## NATIONAL ENDOWMENT FOR THE HUMANITIES

# NOTICE OF FUNDING OPPORTUNITY

# Funding Opportunity Title:
# Humanities Collections and Reference Resources

Funding Opportunity Number:  20200715-PW

Funding Opportunity Type:  New

Federal Assistance Listing Number:  45.149

# Application Due Date:  July 15, 2020

<span style="color:red">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.</span>

Division of Preservation and Access
Telephone:  202-606-8570
Email:  preservation@neh.gov
TTY:  800-877-8399

# Executive Summary

The National Endowment for the Humanities (NEH) Division of Preservation and Access is accepting applications for the Humanities Collections and Reference Resources program.  The purpose of this program is to support projects that provide an essential underpinning for scholarship, education, and public programming in the humanities. This program strengthens efforts to extend the life of humanities collections and make their intellectual content widely accessible, often through the use of digital technology. Awards are also made to create various reference resources that facilitate use of cultural materials, from works that provide basic information quickly to tools that synthesize and codify knowledge of a subject for in-depth investigation.

| | |
|---|---|
| Funding Opportunity Title: | Humanities Collections and Reference Resources |
| Funding Opportunity Number: | 20200715-PW |
| Federal Assistance Listing Number (CFDA): | 45.149 |
| Application Due Date: | July 15, 2020, 11:59 p.m. Eastern Time |
| Anticipated Announcement: | April 2021 |
| Anticipated Total Annual Available FY 21 Funding: | $7,500,000 |
| Estimated Number and Type of Awards: | Up to 35 grants |
| Funding Range: | Foundations: up to $50,000 (plus $10,000 for inter-institutional activities) Implementation: up to $350,000 |
| Cost Sharing/Match Required: | No. |
| Period of Performance: | Foundations: up to two years Implementation: up to three years Projects may start as early as June 1, 2021. |
| 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. See Section C for additional information. |
| Program Resource Page: | https://www.neh.gov/grants/preservation/humanities-collections-and-reference-resources |

# Table of Contents

# A. Program Description

## 1. Purpose

This notice solicits applications for the Humanities Collections and Reference Resources program (HCRR).

HCRR supports projects that provide an essential underpinning for scholarship, education, and public programming in the humanities. Thousands of libraries, archives, museums, and historical organizations across the country maintain important collections of books and manuscripts, photographs, sound recordings and moving images, archaeological and ethnographic artifacts, art and material culture, and digital objects. This program strengthens efforts to extend the life of such materials and make their intellectual content widely accessible, often through the use of digital technology. Awards are also made to create various reference resources that facilitate use of cultural materials, from works that provide basic information quickly to tools that synthesize and codify knowledge of a subject for in-depth investigation.

Proposed projects may address the holdings or activities of a single institution or may involve collaboration between institutions. *However*, even in the case of single-institution projects, working with specialists in other offices or departments or colleagues in other institutions often helps ensure that proposed activities are achievable and will have maximum impact for the humanities. Collaboration can be crucial in providing the appropriate mix of humanities content and methodological expertise and can help broaden the scope of, and audiences for, proposed collections or reference resources.

Unallowable activities are described in section D6. Funding Restrictions.

### Funding categories

The HCRR program includes two funding categories: Implementation and Foundations.

### Implementation

Applications may be submitted for projects that address one or more of the following humanities activities:

- arranging and describing archival and manuscript collections;
- cataloging collections of printed works, photographs, recorded sound, moving images, art, and material culture;
- providing conservation treatment for collections, leading to enhanced access;
- digitizing collections;
- preserving and improving access to born-digital sources, including the updating of existing digital resources;
- creating oral history interview collections about war and military service in conjunction with NEH's Standing Together initiative, or about imperiled cultural heritage in conjunction with the agency's Protecting our Cultural Heritage encouragement);
- developing databases, virtual collections, other digital resources, or project-specific tools, to codify information on a subject or to provide integrated access to selected humanities materials;
- creating encyclopedias;
- preparing linguistic resources, such as historical and etymological dictionaries, corpora, and reference grammars (separate funding is available for endangered language projects in partnership with the National Science Foundation); and

- producing resources for spatial analysis and representation of humanities data, such as atlases and geographic information systems (GIS).

Because ensuring the longevity of humanities sources is critical to enabling their ongoing use, applicants may request support for implementing preservation measures, such as reformatting (including microfilming), rehousing, or item-level stabilization procedures, in the context of projects that also create or enhance access to humanities collections.

Major studies of cultural heritage repositories have cited **sound recordings and moving images** as formats that are seriously endangered. This program encourages applications that address the need to preserve and access such sources. Applicants may request funds to assess or establish intellectual and physical control of such materials as well as to digitize them.

Applications may address the holdings or activities of a single institution or may involve collaboration. In all cases, projects should be designed to facilitate sharing, exchange, and interoperability of humanities information and products.

## Foundations

To help in the formative stages of efforts to preserve and create access to humanities collections or to produce reference resources, Foundations awards support planning, assessment, and pilot activities that incorporate cross-disciplinary expertise. Drawing upon the cooperation of humanities scholars and technical specialists, these projects might encompass efforts to prepare for establishing intellectual control of collections, to solidify collaborative frameworks and strategic plans for complex digital reference resources, or to produce preliminary versions of online collections or resources. The variety of experts may include humanities scholars, archivists, curators, librarians, preservation specialists, and digital curation/preservation experts, as pertinent to your goals. Although the most important consideration is to assemble a qualified team appropriate to the project, reviewers tend to look favorably on teams that include experts from both within and beyond your institution.

Foundations awards may be used to address one or a combination of the following activities:

- analyzing and evaluating the humanities content strengths, intellectual control requirements, and preservation needs of significant humanities collections, including the development and distribution of collection-level descriptive information (projects to process or catalog collections at more detailed levels should apply instead for an Implementation award);

- identifying and prioritizing humanities materials for digitization, developing project-specific selection criteria, evaluating technical requirements for digital preservation and access, reformatting test-bed items, and/or exploring third-party service arrangements;

- developing plans and protocols for ensuring the preservation of previously digitized or born-digital humanities content, which could include preliminary testing and evaluation of institutional and/or distributed digital repository systems; or

- creating editorial plans, locating and assembling resources, devising strategies for technological and programmatic sustainability, and producing content exemplars for reference resources such as encyclopedias, databases, virtual archives, etymological dictionaries, or online atlases.

Foundations projects must encompass a substantial amount of cross-domain participation, typically involving persons with humanities expertise, curatorial experience, and relevant technical skills, such as collection processing and preservation, audiovisual reformatting, metadata creation, or digital preservation. While any inter-institutional partnerships should be

in place at the time of application, Foundations projects can include efforts to identify individual community members who would serve in an advisory capacity.

Foundations projects should be at no less than a "beta" level of development upon application, demonstrating that the very first stages of effort—for example, initial collections appraisal and accessioning, conceptualization of scope and audience for reference resources, or consortium partner contact and cooperation—have been achieved.  Because pilot activities can be crucial to the ultimate success of preservation and access initiatives, applicants are urged to incorporate the creation of test-case products that will inform planning and evaluation.

Successful completion of a Foundations project is not a prerequisite for Implementation support in this program.  Also, while Foundations award recipients may choose to apply later for an Implementation award, they are not required to do so.  Project outcomes for Foundations awards must be clearly described in the narrative and listed in Attachment 3: Project deliverables, which could include:

- detailed evaluation reports to guide decision making for preserving and creating access to humanities collections;
- descriptions of prioritized sources and technical requirements for future digitization;
- strategic planning documents for digital preservation efforts; or
- editorial policy, procedure, and scheduling guidelines; tables of contents; and sustainability and dissemination plans for reference resources.

Foundations recipients must submit such products to NEH, as well as a "white paper" documenting lessons learned, so that others can benefit from the recipients' experience.  White papers will be posted on the NEH website for open access.  Pilot projects should make resulting content available in accordance with NEH's policy on providing access to NEH-funded products.

### Partnership/mentorship opportunity

In order to enhance access to humanities collections held by smaller institutions, Foundations applicants may request an additional $10,000 (above the $50,000 ceiling) to support *inter-institutional* planning and pilot activities.  Applicants may be either smaller institutions proposing to work with a larger repository or larger institutions proposing to collaborate with one or more smaller partners.  In either case, applicants must demonstrate that each participating institution is fully engaged in the project and serves as an equal stakeholder in its outcomes.  Applicants should describe how *ongoing* working relationships between participating institutions could be maintained through future implementation phases and beyond.

Partnerships or mentorships might be especially well suited for community-based cultural heritage initiatives but are not limited in geographic or topical scope.

## 2.  Background

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

According to the 1965 National Foundation on the Arts and the Humanities Act, "The term 'humanities' includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism and theory of the arts; those aspects of the social sciences which have humanistic content and employ humanistic methods; and the study

and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life."

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

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

# NEH Areas of Interest

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

### "A More Perfect Union": NEH Special Initiative Advancing Civic Education and Commemorating the Nation's 250th Anniversary

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

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

### Standing Together

In recognition of the importance of the humanities both in helping Americans to understand the experiences of service members and in assisting veterans as they return to civilian life, NEH has launched a special initiative titled Standing Together: The Humanities and the Experience of War.  This special initiative draws on the power of the humanities 1) to support advanced research in the humanities that explores war and its aftermath; 2) to promote discussion and deepened understanding of the experiences of those Americans affiliated with the armed services, whether active duty or veterans; and 3) to support returning veterans and their families.

### Protecting our Cultural Heritage

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

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

# B.  Federal Award Information

## 1.  Type of Application and Award

Type of applications sought: new.

NEH will provide funding in the form of grants.

## 2.  Summary of Funding

Approximately $7,500,000 is expected to be available to fund 35 recipients.  You may apply for a ceiling amount of up to $350,000 for Implementation awards and $50,000 for Foundation awards.   In order to enhance access to humanities collections held by smaller institutions, Foundations applicants may request an additional $10,000 (above the $50,000 ceiling) to support *inter-institutional* planning and pilot activities.

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

The period of performance is three years for Implementation projects and two years for Foundations projects.  Projects may start as early as June 1, 2021.

# 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.

Foundations applicants requesting an additional $10,000 (above the $50,000 ceiling) may be either smaller institutions proposing to work with a larger repository <u>or</u> larger institutions proposing to collaborate with one or more smaller partners.

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.  Participating organizations would be considered subrecipients under 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 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 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 cost sharing contributions.  See [2 CFR §200.306](#) for additional information.

# 3.  Other Eligibility Information

Eligible applicants may submit multiple applications for separate and distinct projects under this announcement.  Collaborating organizations may be included as participants in multiple proposals.

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

An individual may only serve as project director on a single HCRR proposal.  Degree candidates may not be project directors or co-directors.  Degree candidates may, however, serve in other project roles.

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 §200.92](#) and [2 CFR §200.330(a)](#).  This limitation does not preclude American institutions from obtaining the services of foreign individuals and consultants to carry out various programmatic activities on a fee-for-service basis, as specified in [2 CFR §200.459](#); it also does not preclude vendor contracts such as in-country transportation services.  If you are interested in submitting an application for a project involving international collaboration, please consult beforehand with the division staff.

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

# D.  Application and Submission Information

## 1.  Application Package

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

The 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, please contact preservation@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, and well organized.  Please limit jargon and explain any technical terms so that peer reviewers from a variety of professional backgrounds can understand the proposed project.

Limit the narrative for Implementation applications to fifteen single-spaced pages; limit the narrative for Foundations applications to ten single-spaced pages.  All pages should have one-inch margins and the font size should be no smaller than eleven point.

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.

#### Significance (corresponds to Review Criterion 1)

Justify the importance of the project on the basis of its long-term benefits to research, education, or public programming in the humanities.  Discuss the central humanities themes, questions, or disciplines to be addressed.

For Implementation projects involving humanities collections, describe the nature, size, and intellectual content of the selected collections; explain how they relate to similar collections, both within and external to your organization; discuss the rationale for focusing on these particular sources; and describe the selection criteria.  For Foundations projects, provide a brief profile of the nature and importance of the sources that would be the focus of assessment or planning and include examples of materials to be used in any pilot efforts.

For proposed reference resources for Implementation projects, define the selection criteria and explain how your project relates to existing resources.  Demonstrate what this work or tool will provide that other resources cannot. For Foundations applications, provide a clear conceptual vision of the scope and contents of the eventual reference resource and its relationship to other pertinent works or tools.

All applicants must discuss actual and anticipated use of the collection or reference work. Identify the audience(s) that the project would effectively serve. Provide evidence of use, when possible, through examples of outcomes such as scholarly publications, educational activities, exhibitions, or media programming.

## History, scope, and duration (corresponds with [Review Criteria 1 and 4](#))

Use this section to explain the activities leading up to the proposed project and, if relevant, the goals of the larger initiative of which it is a part. Provide a concise history of the project, including information about preliminary research or planning, financial support already received, and resources or research facilities available. If an Implementation project will take more than three years to complete, describe the scope and duration of the entire project as well as the specific accomplishments or products intended for the period of performance for which funding is requested.

List any project-specific products or publications to date in print or electronic form. When appropriate, indicate print runs, sales, and royalties relating to publications; in the case of online products, include the URL and provide use statistics. If the project has been previously supported by NEH, compare the accomplishments in the current or past period of performance with the intended goals. For applications proposing to continue work on long-standing reference resources, describe how the project has adapted to or envisions incorporating changes in technology and user expectations.

## Methodology and standards (corresponds with [Review Criterion 2](#))

Explain the manner in which the project will be executed. Activities should conform to appropriate national standards and accepted professional practices. If your project's methodology departs from usual standards and procedures, explain why its goals require such an approach and how the results would be interoperable with other relevant resources that do follow existing standards.

Discuss any intellectual property or privacy issues that might affect the availability of collections or the dissemination of reference resources. Applicants should provide documentation of any applicable permissions, donor agreements, licenses, or proofs of informed consent in the appendices or describe how intellectual property and privacy issues would be addressed in the course of the project.

Additionally, address the following, as relevant.

### Projects to preserve humanities collections and make them accessible

Provide information about the collections' present condition and level of intellectual control. Discuss the manner in which the physical materials or digital assets will be organized or reorganized, and the ways in which users will discover and access them. Describe pertinent strategies, policies, and procedures for collections stewardship; include information on managing the preservation environment when relevant.

Additionally, provide the following information:

- For archival processing projects, discuss the rationale for the arrangement of the collections and the level of description proposed for the finding aids.
- For cataloging projects, describe the level of detail of the records to be created, the record formats, vocabularies, and systems to be used, the extent to which the records will involve original, enhanced, or copy cataloging. Describe how the metadata will be shared

and any plans to support its re-use (for example, contributing to aggregated digital platforms or creating an API).

- For conservation treatment projects leading to enhanced access, describe the amount, types, and condition of material to be treated, and discuss how access will be enhanced; provide the rationale for the chosen approach or method; and identify applicable procedures and/or quality control measures. Include in the appendices treatment proposals and cost estimates prepared by qualified conservators.

- For projects to digitize collections, specify the quantity of digital objects to be made available for use; the nature, formats, and quality of the sources from which they would be derived; and the handling and care of original materials during and after reformatting.

- For projects to preserve and provide access to born-digital sources, specify data formats; the current extent of accessibility or obsolescence; and strategies to ensure enduring use, such as migration, emulation, or data harvesting.

- For projects to create oral histories in conjunction with either the Standing Together initiative or the Protecting our Cultural Heritage encouragement, identify narrators, to the extent possible, and provide examples of questions to be asked. Discuss plans for preparatory research, recording equipment, interview setting, securing permissions, and post-interview preservation and access methods, such as audio streaming, transcription, or time-based indexing. For guidance, refer to the statement of Principles and Best Practices published by the Oral History Association. Interviews of military veterans should be produced so as to facilitate their inclusion in the Veterans History Project collection of the Library of Congress.

## Projects to create reference works or research tools

Indicate the content, form, and length of entries or citations and describe the editorial procedures for writing entries and verifying information. Include in an appendix a preliminary list of entries, organized by subject areas or topics, and the instructions provided to contributors. As applicable, indicate how the work or tool will be revised, including the addition of new material and the updating of current content.

Describe the lexicographical principles to be employed for a language dictionary.

## Projects for planning, assessment, and pilot work (Foundations)

Identify any professional standards, research, or precedents that will inform the project. Discuss the knowledge and skills that the planning team needs and explain how members have been chosen and assembled. Explain how the team will gather any needed information, and provide copies (via appendices or links) of any assessment tools. Indicate the methods of communication and collaboration to be employed and the framework for decision making.

Describe the final products and outcomes for the project and how these will guide future stages of work. Specify the nature of any testing or modeling efforts and, where possible, provide examples. If the project will produce and distribute collection information or reference resource content, identify the methods to be employed and the manner in which it will be made accessible.

If you are requesting an additional $10,000 for the "Partnership/mentorship opportunity," discuss strategies that could lead not only to immediate, project-specific outcomes, but also to persistent engagement between the collaborating institutions. Explain how the project could enrich the broader mission and longer-term vision, goals, and capabilities of each partner.

**Projects that involve geospatial data**

If you are requesting complete or partial funding for the development, acquisition, preservation, or enhancement of geospatial data, products, or services, you must conduct a due diligence search at the Data.gov list of datasets to discover whether the needed geospatial-related data, products, or services already exist. If not, you must produce the proposed geospatial data, products, or services in compliance with applicable proposed guidance posted at www.fgdc.gov.

**Additional technical considerations for projects creating digital products**

Applicants employing digital technology and methods should indicate not only what technical specifications are to be used, but also how they will facilitate the project. When relevant, provide the following information:

- the hardware and software to be used or refined (note that for projects that entail software development, applicants are encouraged to use open-source code, which should be made publicly available through an online repository such as SourceForge or GitHub);

- preparations for and implementation of data processing (for example, digital capture, data entry, optical character recognition, or conversion from another electronic format);

- production, preservation, and distribution formats (for example, TIFF, JPEG, PDF/A, WAV), levels of resolution, compression, image enhancement, and the accuracy of textual conversion or transcription;

- provisions for ensuring quality control;

- schema for descriptive, administrative, preservation, and technical metadata, as well as the use of controlled vocabularies;

- system(s) used to manage and present digital content, including pertinent features for facilitating end use;

- methods for enhancing discoverability, via search engine optimization and open data harvesting and/or inclusion in an aggregated resource such as a digital library, cooperative portal, or clearinghouse; and

- procedures for facilitating computational re-use of data, as relevant, for purposes such as text mining, visualization, topic modeling, geo-coding, or other digital methods.

## Sustainability of project outcomes and digital content (corresponds with Review Criterion 4)

Describe how the project's results will be maintained and supported beyond the period of performance. Provide information demonstrating the ability and commitment of the institution to ensure sustained access to collections or reference resources. For Foundations projects, discuss the next steps that you envision as an outgrowth of the award, and how these would be supported.

NEH expects that any collections or resources produced in digital form as a result of its awards will be maintained so as to ensure their long-term availability. Discuss plans for meeting this expectation. In addition to pertinent technical specifications requested in the previous section, provide details on digital preservation infrastructure and policies, such as repository system capabilities, storage requirements and capacity, migration or emulation strategies, and collaborative or third-party arrangements, if any.

## Dissemination (corresponds with Review Criterion 6)

Explain how the results of the project will be disseminated and why these means are appropriate to the subject matter and intended audience. Where applicable, identify the online systems through which researchers will discover and use finding aids, catalog information, or digital

sources.  NEH strongly encourages the contribution of descriptive information and digital products to cooperative networks and digital resource aggregators.  If relevant, discuss publishing arrangements, publicity plans, estimated prices, and user costs.

NEH expects recipients to provide access to all products through the Internet, on-site use, interlibrary loan, or duplication of materials at cost, insofar as the condition of the materials and intellectual property rights allow.  NEH strongly encourages applicants to leverage open access online resources and use Creative Commons licenses, as possible and appropriate.

Describe plans to bring the project to the attention of the relevant communities of users through, for example, scholarly and professional conference presentations, publication, public events, or social media.

NEH encourages applicants to consider ways in which the collections or resources on which a project focuses can engage the wider public in exploring the humanities. To that end, dissemination might involve community humanities programming, film screenings, or the development of resources for K-12 educators and students.

HCRR projects can support activities like these within appropriate limits.  Your budget may include staff time and other eligible expenses related to disseminating the NEH-funded product. Keep in mind that the main purpose of this program is to preserve and increase access to significant humanities collections and to create humanities reference resources.  In many cases, the dissemination work to be accomplished during the period of performance will be preparatory and developmental; larger scale dissemination work would more likely occur after the project concludes.  Applicants seeking to disseminate project results through exhibits or other public humanities programs should consider programs offered by NEH's Division of Public Programs.

## Work plan (corresponds with [Review Criteria 3 and 5](#))

Summarize your work plan, providing an overview of what will be accomplished during each stage of the project.  Describe a set of activities for each stage and specify the project team members involved.  For multi-institutional collaborative projects, discuss the distribution of responsibilities across each institution.  Provide a detailed version of your work plan in [Attachment 4: Work Plan](#).

## Staff (corresponds with [Review Criterion 5](#))

Identify the members of the project's staff, including consultants and/or personnel to be hired, and summarize their duties and relevant qualifications for the tasks assigned.  Be specific about their individual roles and responsibilities as they relate to project activities, the tasks that they will perform, and the aspects of the project that they will oversee.  Indicate the amount of time that the principal members of the project's staff will devote to the project.   Provide two-page résumés for major project staff and all consultants as [Attachment 6: Resumes for key personnel](#).

If the project has an advisory board, list the names and affiliations of the board's members and explain the board's function.  While having an advisory board is not a requirement, many projects benefit from early consultation with scholarly advisers and technical experts to plan for implementation.  Such planning is a major thrust of Foundations grants.  The collaboration of highly qualified and experienced individuals makes it more likely that reviewers will consider a proposal favorably.

As relevant, explain how the perspectives of source or heritage communities that are the subjects of projects would be incorporated in the proposed activities and decision-making process.  In the case of proposed projects specific to Native American groups and cultural

materials, indicate how your staffing plan (and other project components) will facilitate adherence to the NEH Code of Ethics Relating to Native Americans.

| 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** |
| Significance | #1 |
| History, scope, and duration | #1, 4 |
| Methodology and standards | #2 |
| Sustainability of project outcomes and digital content | #4 |
| Dissemination | #6 |
| Work plan | #3, 5 |
| Staff | #5 |

## ii. Research and Related Budget

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

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

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

Applicants requesting federal matching fund 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 $100,000 in outright funds and $20,000 in federal matching funds must submit a budget that includes $140,000 in total project costs.

All of the items listed, whether supported by NEH funds or voluntary 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 employed by the applicant organization who are involved in the project.

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

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

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

The form can accommodate up to eight senior/key persons.  If you are requesting funds for more senior/key persons than the form allows, you must include an attachment listing the additional senior/key person(s) in the "Additional Senior/Key Persons" field.  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.

**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 ([Section H. Indirect Costs](#)). However, examples of situations where direct charging of administrative or clerical staff salaries may be appropriate may be found at [2 CFR §200.413 (c)](#).

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

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

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

**Other Project Roles**

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

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

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

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

## Section C. Equipment Description

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

Equipment may be purchased for a project if an analysis demonstrates that purchasing is more economical and practical than leasing (equipment rental/user fees should be included in the budget in [Section F. Other Direct Costs](#)). Equipment is defined as nonexpendable personal

property costing $5,000 or more and having a service life of more than one year (unless the organization has established a lower level).  See [2 CFR §§200.313](#) and [439](#).

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

You may add up to ten equipment items to this list.  If you request funds for more equipment than the form allows, you must include an attachment listing the additional equipment items in this "Additional Equipment" field.  Enter the information in a separate file and attach it as a PDF.  List each additional item and the funds requested for each individual item.  If you have attached a file with additional equipment, enter the total funds requested for all the equipment listed in the attachment.

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

## Section D. Travel

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

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

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

## Section E. Participant/Trainee Support Costs

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

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

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

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

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

Leave this field blank.

**2. Stipends**

List the total funds requested for Participant/Trainee stipends.

**3. Travel**

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

**4. Subsistence**

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

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

**5. Other**

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

**Number of Participants/Trainees**

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

## Section F. Other Direct Costs

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

**1. Materials and Supplies**

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

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

**2. Publication Costs**

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 to be performed.

All consultant fees claimed must be in compliance with 2 CFR §200.459.

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

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

### 5. Subawards/Consortium/Contractual Costs

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

Per 2 CFR §§200.92 and 330(a), 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 §200.23) or payments to an individual that is a beneficiary of a Federal program.  A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

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

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

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

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

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

Per 2 CFR §200.432, allowable conference costs may include rental of facilities.

The Hotel and Motel Fire Safety Act of 1990 (Pub. L. 101-391) states that federally funded meetings and conferences cannot be held in properties that do not comply with the law.  The Act

is applicable to all places of public accommodation affecting commerce, and requires that such properties are equipped with:

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

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

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

### 7. Alterations and Renovations

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

### 8-10. Other

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

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

## Section G.  Total Direct Costs

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

## Section H.  Indirect Costs

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

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

For applicants seeking reimbursement for indirect costs: carefully review your institution's negotiated indirect cost rate(s) to make sure you are using the most appropriate rate in your application budget.  Many institutions of higher education negotiate multiple rates—for example, "Research," "Instruction," and "Other Sponsored Activities."  With rare exceptions, your institution's "Research" rate will **not** be the appropriate rate for inclusion in your NEH project budget, as the use of this rate is reserved for projects involving scientific research, not scholarly inquiry of the type most often supported by NEH.

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

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

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

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

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

### Indirect Cost Type

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

### Indirect Cost Rate (%)

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

**Indirect Cost Base ($)**

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

**Funds Requested ($)**

Enter the funds requested for each indirect cost type.

**Total Indirect Costs**

This total will be automatically calculated from the "Funds Requested" column in Section H. Indirect Costs.

**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 Section J. Fee.

## 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 should specifically describe how each item will support the achievement of proposed objectives. If you have a quote(s), you may include it here. The following budget categories must be justified, where applicable: equipment, travel, participant/trainee support, and other direct cost categories.

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

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

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

# iii. Application Components

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

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

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

| Application component | Naming convention | Page limits | Notes |
|---|---|---|---|
| SF-424 Short Organizational | Not applicable (Grants.gov form) | | Required |
| Supplementary Cover Sheet for NEH Grant Programs | Not applicable (Grants.gov form) | | Required |
| Project/Performance Site Location(s) Form | Not applicable (Grants.gov form) | | Required |
| Research and Related Budget | 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 |
| Attachments Form | Not applicable (Grants.gov form) | | Required |
| Attachment 1: Narrative | narrative.pdf | Implementation:15 Foundations: 10 | Required |
| Attachment 2: History of awards | awardhistory.pdf | | Conditionally required |
| Attachment 3: Project deliverables | deliverables.pdf | | Required |
| Attachment 4: Work plan | workplan.pdf | | Required |
| Attachment 5: List of project personnel | personnel.pdf | | Required |
| Attachment 6: Résumés for key personnel | resumes.pdf | 2 pages each | Required |
| Attachment 7: Letters of commitment and support | letters.pdf | | Conditionally required |
| Attachment 8: Additional supporting documentation | documentation.pdf | | Optional |
| Attachment 9: Federally negotiated indirect cost rate agreement | agreement.pdf | | Conditionally required |
| Attachment 10: Explanation of delinquent federal debt | delinquentdebt.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 projects may begin as early as June 1, 2021.  All ending dates are on the last day of a month.

### 7.  Project Director

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

### 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

Implementation applicants requesting awards greater than $100,000 must complete and submit the Certification Regarding Lobbying.

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

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

## Attachments Form

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

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

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

Visit Grants.gov's Adobe Software Compatibility page to verify the compatibility of your current software or to download the appropriate version.  If you have a problem installing Adobe Reader, it may be because you do not have permission to install a new program on your computer.  Many organizations have rules about installing new programs.  If you encounter a problem, contact your system administrator.

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

Grants.gov may accept and validate your submission even if required components are missing.  This may result in NEH rejecting your application as incomplete.  It is your responsibility to ensure that all required components are properly 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: Narrative (required)

Refer to the prior instructions on preparing your narrative.  Name the file narrative.pdf.

### Attachment 2: History of awards (conditionally required)

If the project has received previous support from any federal or nonfederal sources, including NEH, list on one page the sources, dates, and amounts of these funds.  If the project has a long history of support, you may group and summarize the sources and contributions.  Name the file history.pdf.

### Attachment 3: Project deliverables (required)

Applicants for Implementation projects must include the following quantitative information, as relevant:

- the total amount of linear feet to be arranged and described;

- the number of finding aids and/or collection-level descriptions to be produced;

- the total number and type(s) of items to be cataloged (for example, books, manuscripts, photographs, broadsides, maps, artworks, artifacts, audio or video tapes or disks);

- the total number and type(s) of items to be digitized;

- the total number of hours of sound recordings or moving images to be preserved and made available (if both types are included in the project, provide separate numbers for each type);

- the total number of individual records or entries to be created for a database, encyclopedia, historical dictionary, or cartographic resource; or

- the number and type of any other quantifiable products expected as a result of the grant.

Applicants for Foundations projects must list the names of any reports, inventories, documents, or pilot work that would be produced in the process of planning, as relevant:

- evaluation reports to guide decision making for preserving and creating access to humanities collections;

- inventories of prioritized sources and technical requirements for future digitization;

- strategic planning documents for digital preservation efforts; or

- editorial policy, procedure, and scheduling guidelines; tables of contents; and sustainability and dissemination plans for reference resources.

Name the file deliverables.pdf.

## Attachment 4: Work plan (required)

Describe the activities or steps that you will use during the period of performance to achieve each of the objectives proposed in the narrative. Use a time line that includes each activity, identifies responsible staff, and establishes benchmarks for achieving project goals and/or producing deliverables. As appropriate, identify meaningful support and collaboration with key stakeholders in planning, designing and implementing all activities.

Name the file workplan.pdf.

## Attachment 5: List of project personnel (required)

On a separate page, list in alphabetical order, surnames first, all project personnel and collaborators and their institutional affiliations. As relevant, this list should include advisory board members, consultants, and, if applicable, authors of letters of commitment and letters of support. NEH uses this list to ensure that the panelists it invites to evaluate applications do not have conflicts of interest with those projects.

Name the file participants.pdf.

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

Include résumés for persons occupying the key positions described in the budget, not to exceed two pages in length per person. In the event that a biographical sketch is included for an identified individual who is not yet hired, include a letter of commitment from that person with the biographical sketch.

Name the file resumes.pdf.

### Attachment 7: Letters of commitment and support (conditionally required)

If your project involves partners or service providers, provide letters of commitment.

Letters of support are not required, but are highly recommended.  They should address the project's significance and the program's review criteria, and should be written by experts in the project's subject area.  Authors of letters of support will not participate in the NEH review process.  Include no more than three letters of support.

Elected government officials and current members of NEH'S [National Council on the Humanities](#) may not serve as authors of letters of support.

This attachment is required for Foundations applicants requesting the additional $10,000 to support *inter-institutional* planning and pilot activities.

Name the file letters.pdf.

### Attachment 8: Additional supporting documentation (optional)

The following documentation is **strongly encouraged**, as relevant to the project:

- sample materials and reports (restrict these to summaries or excerpts where possible; hyperlinks to online versions may also be used in the narrative);
- documentation of permissions, donor agreements, licenses, or proofs of informed consent;
- treatment proposals and cost estimates prepared by qualified conservators (for conservation treatment projects);
- a preliminary list of entries, organized by subject areas or topics, and the instructions provided to contributors (for projects to create reference works or research tools);
- copies of any tools to be used for assessment of collections (for Foundations applicants); and
- job descriptions for any additional staff who will be hired specifically to work on the project.

Name the file documentation.pdf.

### Attachment 9: Federally negotiated indirect cost rate agreement, if applicable

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

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](https://fedgov.dnb.com/webform))
2. System for Award Management (SAM) ([https://www.sam.gov/SAM/](https://www.sam.gov/SAM/))
3. Grants.gov ([https://www.grants.gov/web/grants/applicants/organization-registration.html](https://www.grants.gov/web/grants/applicants/organization-registration.html))

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

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

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

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

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

# 4. Submission Dates and Times

Program officers will review draft proposals submitted by June 3, 2020.  Program officers cannot review drafts submitted after this deadline.  Although this optional preliminary review is not part of the formal review process and has no bearing on the final outcome of the proposal, previous applicants have found it helpful in strengthening their applications.  If you choose to submit a draft proposal, send it as an attachment to [preservation@neh.gov](mailto:preservation@neh.gov).

The due date for applications under this announcement is July 15, 2020 at 11:59 p.m. Eastern Time.

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

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

# 5.  Intergovernmental Review
This funding opportunity is not subject to intergovernmental review under Executive Order 12373.

# 6.  Funding Restrictions
Funds under this notice may not be used for the following purposes:

- the acquisition of collections, including appraisal for acquisition or monetary purposes
- the restoration of historic structures, the preservation of the built environment, or the stabilization of archaeological sites (applicants interested in such projects should consult the Infrastructure and Capacity Building Challenge Grants program)
- the preservation, organization, or description of materials that are not regularly accessible for research, education, or public programming
- the digitization of United States newspapers (applicants interested in such projects should consult the National Digital Newspaper Program)
- the creation of tools and reference works designed *exclusively* for classroom instruction
- scholarly or public conferences (which NEH supports through its Collaborative Research program)
- the creation of selective compilations of primary sources in print or digital form, when such works are developed primarily as an adjunct to *interpretive research* (NEH supports such compilations through its Collaborative Research program)
- the support of projects to document endangered languages (applicants interested in such projects should consult the Documenting Endangered Languages program)
- GIS projects for civic planning or resource management
- projects focused solely on translation (translation is an allowable component of an HCRR project as long as the work is being conducted in the service of an effort to create access to humanities collections or to produce reference resources.)
- institutional records management
- promotion of a particular political, religious, or ideological point of view
- advocacy of a particular program of social or political action
- support of specific public policies or legislation
- lobbying
- projects that fall outside of the humanities (including the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; and empirically based social science research or policy studies)

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

# E. Application Review Information

## 1. Review Criteria

Peer reviewers will use the following criteria to review applications in the HCRR program:

1. **The project's significance for supporting scholarly research, education, or public programming in the humanities.** In what ways is the topic/subject matter important? To what extent is the proposed material or reference resource of value, and how? To what extent would the collections/resource either fill an important gap or complement other available materials? For whom is this project significant and in what ways?

   (corresponds to narrative sections "[Significance](#)" and "[History, scope, and duration](#)")

2. **The soundness of the proposed methodology, including the selection criteria, where applicable, and the project's adherence to accepted national standards and professional practices, especially those that would contribute to making grant products interoperable with related resources and facilitate their discovery.** To what extent would the project employ best practices in preservation and access? Are the proposed procedures clear and appropriate for achieving the project's goals? Is the planning process well explained and sufficiently collaborative, particularly for Foundations projects, where collaboration is strongly encouraged?

   (corresponds to narrative section "[Methodology and standards](#)")

3. **The specificity and utility of the proposed products and outcomes, and the viability of the project, as indicated by the work plan.** To what extent are the outcomes or "deliverables" clearly identified? Is the project doable within the timeline and with the resources proposed? To what extent is the sequencing of activities appropriate?

   (corresponds to narrative section "[Work plan](#)" and [Attachment 4: Work plan](#))

4. **The soundness of plans for sustaining project outcomes, including digital content; for Foundations projects, the appropriateness of the next steps in the undertaking, and their likely viability.** To what extent will the collections or resource be made accessible in an ongoing manner, beyond the term of the project? For Foundations projects, to what extent are "next steps" sufficiently clear and potentially viable?

   (corresponds to narrative sections "[History, scope and duration](#)" and "[Sustainability of project outcomes and digital content](#)")

5. **The qualifications of the project's staff and suitability of the staffing arrangements.** Are the roles and duties of project staff clear, and are staff appropriately qualified for the work proposed? Are job descriptions provided for staff to be hired? Are the right kinds of humanities or technical advisors in place in cases

where advice such as this might be needed, particularly for Foundations projects, where cross-domain participation is strongly encouraged?

> (corresponds to narrative sections "Staff" and "Work plan" and Attachment 4: Work plan)

6. **The quality of the project's plans for disseminating information about and providing access to award products.** How effectively will the results of the project reach the intended users and, if presented as a model, other practitioners? How well does the project conform to NEH's expressed preference for free and open access to materials and tools?

> (corresponds to narrative section "Dissemination")

7. **The reasonableness of the proposed budget in relation to the proposed activities and the anticipated results.** To what extent do key personnel have adequate time devoted to the project to achieve project objectives? To what extent does the budget narrative demonstrate that the budgeted costs are reasonable and necessary?

> (corresponds to the budget and budget justification in relation to the project narrative and Attachment 4: Work plan)

# 2. Review and Selection Process

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

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

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

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

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

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

# 4. Anticipated Announcement and Award Dates

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

# F. Federal Award Administration Information

## 1. Federal Award Notices

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

## 2. Administrative and National Policy Requirements

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

### Debarment, Suspension, Ineligibility, and Voluntary Exclusion Certification

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

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

### Providing access to NEH-funded products

As a taxpayer-supported federal agency, NEH endeavors to make the products of its awards available to the broadest possible audience. Our goal is for scholars, educators, students, and the American public to have ready and easy access to the wide range of NEH award products. All other considerations being equal, NEH gives preference to those that provide free access to the public.

NEH recipients must follow the requirements of Section 504 of the Rehabilitation Act of 1973, which is designed to eliminate discrimination on the basis of disability in any program or activity receiving federal financial assistance. For more information consult *Design for Accessibility: A Cultural Administrator's Handbook*.

### Copyright information

NEH recipients may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under an award. In accordance with 2 CFR §200.315 (b), NEH reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for federal purposes, and to authorize others to do so. NEH has typically exercised

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

## Acknowledging NEH support

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

## Eliminate waste, fraud, and abuse

Help NEH eliminate fraud and improve management by providing information about allegations or suspicions of waste, fraud, abuse, mismanagement, research misconduct (fabrication, falsification, plagiarism), or unnecessary government expenditures, during the period of award performance, to the [NEH Office of the Inspector General](#).

# 3.  Reporting

Recipients must comply with the following reporting and review activities:

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

2.) **Performance Progress Report**(s).  Recipients must submit a performance progress report to NEH on an **annual** basis.  It must be completed online in eGMS Reach.  Further information will be provided in the Notice of Action.

3.) **Final Reports**.  Recipients must submit a final financial report and a final performance report within 90 calendar days after the period of performance ends.  The final performance report collects information relevant to program specific goals and progress on strategies; impact of the overall project; the degree to which the recipient achieved the mission, goal and strategies outlined in the approved application; recipient objectives and accomplishments; barriers encountered; and responses to summary questions regarding the recipient's overall experiences during the entire period of performance. The final reports must be submitted online in eGMS Reach.  Further information will be provided in the Notice of Action.

4.) **Tangible Personal Property Report**.  If applicable, recipients must submit the Tangible Personal Property Report (SF-428) and any related forms within 90 calendar days after the period of performance ends.  Recipients are required to report all equipment with an acquisition cost of $5,000 or more per unit purchased with NEH funds.  Tangible personal property reports must be submitted online through eGMS Reach.  Further information will be included in the Notice of Action.

5.) **White paper**.  Foundations recipients must submit a "white paper," which is an opportunity to share widely any best practices and lessons learned from the project within 90 calendar days after the period of performance ends.  Further information will be included 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:

Division of Preservation and Access
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
202-606-8570
preservation@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:

The 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 support for initial preservation assessments and other basic steps in collections care should consult the Preservation Assistance Grants for Smaller Institutions program. Applicants seeking support for the purchase of storage furniture and rehousing collections; improving environmental conditions (including the installation of climate control systems); and installing security, lighting, and fire-prevention systems should consult the Sustaining Cultural Heritage Collections program.

Projects that focus on serving the preservation and access field more generally by developing new standards, practices, methodologies, and workflows for preserving and creating access to humanities collections are eligible for support through NEH's Research and Development program. Applicants seeking primarily to develop experimental digital methods and techniques for a variety of purposes not limited to preservation and access should consult the Digital Humanities Advancement Grants program in the Office of Digital Humanities.

Applicants seeking support to translate and to annotate humanities works should consult the Scholarly Editions and Translations program in the Division of Research Programs.

## Related resources

The HCRR program resource page provides links to sample application narratives.

## Sample standards and best practices

Applicants may find the following links helpful in planning the execution of projects. Because NEH does not prescribe specific methodologies or standards, our guidance in this regard is only indicative.

- *Archiving Oral History* (Oral History Association, 2019)

- *ARSC Guide to Audio Preservation* (PDF, Association of Recorded Sound Archivists, Council on Library and Information Resources, and National Recording Preservation Board of the Library of Congress, 2015)

- *Capturing Analog Sound for Digital Preservation: Report of a Roundtable Discussion of Best Practices for Transferring Analog Discs and Tapes* (Council on Library and Information Resources, "CLIR Report," 2006)

- *Cataloging Cultural Objects: A Guide to Describing Cultural Works and their Images* (Visual Resources Association, 2006)

- *Code of Best Practice in Fair Use for Academic and Research Libraries* (Association of Research Libraries, 2012)

- *Guidelines for Collaboration* (Indian Arts Research Center, School for Advanced Research, 2019)

- *Digital Preservation Management: Implementing Short-Term Strategies for Long-Term Solutions* (Cornell University/University of Michigan, ICPSR)

- *Digitization Cost Calculator* (Digital Library Federation)

- *Digitization Guidelines* (Federal Agencies Digitization Guidelines Initiative)

- *A Framework of Guidance for Building Good Digital Collections* (PDF, National Information Standards Organization, 3rd edition, 2007)

- *A Guide to Approaching Audiovisual Digitization for Artists and Arts and Culture Organizations* (PDF, Bay Area Video Coalition, 2019)

- *Guides to Good Practice* (Archaeology Data Services and Digital Antiquity, 2011)

- International Image Interoperability Framework (IIIF Consortium)

- *Levels of Digital Preservation* (National Digital Stewardship Alliance/Digital Library Federation, 2019)

- *Meeting the Challenge of Media Preservation: Strategies and Solutions* (PDF, Indiana University, Media Preservation Initiative Task Force, 2011)

- *Preservation Leaflets* (Northeast Document Conservation Center)

- Preservation Self-Assessment Program (University of Illinois Libraries, 2016)

- *Preserving Moving Pictures and Sound* (PDF, Digital Preservation Coalition, 2012)

- *Protocols for Native American Archival Materials* (First Archivists Circle, 2007)

- *Self-Guided Curriculum for Digitization*, a series of presentations developed in conjunction with the Public Library Partnership Project of the Digital Public Library of America:

  - Planning for Digitization
  - Selecting Content for a Digitization Project
  - Understanding Copyright

- - Using Metadata to Describe Digital Content
  - Digital Reformatting and File Management
  - Promoting Use of Your Digital Content

- *Sound Directions: Best Practices for Audio Preservation* (Indiana University Digital Library Program, updated April 2008), which includes the Field Audio Collection Evaluations Tool (FACET)

- *Standards at the Library of Congress* -- resource description formats, digital library standards (Library of Congress)

- *Taking Stock and Making Hay: Archival Collections Assessment* (PDF, OCLC Research, 2011)

- *TEI Guidelines* (The Text Encoding Initiative Consortium)

- *Toward a Community of Practice: Initial Findings on Best Practices for Digital Encyclopedias*, NEH grant white paper (PDF, Internet Digital Encyclopedia Alliance, 2011)

# 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.