable the project to fulfill its goals.

If your project has received prior NEH support, indicate the project's award number and describe how the previously funded project met its goals.

If the application requests support for part of a larger initiative, clearly delineate the specific part intended for NEH funding through this application. Provide references to any earlier work in this section, with citations or by including a list of references with URLs in in Attachment 7: Appendices.

Activities and project team (corresponds to Review Criteria 3, 4, and 5)

Provide a brief, high level overview summarizing the activities to be accomplished during the period of performance. Discuss all persons directly involved in the proposed project, and whether or not their salaries will be paid with requested grant funds. Describe how the project will support and benefit all project staff, including students, through project-based learning, mentoring, immersion in the activities of the institution, or other professional development opportunities during the period of performance.

Describe plans for measuring success and evaluating the project's activities and impact. These plans may involve people from outside your project team, or members from an advisory board who represent your intended audience. A project developing software might schedule user testing at regular intervals using internal staff, while another project might invite open peer review from individuals outside of the project team near the end of the project. Evaluation activities should measure how the project is addressing its broader goals as defined in the "Enhancing the humanities" section.

Provide a detailed plan and timeline for completing all proposed activities in Attachment 3: Work plan.

If your project involves staging a workshop or conference, include a draft agenda and a list of proposed participants or specific criteria for selecting participants in Attachment 7: Appendices.

Final products and dissemination (corresponds to Review Criteria 1 and 3)

Describe the expected final products from this award, and discuss how these align with the project's goals and how you will ensure they will reach your intended audiences. Explain how project team members and collaborators will be credited for their contributions in the final products of this award.

Describe the plans to disseminate the project results through various media (printed articles or books, presentations at meetings, webinars or training sessions, electronic media, or some combination of these) for your intended audiences. Explain how you will make publications resulting from this grant available in an open access venue. Briefly describe the steps you will take to ensure that the project results will be accessible to individuals with disabilities. Identify what particular guidelines or standards you will adhere to with respect to accessibility and universal design, as well as what sorts of disabilities your steps will address (for example, cognitive or physical disabilities, impaired sight, or impaired hearing). See Section H. Other Information for resources for designing for accessibility.

If applicable, describe any planned activities that will take place after the period of performance ends.

If your project is developing software, describe how your project will address NEH's encouragement that software is free for others to use, copy, distribute, and modify. Describe plans to make open-source software or source code available to the public. Explain plans for documenting software to promote its reuse and implementation.

NARRATIVE GUIDANCE	
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.	
Narrative Section	**Review Criteria**
Enhancing the humanities	1
Environmental scan	2
History of the project	2
Activities and project team	3, 4 and 5
Final products and dissemination	1 and 3

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. You must round to the nearest whole dollar amount in all dollar fields.

Applicants requesting federal matching funds must submit a budget reflecting total project costs that include the one-to-one required cost share for the federal matching funds. As an example, an applicant requesting $325,000 in outright funds and $50,000 in federal matching funds must submit a budget that includes $425,000 in total project costs ($375,000 in award funds plus the required $50,000 in nonfederal third-party contributions necessary to meet the required cost share).

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 should 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 who are employed by the applicant organization and who are involved in the project.

For each senior/key person list their name and project role. 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 terms 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 be automatically calculated 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. Totals will be automatically calculated.

Contextualize institutional practices in salaries or benefits such as standard rates for undergraduate or graduate student wages, honoraria, or base salaries for post-doctoral research associates in the budget justification.

Post-doctoral associates, graduate students, and undergraduate students

For all post-doctoral associates, graduate students, and undergraduate students, individually list names, roles, associated months, and requested salary and fringe benefits in Section L. Budget Justification.

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 (see 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 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.

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 2CFR §200.322 and 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. In this attachment, specify 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 §200.475, and foreign travel must comply with article 10 of the General Terms and Conditions for Awards to Organizations.

Applicants to both deadlines should include funds for the project director(s) to attend a one-day meeting at NEH's offices in Washington, D.C. in April 2022. A maximum of two individuals per project may attend.

NEH funds may not be used to support attendance at regularly-occurring professional meetings unless the purpose of attending is to disseminate project-related findings.

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 §200.1, 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 or trainees (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 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 stipends.

3. Travel
List the total funds requested for participant 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 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, etc.).

5. Other

Describe any other participant 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 costs described.

Number of Participants/Trainees

List the total number of proposed participants. 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

List the total funds requested for publication costs. The proposed budget may request funds for the costs of documenting, preparing, publishing, or otherwise making available to others, the findings and products of the work conducted under the award. Include supporting information in Section L. Budget Justification.

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 they will perform.

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 §§200.331 and 332 for additional information.

Per 2 CFR §§200.1 and 331(a), s*ubaward* 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 §200.1) 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 §§200.1and 331(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. "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). 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 do 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 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 §200.1, 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 subawards under the award). MTDC exclude 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 Attachment9: 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 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 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
SF-424 Application for Federal Assistance - Short Organizational	Not applicable (Grants.gov form)		Required
Supplementary Cover Sheet for NEH Grant Programs	Not applicable (Grants.gov form)		Required

Project/Performance Site(s) Location Form	Not applicable (Grants.gov form)		Required
Research and Related Budget	Not applicable (Grants.gov form)		Required
Attachments Form	Not applicable (Grants.gov form)		Required
Certification Regarding Lobbying	Not applicable (Grants.gov form)		Conditionally required
Standard Form—LLL "Disclosure of Lobbying Activities"	Not applicable (Grants.gov form)		Conditionally required
Attachment 1: List of participants	participants.pdf		Required
Attachment 2: Narrative	narrative.pdf	Level I: 4 pages Level II: 6 pages Level III: 8 pages	Required
Attachment 3: Work plan	workplan.pdf	3 pages	Required
Attachment 4: Biographies	biographies.pdf	1 paragraph per person	Required
Attachment 5: Data management plan	datamanagement.pdf	2 pages	Required
Attachment 6: Sustainability plan	sustainability.pdf	3 pages	Required for Level III applicants
Attachment 7: Appendices	appendices.pdf	10 pages	Optional
Attachment 8: Letters of commitment	letters.pdf		Optional
Attachment 9: Federally negotiated indirect cost rate agreement	agreement.pdf		Conditionally required
Attachment 10: Explanation of delinquent federal debt	delinquentdebt.pdf.pdf		Conditionally required

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, email 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 the NEH Office of Grant Management immediately if the project director listed in the application changes.

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 PDF portfolios containing multiple PDFs. In addition, NEH cannot accept PDFs to which security has been added (password-protection, encryption, digital signatures, etc.). Flatten any such files before uploading to Grants.gov.

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 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.

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: List of participants (required)

List all project participants and their institutional affiliations, if any, on a separate page. Clearly identify the project director and any co-directors. The project director is responsible for the programmatic aspects and day-to-day management of the proposed project. Project participants refer to members of the project team carrying out programmatic activities. The names on this list should match the names mentioned in Attachment 3: Work plan, and in the Activities and project team section of the project's narrative description. The list must also include the names and institutional affiliations of advisory board members. The list is used to ensure that prospective peer reviewers have no conflict of interest with the proposals that they will evaluate.

Name the file participants.pdf.

Attachment 2: Narrative

Refer to the prior instructions on preparing your <u>Narrative</u>. Name the file narrative.pdf.

Attachment 3: Work plan (required)

Describe the specific tasks that will be accomplished during the project by including a detailed schedule of important tasks and milestones, including evaluation activities, and indicate the staff member responsible for each component (if applicable, include advisory board member responsibilities). You may wish to use a Gantt chart or other schematic here.

Identify any risks, such as staff attrition, software development delays, and travel restrictions, and note how they might adversely affect the overall schedule. Describe strategies to mitigate these risks, so as to keep the project on budget and on schedule.

If you are a Level III applicant requesting matching funds, you must identify which tasks will be covered by these funds and explain contingency plans in the event you are unable to raise matching funds.

You must limit the work plan to 3 pages. Name the file workplan.pdf.

Attachment 4: Biographies (required)

Provide a one paragraph biography for each project participant. Explain how each individual's technical competence and/or humanities qualifications will enable them to fulfill their responsibilities on the project. Applicants must not submit CVs or resumes.

If the project plans to hire new staff using grant funds, provide a detailed job description for any open positions.

If the project has an advisory board, explain its function here and provide a one paragraph biography for each member.

Name the file biographies.pdf.

Attachment 5: Data management plan (required)

Prepare a data management plan (DMP) for your project when applying for any award level. The members of your project team should consult this document during and beyond the project's period of performance. The plan should identify what data your project will generate and/or collect; describe how your team will manage and disseminate data, including outlining the rights and obligations of all parties with respect to their roles and responsibilities in the management and retention of research data and how changes to project staffing will impact this; and explain any costs stemming from the management of data in the budget justification.

DHAG projects may generate data such as software code, algorithms, databases, digital tools, reports, articles, research notes, or websites.

You should address the following topics in the DMP:

- the types of data that your project might generate and eventually share with others, and under what conditions, including, if relevant, a discussion of policies about public access and sharing provisions to ensure protection of privacy, confidentiality, security, intellectual property, and other rights or requirements
- how data and metadata will be managed and maintained and by whom, including a discussion of physical and cyber resources and facilities that will be used to effectively

preserve and store research data (these can include third-party facilities and repositories)
- for projects involving partnerships with industry or other user communities, a discussion of how data will be shared and managed with partners, institutional affiliates, and other major stakeholders
- factors that might impinge on the ability to manage data, for example, legal and ethical restrictions on access to non-aggregated data
- the lowest level of aggregated data that project directors might share with others in the scholarly or scientific community, given that community's norms on data
- the mechanism(s) for sharing data and/or making it accessible to others, including addressing how timely access to data will be assured
- other types of information that should be maintained and shared regarding data, for example, the way it was generated, analytical and procedural information, and the metadata

The DMP must not exceed two pages. Name the file datamanagement.pdf.

Attachment 6: Sustainability plan (required for Level III applicants)

If you are applying for a Level III award, you must prepare a sustainability plan for the lifecycle of your project. This plan should discuss the long-term financial needs of the project and show how the project will continue to be able to meet its goals after the period of performance has ended. The plan should address potential institutional support, including staff, or future funding streams necessary to allow the project to thrive beyond the period of performance. The content of the plan will vary, depending on the activities being undertaken during the period of performance. You may wish to consult the NEH-funded reports *Sustaining Digital Resources: A Briefing Paper for Leaders of Projects with Scholarly Content* and *The Socio-Technical Sustainability Roadmap* for advice on developing your plan.

The sustainability plan must not exceed three pages. Name the file sustainability.pdf.

Attachment 7: Appendices (optional)

If applicable, include a bibliography or list of works cited; proposed workshop or meeting agenda and list of participants or selection criteria; use cases or scenarios; wireframes or annotated screen shots; results from audience or user research, or other project plans. Describe or caption any images or scanned documents to help reviewers understand what is depicted and how it relates to the project. If applicable, include relevant materials from the project's start-up phase — for example, evaluation reports that help explain the project's potential, initial results, or significance.

The appendices must not exceed ten pages. Name the file appendices.pdf.

Attachment 8: Letters of commitment (optional)

Include brief letters of commitment from participants outside the applicant institution, including advisory board members and cooperating institutions, confirming they understand their responsibilities over the course of the project. Letters of commitment should not include a discussion of the overall value of the project or its potential impact.

Do not include letters of support. Any letters submitted from individuals not participating in the project will be removed from the application.

Elected government officials and current members of NEH'S National Council on the Humanities may not submit letters of support.

Name the file letters.pdf.

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. 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.

Name the file delinquentdebt.pdf.

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 email address associated with their current SAM.gov user account. Using the same email address allows SAM.gov to automatically migrate your roles. If a different email 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 staff will review draft proposals submitted by December 1, 2020 for the January 15, 2021 deadline, and by May 5, 2021 for the June 24, 2021 deadline. Program staff cannot review drafts submitted after these deadlines. 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 odh@neh.gov. Drafts must not be submitted via Grants.gov.

There will be two application due dates under this announcement:

January 15, 2021, 11:59 p.m. Eastern Time
June 24, 2021, 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 HAA- 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 12372.

6. Funding Restrictions

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

- projects that mainly involve digitization, unless the applicant is proposing an innovative method for digitization

- undergraduate or graduate course development
- the creation or conversion of a scholarly journal (although the implementation of new modes of scholarly publication is permitted)
- recurring maintenance costs that would support only the day-to-day operations of existing projects rather than substantive changes or upgrades
- attendance at recurring or established conferences or professional meetings unless to disseminate project-related findings.
- proposals primarily seeking funding for equipment, materials, and supplies (such as to outfit a digital humanities lab or makerspace)
- 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)

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

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 DHAG program:

Criterion 1: The intellectual significance and impact of the project for the humanities

(corresponds to narrative sections [“Enhancing the humanities”](#) and [“Final product and dissemination”](#))
For projects developing new technology, infrastructure scholarly methods, or evaluative studies, what is the potential to enhance scholarly research, teaching, and learning in the humanities? For projects making use of existing technology or methods, how will a new application or collaboration advance humanities scholarship, teaching, and learning? For all projects, are the intended audiences or users well defined and are the dissemination and outreach plans appropriate for reaching these communities? For all projects, are goals and outcomes cleared described and appropriate? What is the potential impact of this project's proposed outcomes?

Criterion 2: The quality of the overall conception, organization, and description of how the proposed work sits within a broader context, and quality of the argument for new (or further) work in this area

(corresponds with the narrative sections [“Environmental scan”](#) and [“History of the project”](#))
Is there similar work already underway in this area? If so, how does this project differ and how might it complement existing work and advance the field? If not, is there a demonstrated need or interest for additional work in this area?

Criterion 3: The feasibility and appropriateness of the activities, work plan, methodology, and use of technology, and the project's plans for mitigating risk and addressing accessibility for its intended audiences

(corresponds to narrative sections "Activities and project team" and "Final product and dissemination," and Attachment 3. Work plan)
Is there a clear plan for implementing the proposed activities and outcomes? Are appropriate project personnel associated with specific tasks? Are the timeline and proposed activities realistic? Are the proposed methodologies and/or technologies appropriate for the project goals? Is the project team devoting time to evaluating activities and the project's impact? Is there a discussion of risk and plans for mitigating those risks? Is the project team including time to identify and address issues of accessibility and universal design, as well as what sorts of disabilities your plans will address (for example, cognitive or physical disabilities, impaired sight, or impaired hearing) for its intended audience of users?

Criterion 4: The qualifications, expertise, and levels of commitment of the project director and key project staff or contributors

(corresponds to narrative section "Activities and project team" and Attachment 4: Biographies)
Do team members have the appropriate backgrounds and experiences to accomplish the proposed activities and to address the needs of the intended audiences? Is this team prepared to complete the goals and outcomes outlined in the narrative? Will team members be adequately credited for their contributions to the project? Are early career or contingent staff, students, or interns receiving adequate mentorship or professional development opportunities? When roles are identified without a named staff member, is there a position description that adequately addresses needs for identifying and hiring individuals with appropriate skills?

Criterion 5: The reasonableness of the proposed budget in relation to the proposed activities, staff compensation, the anticipated results, products, and dissemination

(corresponds to narrative section "Activities and project team," Attachment 3: Work plan, and the Budget)
Does the budget align with the project's overarching goals and specific planned activities? Are adequate resources allocated for project staff, relative to the accompanying tasks? If contingent staff, students, or interns are involved in the project, are there mechanisms for ensuring their efforts are compensated appropriately? If third parties (i.e., subrecipients, contractors, or consultants) are involved, how is the lead institution addressing needs to manage any resulting technical assets or infrastructure after the grant ends? For Level III projects requesting matching funds, are activities covered by matching funds clearly identified? Are all costs allowable, reasonable, and allocable to the proposed activities?

Criterion 6: The quality and appropriateness of project plans for data management and (if applicable) sustainability

(corresponds to Attachment 5: Data management plan, and for Level III applicants, Attachment 6: Sustainability plan)
Do applicants demonstrate an understanding of the types of data produced for their project? Are there adequate plans for preserving, managing, and sharing data, including beyond the period of performance? For Level III projects, have applicants demonstrated an understanding of the project's long-term needs and are there sufficient plans to ensure the sustainability of the project?

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 §200.206](#)).

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 email in August 2021 (for proposals submitted for the January 15, 2021 deadline) or December 2021 (for proposals submitted for the June 24, 2021 deadline). 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 odh@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 email in August 2021 (for proposals submitted for the January 15, 2021 deadline) or December 2021 (for proposals submitted for the June 24, 2021 deadline).

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 §200.339](#), 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.

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 reporting and review activities described below. All reports must be completed online in eGMS Reach, NEH's online grant management system, unless otherwise instructed.

1.) **Federal Financial Report(s)**. Recipients must submit the Federal Financial Report (SF-425) on an **annual** basis. 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. 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 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. Further information will be provided in the Notice of Action.

4.) **White paper**. Recipients must submit a white paper within 120 calendar days after the period of performance ends. This white paper must document the project, including lessons learned, so that others can benefit. This white paper will be posted on the NEH website. Further information will be provided in the Notice of Action.

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

G. Agency Contacts

If you have questions about the program, contact:

Office of Digital Humanities
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
odh@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
202-606-8494
grantmanagement@neh.gov

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

Federal Service Desk: [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, contact Grants.gov 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
Grants.gov Support
Self-Service Knowledge Base

Always obtain a case number when calling for support.

H. Other Information

Related funding opportunities

Applicants seeking to create websites, mobile applications, games, and virtual environments that significantly contribute to public engagement with the humanities should consider the Digital Projects for the Public program offered by the Division of Public Programs. Applicants seeking to experiment with approaches to developing or implementing innovative approaches or software for creating digital projects for the public are, however, welcome to apply for a Digital Humanities Advancement Grant.

Applicants seeking to develop digital humanities courses or curriculum-focused digital humanities projects, including podcasts, maps, or digital resources for distance learning that can be used on- or off-line should apply for the Humanities Initiatives programs offered by the Division of Education Programs.

Applicants seeking to design and deliver national or regional professional development training with goals of learning methodological or conceptual approaches to digital humanities and building community among practitioners with shared interests, should consider the ODH's Institutes for Advanced Topics in Digital Humanities program.

Applicants seeking to build or digitize collections, create archives, or develop reference resources like dictionaries and encyclopedias should consider the Humanities Collections and Reference Resources (HCRR) program. Applicants in the planning stages of such projects should especially consider the HCRR Foundations subset of this program. Applicants seeking to address major challenges in preserving or providing access to humanities collections and resources should consider the Research and Development program. Both of these programs are offered by the Division of Preservation and Access.

Applicants seeking funding for individual scholarly interpretive research projects that require digital expression and digital publication should consider the NEH-Mellon Fellowships for Digital Publication program offered by the Division of Research Programs.

Collaborative projects that emphasize interpretive work on humanities research questions should consider applying to the Collaborative Research program offered by the Division of Research Programs. Applications can seek funding at the planning stage; for a public conference; to prepare print or born-digital publications; or to build scholarly digital resources or tools using preexisting methodologies, technologies, and infrastructure.

Applicants seeking support to prepare critical digital editions and translations of important humanities texts (in print or digital form) should consider the Scholarly Editions and Scholarly Translations program in the Division of Research Programs.

Applicants seeking long-term (five- to ten-year) support for revitalization and the covering of ongoing costs for existing digital scholarly infrastructure projects and programs, including the sustaining of scholarly projects and networks in digital form, should consider the Infrastructure and Capacity Building Challenge Grants offered by the Office of Challenge Programs. Applicants seeking to develop a plan to rejuvenate or modernize an existing digital project are, however, welcome to apply for a Level I Digital Humanities Advancement Grant.

Resources for accessible design

The following resources may be useful in developing plans to ensure that grant products are accessible to a broad audience, including individuals with disabilities:

"Considering the User Perspective: A Summary of Design Issues," WebAIM
http://webaim.org/articles/userperspective/

"Design For Accessibility: A Cultural Administrator's Handbook" (PDF)
https://www.arts.gov/sites/default/files/Design-for-Accessibility.pdf

"How People with Disabilities Use the Web," Web Accessibility Initiative
http://www.w3.org/WAI/intro/people-use-web/

United States Access Board https://www.accessboard.gov/

W3C Accessibility Standards
http://www.w3.org/standards/webdesign/accessibility

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. 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.