



NATIONAL ENDOWMENT FOR THE
Humanities

DIVISION OF PRESERVATION AND ACCESS

HUMANITIES COLLECTIONS AND REFERENCE RESOURCES

Deadline: July 16, 2019 (for projects beginning June 1, 2020)

Catalog of Federal Domestic Assistance (CFDA) Number: 45.149

Funding Opportunity Number: 20190716-PW

OMB Control Number 3136-0134, Expiration Date: 06/30/2021

If after reading this document you have questions about this program, contact the staff of NEH's Division of Preservation and Access at preservation@neh.gov and 202-606-8570. Applicants who are deaf or hard of hearing can contact NEH via Federal Relay (TTY users) at 800-877-8399.

Executive Summary

Funding Opportunity Title:	Humanities Collections and Reference Resources
Funding Opportunity Number:	20190716-PW
Federal Assistance Listing Number (CFDA):	45.149
Application Due Date:	July 16, 2019, 11:59 p.m. Eastern Time
Funding Expended in this program in FY2019	\$8.9 million
Estimated Number and Type of Award(s):	Up to 40 awards
Estimated Award Amount <i>or</i> Funding Range:	Implementation: up to \$350,000 Foundations: up to \$50,000; or up to \$60,000 for applications that support inter-institutional activities
Cost Sharing/Match Required:	No
Period of Performance (Award Period):	Implementation: Up to three years Foundations: Up to two years
Eligible Applicants:	U.S. nonprofit organizations with 501(c)(3) tax-exempt status, state and local governmental agencies, federally recognized Native American tribal governments, and institutions of higher education
Program Resource Page:	https://www.neh.gov/grants/preservation/humanities-collections-and-reference-resources

The National Endowment for the Humanities (NEH) Division of Preservation and Access is accepting applications for the Humanities Collections and Reference Resources (HCRR) program¹. The program 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. Funding from 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.

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

Contents

Executive Summary	2
Contents	2
I. Program Description.....	4
Implementation	4
Foundations	5
Activities not supported by the HCRR program.....	6
NEH Areas of Interest.....	7
Providing access to NEH-funded products.....	8
Copyright information	9
Award Information.....	9
Outright funds	9
Cost Sharing/Matching	9
Eligibility	10
II. Preparing and Organizing Your Application	10
Resources for preparing a strong application.....	10
Review criteria.....	10
Application components	12
Table of Application Components	12
SF-424 Application for Federal Domestic Assistance – Short Organizational.....	13
Supplementary Cover Sheet for NEH Grant Programs.....	14
Project/Performance Site Location(s) Form.....	15
Attachments Form.....	15
Attachment 1: Table of contents.....	15
Attachment 2: Narrative.....	15
Attachment 3: History of awards	21
Attachment 4: Project deliverables (only required for Implementation projects)	21
Attachment 5: List of participants.....	21
Attachment 6: Budget.....	21
Attachment 7: Appendices.....	25
Attachment 8: Federally negotiated indirect-cost rate agreement	26
III. Submitting your Application.....	26
Deadlines for submitting optional draft narratives and applications.....	27
IV. What Happens After the Submission of an Application.....	28

Review and selection process.....	28
Information for all applicants and for successful applicants.....	28
Reporting requirements.....	28
V. Additional Information.....	29
Contact information for the program and Grants.gov.....	29
Privacy policy	30
Application completion time.....	30
Application checklist.....	30
Timeline	31

I. Program Description

The Humanities Collections and Reference Resources (HCRR) program 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. Funding from 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.

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

Implementation

The period of performance for Implementation awards is up to three years.

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 (see below);
- 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 period of performance for Foundations awards is up to two years.

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.

See the sample application narratives and Frequently Asked Questions document, all of which are available on the [program resource page](#), for further information about the possible uses of Foundations awards.

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. 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.

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. 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 support at the Implementation level, they are not required to do so. Project outcomes for Foundations awards must be clearly identified in the application. These could include, for example, the following:

- 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 awardees should submit such products to NEH and must submit 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. (See the discussion near the end of Section I of this Notice of Funding Opportunity.)

Partnership/mentorship opportunity

In order to enhance access to humanities collections held by smaller institutions, Foundations applicants may request an additional \$10,000 (beyond the \$50,000 maximum) 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.

Activities not supported by the HCRR program

Humanities Collections and Reference Resources awards may not be used for:

- 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](#));
- GIS projects for civic planning or resource management;
- institutional records management;
- promotion of a particular political, religious, or ideological point of view;
- advocacy for a particular program of social or political action;
- support of specific public policies or legislation;
- lobbying; or
- projects that fall outside of the humanities (including the creation or performance of art; creative writing, memoirs, and creative nonfiction; and empirically based social science research or policy studies).

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.

NEH Areas of Interest

NEH is interested in the advancement of humanities-related work in the following areas. All applications will be given equal consideration in accordance with the program's **Error! Reference source not found.**~~review criteria.~~

Standing Together

NEH invites applications related to its [Standing Together](#) initiative, which encourages projects related to war and military service. In conjunction with this initiative, applicants to HCRR may request support to create, preserve, and make available oral history interviews with individuals who can provide eyewitness insights on the experience of war—actual military experience, and/or the impact of war on the American home front during wartime and its aftermath. Narrators could include veterans, family members, and others, such as local officials or employees of military bases and industries in places in which the experience of war and its consequences were or are deeply felt.

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. In conjunction with this encouragement, applicants to HCRR may also request support to create, preserve, and make available oral history interviews with individuals who can provide first-hand accounts of and reflection on events or experiences of cultural devastation. Narrators could include survivors or other witnesses of natural disasters as well as circumstances of social unrest or armed occupation, during which cultural heritage was at extreme risk. The recorded memory of such testimony can help sustain cultural heritage. Learn more about [Protecting our Cultural Heritage](#).

Special encouragement in recognition of and preparation for the 250th anniversary of American independence

Americans will celebrate the 250th anniversary of our nation in 2026. The anniversary of American independence provides an important opportunity to look back at the nation's founding and the past two and a half centuries of American history. What began as a conflict between the thirteen colonies and Great Britain culminated in the creation of what would become the world's oldest constitutional democracy. As we approach the 250th anniversary, NEH is offering a special encouragement to consider the impact—both immediate and long term—of the momentous events of 1776.

We especially invite applications that explore the role of the Declaration of Independence and other foundational documents in the making of U.S. history. In addition, we would welcome applications that explore the experiences of states and communities beyond the original colonies in joining the nation, since they have their own stories of becoming part of the United States. We also invite applications examining the stories and contributions of under-represented communities in our nation's history.

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

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 grant products. For the Humanities Collections and Reference Resources program, such products may include

reference works, digital archives, and websites. For projects that lead to the development of online resources, all other considerations being equal, NEH gives preference to those that provide free access to the public. Additional guidance on access and dissemination matters can be found under the “Dissemination” heading in the instructions for the narrative below.

NEH grant 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 produced, 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.

Award information

The maximum award for Implementation projects is \$350,000, for a period of performance of up to three years. The maximum award for Foundations projects is \$50,000 for a period of performance of up to two years. Applicants for Foundations projects involving multi-institutional collaborations between smaller and larger institutions may, however, request an additional \$10,000 (see the “Partnership/mentorship opportunity” subheading above). In such cases, the maximum award would be \$60,000 for a period of performance of up to two years.

Successful applicants will receive an award in outright funds, matching funds, or a combination of the two, depending on the applicant’s preference and the availability of funds.

Outright funds

Outright funds awarded by NEH are not contingent on additional funding from other sources.

Cost sharing/matching

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 (i.e., property or services) that benefit the funded project, and are contributed by nonfederal third parties, without charge, to the recipient of the federal award.

Required cost sharing includes third-party nonfederal gift money that will be raised to release federal matching funds.

Successful applicants will be awarded a grant in outright funds, matching funds, or a combination of the two, depending on the applicant’s preference and the availability of funds. When matching funds are requested, the applicant must raise contributions from nonfederal third parties and have them certified before the funds are released to the award recipient (see NEH’s [Federal Matching Funds Guidelines](#)). Funds raised to satisfy a match count toward an institution’s cost share for a project. (Learn more about [different types of funding](#).)

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

Eligibility

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

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

Eligible applicant institutions may submit multiple applications for separate and distinct projects under this announcement.

Overlapping project costs between two or more applications for federal funding and/or approved federal award budgets is not permitted.

Applications must be complete, must observe the specified page limits, and must be received and validated by Grants.gov under the correct funding opportunity number to be considered under this notice. Late, incomplete, or ineligible applications will not be reviewed.

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

NEH generally 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. Applicants considering the use of materials from federal entities for HCRR projects should consult with division staff before applying.

II. Preparing and Organizing Your Application

Resources for preparing a strong application

To prepare a strong application, applicants are encouraged to take the following steps:

- read the **Notice of Funding Opportunity** carefully, noting what information needs to be provided in the application;
- review the **sample narratives**, which are available on the [program resource page](#);
- consult the program's **review criteria**, which are listed immediately below;
- read the **Frequently Asked Questions**, which are available on the [program resource page](#);
- contact the **program staff** (at 202-606-8570 or preservation@neh.gov) to discuss your project and raise any questions you may have about the application; and
- submit an optional **draft narrative** (at least six weeks before the deadline), to which program staff will respond with suggestions and advice.

Review criteria

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

- 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? Who will benefit from this project and in what ways?)*
- 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? For Foundations projects, is the planning process well explained and sufficiently collaborative?)*
- 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?)*
- 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?)*
- 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?)*
- 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?)*
- The reasonableness of the proposed **budget** in relation to the proposed activities and the anticipated results. *(To what extent are the specific budget items justified in the narrative?)*

As noted earlier, applicants are encouraged to contact program officers, who can offer advice about preparing the application and review preliminary drafts if they are submitted at least six weeks before the deadline. Time constraints may prevent staff from reviewing drafts submitted after that date. Staff comments are not part of the formal review process and have no bearing on

the final outcome, but applicants have found them helpful in strengthening their applications. Drafts should be submitted by e-mail attachment to preservation@neh.gov.

Application components

Your application will consist of four forms that you will complete with the Grants.gov application package. You will then upload the remaining application components in to the Attachments Form.

Table of Application Components

Attachment Number	Component	Naming Convention	Notes
Form	SF-424 Application for Federal Domestic Assistance – Short Organizational	Not applicable; part of the Grants.gov application package	
Form	Supplementary Cover Sheet for NEH Grant Programs	Not applicable; part of the Grants.gov application package	
Form	Project/Performance Site Location(s) Form	Not applicable; part of the Grants.gov application package	
Form	Attachments Form	Not applicable; part of the Grants.gov application package	Upload the attachments into the Attachments Form.
1	Attachment 1: Table of contents Attachment 1: Table of contents	contents.pdf	
2	Attachment 2: Narrative	narrative.pdf	10 pages for Foundations; 15 pages for Implementation
3	Attachment 3: History of awards Attachment 3: History of awards	awardhistory.pdf	Conditionally required
4	Attachment 4: Project deliverables (only required for Implementation projects) Attachment 4: Project deliverables	deliverables.pdf	Only required for Implementation projects
5	Attachment 5: List of participants Attachment 5: List of participants	participants.pdf	
6	Error! Reference source not found. Attachment 6:- Budget	budget.pdf	
7	Attachment 7: Appendices	appendices.pdf	
8	Attachment 8: Federally negotiated indirect-cost rate agreement Attachment 8: Federally negotiated indirect-cost rate agreement	agreement.pdf	Conditionally required

SF-424 Application for Federal Domestic Assistance – Short Organizational

This form asks for basic information about the project, the project director, and the institution. Please provide the following information:

1. Name of Federal Agency

This will be filled in automatically with “National Endowment for the Humanities.”

2. Catalog of Federal Domestic Assistance Number

This will be filled in automatically with the CFDA number and title of the NEH program to which you are applying.

3. Date Received

Please leave blank.

4. Funding Opportunity Number

This will be filled in automatically.

5. Applicant Information

In this section, 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 grant 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

Provide the title of your project. Your title should be brief (no more than 125 characters), 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.

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.

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

7. Project Director

Provide the name, title, mailing address, e-mail address, and telephone and fax numbers for the project director.

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. The project director is the person directly in charge of the conduct of the funded project.

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. In order to become an AOR, the person must be designated by the institution's E-Business Point of Contact. For more information, please consult the [Grants.gov Online User Guide](#).

Supplementary Cover Sheet for NEH Grant Programs

This form asks for additional information about the project director, the institution, and the budget. Please provide the following information:

1. Project Director

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

2. Institution 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 application will be submitted to other NEH programs, government agencies, or private entities for funding. If so, please indicate where and when. NEH frequently cosponsors projects with other funding sources. 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

This form asks for information about the primary site(s) at which grant activities will take place. Instructions for each requested data element may be viewed by positioning your cursor over the blank field.

Attachments Form

This form is where you will attach your narrative, budget, and the other application components.

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 PDFs, 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. Even if you choose to complete the online webforms in Workspace, you will need to convert the files that you will attach (to the Attachments Form) into PDFs. 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.

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.

Note the following Grants.gov file naming conventions: Please limit file names to 50 or fewer characters. Do not attach any documents with the same name. All attachments should have a unique name. Please 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.

Please consult the preceding table for 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 we can identify them.

Attachment 1: Table of contents

List all components of the application.

Attachment 2: Narrative

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. Use appendices to provide supplementary material. Number the pages of the narrative. (Note that you need not

number the pages of the other components of the application.)

Individuals with a variety of professional backgrounds will read these applications and advise NEH on their merits. Project narratives should therefore be written with a minimum of technical jargon.

Keep the application review criteria (see above, beneath the “Review criteria” heading) in mind when writing the narrative, which consists of the following sections.

Significance

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** at the Implementation level, 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

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

Explain the manner in which the project will be executed. Activities should conform to appropriate national standards and accepted professional practices. (Informational links to relevant standards are provided in the Frequently Asked Questions document, which is available on the [program resource page](#).) 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, 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” described above, 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.

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

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

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. Describe plans to

bring the project to the attention of the relevant communities of users through, for example, 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 activities such as:

- community humanities programming;
- reading and discussion programs;
- film screenings;
- traveling exhibitions; or
- the development of resources for K-12 educators and students. (NEH's [EDSITEment website](#) is a respected source of educational materials for the classroom. NEH encourages applicants seeking to create such resources to do so in a manner that would be appropriate for publication on or promotion through EDSITEment.)

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 the [Division of Public Programs](#).

NEH expects recipients to provide broad 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 projects that offer open access to online resources, using [Creative Commons licenses](#), as possible and appropriate. All other considerations being equal, NEH will give preference to projects that provide free, online access to digital materials produced with NEH funds.

Work plan

Describe the activities or steps that you will use during the period of performance to achieve each of the objectives proposed in the Methodology section. Include a detailed schedule indicating benchmarks of accomplishment during each stage of the project. Divide large, complex goals into discrete objectives. For each activity, indicate who will carry out the work.

Staff

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. If the project has an advisory board, list the names and affiliations of the board's members and explain the board's function. Provide two-page résumés for major project staff and all consultants in the

appendices.

As relevant, explain how the perspectives of 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](#). See the links to “Community + Museum Guidelines for Collaboration” and “Protocols for Native American Archival Materials” near the end of the Frequently Asked Questions document, which is available on the [program resource page](#).

Attachment 3: History of awards

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.

Attachment 4: Project deliverables (only required for Implementation projects)

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

Attachment 5: List of participants

On a separate page, list in alphabetical order, surnames first, all project participants and collaborators and their institutional affiliations. As relevant, this list should include advisory board members, consultants, and 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.

Attachment 6: Budget

Using the instructions below and the sample budget, complete the budget form (MS Excel format) or a format of your own that includes all the required information. (Links to the sample budget and budget form are available on the [program resource page](#).)

The budget must include the total project costs that will be covered by NEH funds, federal matching funds, and cost share funds. All costs are subject to audit, record retention and other requirements set forth in 2 CFR 200.

All of the items listed, whether supported by NEH funds or cost sharing contributions, 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. Also see the property and procurement standards set forth in [2 CFR 200 Subpart D](#).

When indirect costs are charged to the project, take care to ensure that expenses included in the organization's indirect-cost pool are not charged to the project as direct costs. For further information, see the Indirect Costs section below.

If you are requesting federal matching funds, please include required cost sharing in your application budget.

1. Salaries and Wages

Staff costs should include the position title, name (if possible), percent of full-time equivalent or total number of hours charged to the project. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary charge for work done outside the academic year. All salaries and wages claimed must be in compliance with [2 CFR §§200.430](#) and [466](#).

2. Fringe Benefits

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. All fringe benefits claimed must be in compliance with [2 CFR §200.431](#). List each rate and salary base.

3. Consultant Fees

Include payments for professional and technical consultants and honoraria. All consultant fees claimed must be in compliance with [2 CFR §200.459](#).

4. Travel Costs

List travel costs for local and long-distance travel. For local travel, outline the mileage rate, number of miles, reason for travel and staff member/consumer completing the travel. The budget should also reflect the travel expenses (for example, airfare, lodging, parking, per diem, etc.) for each person and trip associated with participating in meetings and other proposed trainings or workshops. Name the traveler(s) if possible, describe the purpose of the travel, and provide the number of trips involved, the destinations, and the number of individuals for whom funds are requested. 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. 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](#).

Travel to regularly occurring professional meetings is not supported with NEH funds. **All trips—both foreign and domestic—must be listed individually.**

5. Supplies and Materials

Include consumable supplies, materials 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.

6. Subawards

The costs of project activities to be undertaken by a third-party subrecipient should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be provided in an attachment. If there is more than one subrecipient, each must be budgeted separately on the NEH form and must have an attached itemization. See [2 CFR §§200.330 and 331](#) for additional information.

7. Other Costs

Include participant stipends and room and board, equipment rental or purchases, duplication, printing, long distance telephone calls, and other items not previously listed under other budget categories or in the indirect cost pool. Please note that “miscellaneous” and “contingency” are not acceptable budget categories.

List equipment costs and provide a justification for the need to purchase the equipment to carry out the program’s goals.

Permanent equipment may be purchased for a project if an analysis demonstrates that purchasing is more economical and practical than leasing. Permanent equipment is defined as nonexpendable personal property costing \$5,000 or more and having a useful life of more than one year. (Also see [2 CFR §§200.313 Equipment](#) and [439 Equipment and other capital expenditures](#).)

Consistent with [Executive Order 13788](#) (“Buy American and Hire American”), grantees 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.

If a budget includes compensation for the use of equipment or facilities owned by an applicant and allocable to the project, the applicant must 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, 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. Please note: 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.

8. Total Direct Costs per year

Total the sum of items 1-7.

9 a.- c. Indirect Costs (Facilities and Administration or “F&A”)

Indirect costs are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. 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 direct costs of the project).

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

If your institution has a current federally negotiated indirect cost rate, please indicate on the budget form the appropriate rate, the base, the name of the agency with which you negotiated, and the date of that agreement.

Note: Except as provided in paragraph (c)(1) of [2 CFR §200.414](#) Indirect (F&A) costs, 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](#) Indirect (F&A) costs, 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 (F&A) charges in the budget but have **never** had a federally negotiated indirect cost rate may choose one of the following options:

- 1) direct cost all expenses;
- 2) 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

3) 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](#), MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC 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, please indicate on the budget form which option you are choosing.

10. Total Project Costs

The sum of items 8. and 9.

11a-b. Project Funding

11a Requested from NEH: Indicate the amount of outright and/or federal matching funds that is requested from NEH.

11b Cost sharing: Indicate the amount of cash contributions that will be made by the applicant and cash and in-kind contributions made by third parties to support project expenses that appear in the budget. Cash gifts that will be raised to release federal matching funds should be included under “Third-party contributions.” When a project will generate income that will be used during the period of performance to support expenses listed in the budget, indicate the amount of income that will be expended on budgeted project activities. Indicate funding received from other federal agencies.

12. Total Project Funding

The sum of 11.a. and 11.b.

Budget Narrative

Briefly describe the amounts requested for each line item of the budget. The budget narrative justification should specifically describe how each item will support the achievement of the proposed objectives. Please explain any voluntary cost share in your budget notes. The budget narrative should be appended to the budget.

Provide a clear explanation as to the purpose of each contract/subaward, how the costs were estimated, and the specific contract/subaward deliverables. You should not provide line item details on proposed contracts, rather you should provide the basis for your cost estimate for the contract. You are responsible for ensuring that your organization or institution has in place an established and adequate procurement system with fully developed written procedures for awarding and monitoring all contracts/subawards. Recipients must notify potential subrecipients that entities receiving subawards must be registered in SAM and provide the recipient with their D-U-N-S® number (see [2 CFR part 25](#)). For consultant services, identify each consultant, the services he/she will perform, total number of days, travel costs, and total estimated costs.

Attachment 7: Appendices

Appendices should demonstrate the final or anticipated form of the project or illustrate the experience of the project's staff in doing comparable work, such as bibliographic records, catalog entries, finding aids, entries for encyclopedias or dictionaries, results of specific queries to databases, screenshots for Web interfaces, instructions to contributors, audio files and images, and conservators' reports. **They should be selective, concise, and specific to the proposed project.** Reviewers are unlikely to respond favorably to lengthy appendices.

As applicable, use the appendices to provide:

- 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);
- **brief** résumés (no longer than two pages) for staff with major responsibilities for the project's implementation and for consultants to the project;
- job descriptions for any additional staff who will be hired specifically to work on the project;
- letters of commitment from the principal cooperating participants or partners, both within and outside the parent institution; and
- letters of support (ideally no more than three) from experts in the project's subject area and, if necessary, its proposed methodology.

Attachment 8: Federally negotiated indirect-cost rate agreement

If the applicant institution is claiming indirect costs and has a current federally negotiated indirect-cost rate agreement, submit a copy of the agreement.

III. Submitting your Application

All organizations must submit their applications for NEH funding via [Grants.gov Workspace](#). 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](#)
- 2) [System for Award Management \(SAM\)](#)
- 3) [Grants.gov](#)

The applicant organization must first have or obtain a valid Dun and Bradstreet Data Universal Numbering System (D-U-N-S®) number, also known as the Unique Entity Identifier, and then register (or have an active registration) in the System for Award Management (SAM). Note: If you are registering in SAM for the first time, you must provide an original, signed [notarized letter](#) stating that you are the authorized Entity Administrator for the entity associated with the D-U-N-S® number before your registration will be activated. Read the [SAM update and FAQs](#) to learn more about this process change. **The initial SAM registration can take up to six weeks.**

Organizations must maintain active SAM registration with current information at all times during which they have an active federal award or an application or plan under consideration by a federal agency. You must therefore review and update your information at least annually after the initial registration, and more frequently if required by changes in information.

Effective June 29, 2018, when you go to SAM.gov and log in, you will be asked to create a Login.gov user account. Your current SAM.gov username and password will **no longer work**. 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](#). **We strongly recommend that you verify the status of your SAM registration at least two weeks before the application deadline.**

Applicant organizations with a valid D-U-N-S® number and an active SAM registration must then register with Grants.gov. Visit [Grants.gov](#) for complete registration information. **The initial Grants.gov registration process can take up to two weeks.**

If your organization has already registered with Grants.gov, you must verify that your registration is still active and that your Authorized Organization Representative (AOR) is current and has been approved. **We strongly recommend that you do this at least two weeks before the application deadline.** Note: Grants.gov passwords expire every 60 days. Accounts that have been inactive for one year or more result in removal of all account roles. If you have problems registering or verifying your registration with Grants.gov, call the Grants.gov help desk at 1-800-518-4726 or email support@grants.gov.

Links to the Grants.gov application package can be found on the [program resource page](#).

Deadlines for submitting optional draft narratives and applications

You are welcome to contact the Division of Preservation and Access to seek advice about preparing your application. Submission of draft narratives is **optional, but applicants are strongly encouraged to take advantage of this preliminary review**. Please send your

draft to preservation@neh.gov at least six weeks before the July 16 deadline for submitting applications. NEH staff may not be able to review drafts submitted after that date.

Applications must be received and validated by Grants.gov by **11:59 p.m. (Eastern Time), Tuesday, July 16, 2019**. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after that date will not be accepted.

[Confirm that you have successfully submitted your application](#). It is your responsibility as an applicant to confirm that Grants.gov and subsequently NEH have received and validated/accepted your application.

IV. What Happens After the Submission of an Application

Review and selection process

Knowledgeable persons outside NEH will read each application and advise the agency about its merits. NEH staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH chairman. The chairman takes into account the advice provided by the review process and, by law, makes all funding decisions. Learn more about the [NEH review process](#).

Prior to making an award, NEH will conduct a risk assessment of successful applicants, consistent with the Administrative Requirements set forth in [2 CFR §200.205](#). This assessment guards against the risk that federal financial assistance might be wasted, used fraudulently, or abused. Based on its risk assessment, NEH will include in the award documents specific conditions designed to mitigate the effects of the risk.

Information for all applicants and for successful applicants

Applicants will be notified of the decision by e-mail in April 2020. Institutional grants administrators and project directors of successful applications will receive award documents from the NEH Office of Grant Management by e-mail in May 2020. Award documents will identify the relevant terms, conditions, and administrative requirements that pertain to successful applications. The [Grant Management](#) section of the NEH website outlines all the responsibilities of award recipients, including anti-lobbying restrictions, in great detail. Applicants may obtain the evaluations of their applications by sending a letter to NEH, Division of Preservation and Access, 400 Seventh Street, S.W., Washington, D.C. 20506, or an e-mail message to preservation@neh.gov.

Reporting requirements

Award recipients must comply with the following reporting requirements:

- 1) **Federal Financial Report(s)**. The Federal Financial Reports (SF-425) is required on an annual basis. It must be completed online in eGMS Reach. Further information will be provided in the award notice.
- 2) **Performance Progress Report(s)**. The recipient must submit a performance progress report to NEH on an annual basis. Further information will be provided in the award notice.

- 3) **Final Reports.** A final financial report and a final performance report are due 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.
- 4) **Tangible Personal Property Report.** If applicable, the recipient must submit the Tangible Personal Property Report (SF-428) and any related forms. The report must be submitted 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. This includes equipment and supplies. Tangible personal property reports must be submitted electronically through eGMS Reach. More specific information will be included in the award notice.
- 5) **White Paper.** Foundations recipients must submit a "**white paper**" documenting lessons learned, so that others can benefit from the recipients' experience. Further information will be provided in the award notice.

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](#).

V. Additional Information

Contact information for the program and Grants.gov

If you have questions about the program, contact:

Humanities Collections and Reference Resources
Division of Preservation and Access
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
preservation@neh.gov

If you have questions about registering or renewing your registration with 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

Grants.gov: www.grants.gov
Grants.gov help desk: support@grants.gov
[Grants.gov training resources and videos](#)
Grants.gov support line: 1-800-518-GRANTS (4726)

Privacy policy

Information in this Notice of Funding Opportunity 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 the average time to complete this application is fifteen hours per response. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed, and completing and reviewing the application.

Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the completion time, to the Chief Funding Opportunity Officer, at grantmanagement@neh.gov; the Office of Publications, National Endowment for the Humanities, Washington, DC 20506; and the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, DC 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Application checklist

- **Register your institution or verify its registration with the System for Award Management (SAM).** Begin a new registration at least six weeks before the deadline.
- **Register your institution or verify its registration with Grants.gov.** Begin a new registration at least two weeks before the deadline.
- **Access the application package through Grants.gov Workspace.** The [program resource page](#) on NEH's website has a direct link to the package. You can also search Grants.gov for this program. The program resource page has a direct link to the NEH instructions for completing the package.
- **Complete the following forms contained in the Grants.gov application package:**
 1. SF-424 Application for Federal Domestic Assistance - Short Organizational
 2. Supplementary Cover Sheet for NEH Grant Programs
 3. Project/Performance Site Location(s) Form
 4. Attachments Form: Attach additional application components to the Attachments Form, as outlined in the Table of Application Components, noting the stated order and naming conventions.

- **Upload your application to Grants.gov.** NEH **strongly** suggests that you submit your application no later than noon Eastern Time on the day of the deadline. Doing so will leave you time to contact the Grants.gov help desk for support, should you encounter a technical problem of some kind.

Timeline

Until July 16, 2019: Contact Division of Preservation and Access program officers (at 202- 606-8570 or preservation@neh.gov) with questions and for advice (optional)

June 4, 2019: Submit draft narratives (optional) by this date

June 4, 2019: Applicants that have not registered in the System for Award Management (SAM) and Grants.gov should begin the process by this date

July 2, 2019: Applicants that have registered in SAM and Grants.gov should verify their registrations by this date

July 16, 2019: Application must be submitted through and validated by Grants.gov by 11:59 p.m. Eastern Time on this date.

October-December 2019: Peer review panels take place

March 2020: Meeting of the National Council on the Humanities, followed by funding decisions

April 2020: Applicants are notified of the funding decisions

May 2020: Institutional grants administrators and project directors of successful applications receive award documents by e-mail from the NEH Office of Grant Management

June 1, 2020: Successful applicants may begin work on their projects