NATIONAL ENDOWMENT FOR THE HUMANITIES

**NOTICE OF FUNDING OPPORTUNITY**

# Funding Opportunity Title: Institutes for K-12 Educators

Funding Opportunity Number: 20210309-ES

Funding Opportunity Types: New

Federal Assistance Listing Number: 45.163

## Application Due Date: March 9, 2021

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

Division of Education Programs
Telephone: 202-606-2324
Email: institutes@neh.gov
TTY: 800-877-8399

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

# Executive Summary

The National Endowment for the Humanities (NEH) Division of Education Programs is accepting applications for the Institutes for K-12 Educators program. NEH Institutes are professional development programs that convene K-12 educators from across the nation in order to deepen and enrich their understanding of a variety of topics in the humanities and enrich their capacity for effective scholarship and teaching.

| | |
|---|---|
| Funding Opportunity Title: | Institutes for K-12 Educators |
| Funding Opportunity Number: | 20210309-ES |
| Federal Assistance Listing Number (CFDA): | 45.163 |
| Application Due Date: | March 9, 2021, 11:59 p.m. Eastern Time |
| Anticipated Announcement: | August 2021 |
| Anticipated Total Annual Available FY 21 Funding: | Approximately $1,500,000 |
| Estimated Number and Type of Awards: | Approximately 9 grants |
| Funding Range: | Up to $235,000 |
| Cost Sharing/Match Required: | No |
| Period of Performance: | Level I: October 1, 2021– December 31, 2022 (15 months)<br>Level II: October 1, 2021– September 30, 2023 (24 months) |
| Eligible Applicants: | U.S. nonprofit organizations with 501(c)(3) tax-exempt status, public and 501(c)(3) accredited institutions of higher education, state and local governmental agencies, and federally recognized Native American tribal governments.<br><br>See C. Eligibility Information. |
| Program Resource Page: | https://www.neh.gov/grants/education/institutes-k-12-educators |
| Pre-Application Webinar | A pre-recorded technical assistance webinar will be posted to the program resource page by January 15, 2021. |

# Table of Contents

**A. Program Description....1**

1. Purpose....1
2. Background....5

**B. Federal Award Information....6**

1. Type of Application and Award....6
2. Summary of Funding....7

**C. Eligibility Information....7**

1. Eligible Applicants....7
2. Cost Sharing....7
3. Other Eligibility Information....8

**D. Application and Submission Information....9**

1. Application Package....9
2. Content and Form of Application Submission....9
3. Unique Entity Identifier and System for Award Management....28
4. Submission Dates and Times....29
5. Intergovernmental Review....29
6. Funding Restrictions....29
7. Other Submission Requirements, if applicable....30

**E. Application Review Information....31**

1. Review Criteria....31
2. Review and Selection Process....32
3. Assessment of Risk and Other Pre-Award Activities....32
4. Anticipated Announcement and Award Dates....32

**F. Federal Award Administration Information....33**

1. Federal Award Notices....33
2. Administrative and National Policy Requirements....33
3. Reporting....34

**G. Agency Contacts....35**

**H. Other Information....36**

# A. Program Description

## 1. Purpose

This notice solicits applications for Institutes for K-12 Educators that will take place in 2022.

NEH-funded institutes are professional development programs that convene K-12 educators from across the nation in order to deepen and enrich their understanding of a variety of topics in the humanities and enrich their capacity for effective scholarship and teaching.

Most fundamentally, institutes:

- allow immersive study of topics of significance to the humanities
- foster new fields of study and/or revitalize existing areas of inquiry
- reinvigorate teaching and increase intellectual impact in the classroom
- build lasting communities that foster participants' intellectual and professional collaboration

They should:

- ground the study in significant humanities texts and related resources
- explore multiple approaches to the topic in a manner that is both rigorous and collegial
- provide opportunities for deep and collaborative engagement with the topic
- model excellent scholarship and teaching
- consider how the topic engages recent developments in the scholarship, teaching, and curriculum of participants' professional settings
- reach the widest possible audience for whom the topic is relevant

## Key Considerations

### Audience

Each institute must be designed for a diverse group of 25-36 K-12 educators drawn from across the nation. Programs must be open to all eligible K-12 educators and must target one or more grade level(s) (K-5, 6-8, and/or 9- 12). In addition to the participant eligibility criteria outlined in C3. Other Eligibility Information:

- Applicants may target a more specific audience, such as by requiring foreign language proficiency or by extending the reach of the institute to include those outside the humanities. (The potential audience should be large enough, however, to yield a complete participant group.)
- At least five spaces must be reserved for teachers who are new to the profession (those who have been teaching for less than five years).
- Level II projects also cultivate an additional audience interested in professional development opportunities beyond the core participant group.

### Funding Levels

Institutes for K-12 Educators are awarded at two levels: Level I and Level II.

These funding levels contain different program requirements and review criteria. **Applicants are advised to pay careful attention to these differences throughout this notice.**

- **Level I**: Open only to projects that are new or have not been previously funded by NEH. This level supports preparation for and execution of an institute, as well as moderate follow up and outreach.

  Level I funding is not intended for revisions of previously funded projects (NEH Summer Seminars and Institutes or Landmarks of American History and Culture Workshops).

- **Level II:** Required of previously-funded projects and optional for first-time projects. In addition to Level I activities, this level requires a robust program of dissemination beyond the participant audience.

  Level II projects have a period of performance of nine additional months and up to $15,000 in additional funding that must be used to support dissemination activities.

For more detail, see B. Federal Award Information and C. Eligibility Information.

## Project Components

### Topic and Intellectual Focus

An institute topic must consist of significant humanities subject matter that is central to K-12 curricula. It may:

- address emerging or overlooked humanities fields
- include attention to pedagogy and/or methodology, provided the humanities content remains central
- be interdisciplinary, provided the humanities remain central

### Format and Program of Study

Institutes may run from one to four weeks and may adopt a variety of schedules, and residential and/or virtual meeting formats, to suit the needs of the topic and audience.

All sessions, whether residential or virtual, should involve guided, well-planned activities that engage participants in substantive collegial study. One week should be understood as the equivalent of five to six days of structured study.

Given the importance of intensive, immersive study to the purpose of an institute, projects should take into account the demands and variety of academic-year calendars. Projects that propose meetings before or after the summer season (the second week of June through the first week of August) should carefully consider the nature and capacity of participant commitments.

Projects must arrange the program length, meeting formats, and meeting dates to:

- encourage high quality intellectual study
- explore effective ways to teach the topic
- attract a diverse and engaged group of participants

Institutes may involve:

- experienced scholars who engage participants in diverse approaches to the topic
- focused seminar-style discussion in small groups, designed to provide a deeper or more intimate intellectual environment

- dedicated time for reading, writing, and/or reflection on the topic, which may include mentoring and work on individual or collaborative projects that advance scholarship and/or teaching
- conversations about ways to teach the topic and integrate primary and digital resources into the classroom
- the cultivation of informal relationships that enhance collegial intellectual exchange

For example, a three-week institute could take a variety of forms, such as:

- two weeks of residential study and one week of virtual workshops that focus on scholarly and/or teaching projects. This week could be contiguous or could involve five or six individual days spread out over a longer period.
- entirely virtual with all study, discussion, and project work held online
- entirely residential, ranging from a daily roster of rotating scholars, to a small team of project scholars who work in residence with the group for multiple days

Unallowable activities are described in D6. Funding Restrictions.

## Project Team

The project team should include individuals in the following roles:

- **Project director or co-director team**. Directors are responsible for all intellectual and administrative aspects of the project. Directors should be established scholars and must be present throughout the academic program; they must not assume any other commitments during the study period.
- **Replacement director(s)**. This person(s) must be appropriately qualified and capable of assuming leadership of the project should a director become unable to fulfill his/her role. The person(s) may be a co-director or project team member, as appropriate, who is already familiar with the project.
- **K-12 Leader**. At least one person with demonstrated excellence and leadership experience in the K-12 classroom and/or in K-12 curriculum development must be involved in project planning and implementation.
- **Experienced scholars and academic staff**. Individuals, such as library or museum personnel, may bring different perspectives and/or resources to the project. Institutes should carefully consider how the number of visitors, their expertise and approaches, and the nature of their involvement will generate meaningful engagement with participants.
- **Technological experts**. Such person(s) may be needed to meet the digital demands of the project.
- **Project administrators**. These individuals may range from a co-director to a professional manager, graduate student, on-site coordinator, or a combination thereof. This role is distinct from that of the institutional grants administrator, described below.
- **Institutional grants administrator**. The designated representative of the applicant institution with authority to act on the organization's behalf in matters related to the administration of NEH awards. Responsibilities include accountability both for the appropriate use of funds awarded and the performance of the NEH-supported project or activities as specified in the approved application and in compliance with 2 CFR Part 200 and the terms and conditions of the award. The project director(s) may **not** serve as the institutional grant administrator.

## Institutional Resources

Recipients must provide appropriate academic and support facilities such as meeting spaces, research collections, and computing resources, according to the residential and/or virtual goals of the project.

Projects with a virtual component should have suitable digital resources, including databases, internet capabilities, hardware, and software.

Projects with a residential component may take place at a college, university, learned society, center for advanced study, library or other repository, cultural or professional organization, or other appropriate location. The site must be located in the United States or its territories.

Projects with a residential component must also provide arrangements for participant housing and dining that foster a collegial environment, are reasonably priced, and are located at or near the primary meeting location. Note: Though initial deposits from project funds may be needed to secure such arrangements, participants cover these costs out of their stipends. See E. Participant/Trainee Support Costs of the Research and Related Budget instructions.

## Cultivating Your Audience(s): Participants and Project Dissemination

Recipients are required to create a project website to recruit prospective participants, explain the application and selection process, provide intellectual and practical resources to the participants, and extend the reach of the project.

Recipients should provide NEH with a URL for their website by October 15, 2021, and should be prepared to launch the website by November 15, 2021.

### Participants

- **Recruitment**: Each recipient conducts a sustained program of outreach across the nation to build a robust pool of participant applicants. In addition to the project website, communication platforms such as listservs, social media, and discussion groups, are key to participant outreach. (See Audience and Participant Eligibility)
- **Selection:** Participants are selected by a committee, which should consist of three or more members, including the project director(s) and at least one K-12 classroom teacher.
- **Preparation:** Communication with the participants before the institute is essential to an effective teaching environment. This involves covering logistical matters, such as transportation, lodging, and technological requirements; providing academic resources for participants, such as posting readings in advance; and preparing participants for the program by setting a collegial tone, providing a mechanism for participants to introduce themselves, and outlining expectations.
- **Follow up:** Continued engagement with participants reinforces and sustains the program's impact. This is to be distinguished from project dissemination (discussed below). Follow up may involve sharing projects and related resources, guiding participants on scholarly, pedagogical, or professional matters, or facilitating ongoing discussion among participants.

### Project Dissemination (required of all Level II projects)

Project dissemination is meant to bring the most salient parts of a project to an audience beyond the participant group.

This is a required and essential component of all Level II projects and defines the critical difference between [Level I and Level II funding levels](). Level I projects are encouraged, but not required, to conduct a modest program of dissemination.

The importance of the dissemination component is signaled by a period of performance of nine additional months and up to $15,000 in additional funding. Accordingly, the dissemination plan should be considerably more robust than posting project resources or participant projects on the project website. It should be appropriately designed, staffed, and budgeted, and be capable of attracting, engaging, and assessing audience response.

Projects must:

- define the type of audience or audiences they plan to engage beyond the participant group
- conduct a well-designed program of outreach to this audience(s)
- provide intellectually substantive and pedagogically effective activities and/or resources
- demonstrate the potential for a strong and measurable impact

**Activities, resources, and methods of delivery** should be appropriate to the audience and subject matter. Open access and sustainable digital formats are especially encouraged. They may include, but are not limited to:

- social media platforms such as discussion boards, blogs, podcasts, and videocasts
- collections of teaching and/or scholarly resources, such as unit modules or syllabi, annotated bibliographies, timelines, or collections of primary sources
- interactive educational exchanges through webinars, workshops, or teaching demonstrations
- conference presentations or publications

**Personnel** should possess relevant subject matter, pedagogical, and technical expertise.

- At least one director of the project must lead the dissemination activities.
- Additional personnel may include selected participants, visiting faculty, and IT and administrative staff.
- The involvement of current or former participants as consultants is especially encouraged as a means of solidifying and expanding their work during the institute.

**Evaluation**: Level II recipients must submit a white paper that documents their work, including lessons learned and the results of the project outreach and dissemination, so that others can benefit. This white paper will be posted on the NEH website, and project directors will be encouraged to disseminate the white paper among their peers. See F3 Reporting.

## 2. Background

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

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

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

To learn more about NEH, visit https://www.neh.gov/about.

## NEH Areas of Interest

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

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

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

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

### Standing Together

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

### Protecting our Cultural Heritage

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

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

# B. Federal Award Information

## 1. Type of Application and Award

NEH seeks new applications in response to this notice.

NEH will provide funding in the form of grants.

## 2. Summary of Funding

Approximately $1,500,000 is expected to be available to fund approximately nine recipients. You may apply for a ceiling amount of up to $235,000, depending on the funding level and length of program you propose.

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

**Award Amounts**

Successful applicants will be awarded up to the following amounts in outright funds. Outright funds awarded by NEH are not contingent on additional funding from other sources.

| | One week | Two weeks | Three weeks | Four weeks |
|---|---|---|---|---|
| Level I | $120,000 | $175,000 | $200,000 | $220,000 |
| Level II | $135,000 | $190,000 | $215,000 | $235,000 |

**Period of Performance**

All projects will have a start date of October 1, 2021.

- Level I projects have a period of performance of 15 months, ending on December 31, 2022.
- Level II projects have a period of performance of 24 months, ending on September 30, 2023.

# C. Eligibility Information

## 1. Eligible Applicants

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

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

## 2. Cost Sharing

Cost sharing is not required in this program. 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.

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

## 3. Other Eligibility Information

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

To be eligible for Level I, a project must be new or not previously funded by NEH. Level I projects are not revisions of previously-funded NEH professional development projects (Summer Seminars and Institutes or Landmarks of American History and Culture Workshops). Project directors who are unsure if they should apply for a Level I or Level II award should consult with program staff.

As a matter of programmatic policy, NEH will not make awards in the Institutes for K-12 Educators program for the same project (that is, a project with essentially the same topic and faculty team) in consecutive years. For example, if a recipient was funded in 2020 (for a 2021 offering), they are not eligible to apply for the same project in 2021 (for a 2022 offering). As a matter of programmatic policy, directors who have postponed an NEH professional development project to 2022 may not apply in 2021 for what would be second project in 2022. Directors who are unsure about the applicability of this policy should consult with program staff.

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

NEH does not make awards to other federal entities or to applicants whose projects are so closely intertwined with a federal entity that the project takes on characteristics of the federal entity's own authorized activities. This does not preclude applicants from using funds from, or sites and materials controlled by, other federal entities in their projects. Such resources may not, however, be used as gifts to release NEH matching funds.

NEH does not provide financial assistance to foreign institutions or organizations. Nevertheless, otherwise eligible American institutions may apply for collaborative projects involving U.S. and foreign organizations provided they do not use NEH funds for the purpose of issuing subawards to any foreign organization, as defined by 2 CFR §200.1 and 2 CFR §200.331(a). This limitation does not preclude American institutions from obtaining the services of foreign individuals and consultants to carry out various programmatic activities on a fee-for-service basis, as specified in 2 CFR §200.459; it also does not preclude vendor contracts such as in-country transportation services. If you are interested in submitting an application for a project involving international collaboration, please consult beforehand with the division staff.

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

Proposed institutes that do not include the required number of participants or that take place outside of the U.S. and its territories will not go forward for review under this announcement.

### Participant Eligibility

Institutes are designed for a national audience of full- or part-time K-12 educators who teach in public, charter, independent, and religiously affiliated schools, or as home schooling parents. Recipients may admit a limited number of educators who work outside the K-12 classroom and who can demonstrate that participation will advance project goals and enhance their professional work.

At least five institute spaces must be reserved for teachers who are new to the profession (those who have been teaching for five years or less).

Participants must be United States citizens, residents of U.S. jurisdictions, or foreign nationals who have been residing in the United States or its territories for at least the three years immediately preceding the application deadline. U.S. citizens teaching abroad at U.S. chartered institutions are also eligible to participate. Foreign nationals teaching abroad are not eligible to participate.

A participant need not have an advanced degree in order to take part in an institute. Individuals may not apply to participate in an institute whose director is a family member, who is affiliated with the same institution, who has served as an academic advisor to the applicant, or who has led a previous NEH-funded seminar, institute or Landmarks workshop attended by the applicant.

Participants may not be delinquent in the repayment of federal debt (e.g. taxes, student loans, child support payments, and delinquent payroll taxes for household or other employees). Individuals may not apply to participate in an institute if they have been debarred or suspended by any federal department or agency. See F2 Administrative and National Policy Requirements.

# D. Application and Submission Information

## 1. Application Package

You must apply electronically through Grants.gov, using either Workspace or your organization's system-to-system software. Use the Standard Form 424 - Short Organizational (SF-424 Short) application package associated with the funding opportunity, and follow the instructions provided by Grants.gov unless otherwise noted below. The Grants.gov registration process is described in D3. Unique Entity Identifier and System for Award Management.

The application package is available in Grants.gov. A link to the application package can be found on the program resource page.

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

## 2. Content and Form of Application Submission

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

### i. Project Narrative

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

Level I applicants must limit their narrative to fifteen double-spaced pages. Level II applicants must limit their narrative to seventeen double-spaced pages. All applicants should use one-inch margins and a font size no smaller than twelve points.

NEH has aligned each section of the narrative with a corresponding review criterion. Refer to E1. Review Criteria for full descriptions.

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

### a) Nature of the request

In one paragraph, state the core elements of the request, as follows:

- Indicate if the proposal is for a Level I or a Level II project.
- Note the program's duration (one, two, three, or four weeks), the proportion of time dedicated to residential and/or or virtual formats, and the dates of the proposed program.
- Indicate if the institute is for K-12 educators or higher education faculty and the number of participants the program will accommodate (institutes must host 25-36 participants).
- Indicate the program's intended audience (educators of grades K-5, 6-8, 9-12, or a combination thereof.
- Indicate if this project is being offered for the first time or how many times it has been offered previously.

### b) Intellectual rationale (corresponds with review criterion 1)

Introduce the subject to be studied and explain its intellectual significance. Outline the questions, themes, and approaches to the topic (to be detailed below in the program of study) and explain how they support curriculum and teaching at the intended K-12 level(s).

### c) Project development (corresponds with review criterion 4)

**Only Level II applicants who have directed this specific project before must respond to this prompt.**
Do not discuss experience directing other projects. All other applicants must omit this section.

In no more than two paragraphs, explain how your experience directing this project has shaped the current proposal. Indicate how many applications the project has received for up to the three most recent offerings. Address salient feedback from participants, and describe appropriate revisions that demonstrate steps taken to enhance the project. These may include changes to the scope, faculty, scholarship, schedule, housing, or other matters. Project dissemination should be addressed in h) Dissemination.

### d) Format and program of study (corresponds with review criteria 1, 2, and 3)

Describe the structure of the institute and show how exploration of its subject matter will unfold.

- Describe the academic sessions and the core readings that will support them.
- Explain how the director(s) and/or project faculty will employ the readings and academic sessions to illuminate a variety of approaches to the subject and respect diverse viewpoints on it.
- Explain how the director(s) and/or project faculty will cultivate a collegial environment and encourage the active intellectual engagement of participants.
- Describe opportunities for faculty, the K-12 leader(s), and participants to integrate the material under study into regular classroom teaching.
- Explain how the program's length and use of residential and/or virtual format(s) will maximize the project's intellectual goals.

- For projects with a virtual dimension, identify the platforms to be used and explain why they were chosen.

Note: Projects with virtual meetings spread out over multiple days should clearly account for five to six days of structured study as the equivalent of one week; activities may include group meetings as well as individual reading and/or project work.

Provide additional information in Attachment 2: Academic schedule and Attachment 3: Work plan.

### e) Project team (corresponds with review criteria 1, 2, and 3)

- Describe the qualifications of the project director(s) as they pertain to the topic and programmatic administration of the project. If you propose co-directors, explain how the team will share responsibilities. Explain the director(s)' approach to working with the K-12 leader, visiting scholars, staff, and participants.
- Identify a qualified replacement director(s), who is/are capable of assuming leadership of the project should one or both directors become unable to fulfill his/her role. If the replacement director is a co-director, state clearly that each co-director is prepared and qualified to assume full intellectual and administrative leadership of the project as a single director, if necessary.
- Identify the K-12 professional(s) noting their expertise, role on, and time commitment to the project. Explain how she/he/they will enhance pedagogical effectiveness.
- Describe additional scholars included in the project team, noting their expertise, role on and time commitment to the project. Explain how they will bring varied perspectives to the project and engage with participants in a meaningful way. Where two or more scholars are present at any given time, explain their shared role and how it will enhance the participants' experience.
- Summarize the contributions of additional academic staff (such as library or museum personnel) who may spend a brief time with participants (for example, conducting a two-hour library or museum session). Describe their expertise, role on, and time commitment to the project.
- Describe key administrative and technical support personnel, noting their expertise, role on, and time commitment to the project.

### f) Institutional resources (corresponds with review criteria 2 and 3)

Explain how the resources of the host institution will serve the proposed project.

- Describe academic and other support facilities such as meeting spaces and research collections.
- Describe computing and audio-visual resources and explain how they support the digital demands of the project.
- For projects with a residential component, describe accommodations for housing and dining that are reasonably priced and located at or near the primary meeting location. Explain how they can foster a collegial academic environment.
- If professional development (continuing education, in-service, or graduate credit) will be offered to participants, describe how the program will provide necessary documentation. If graduate credit will require additional work by participants beyond the institute, such as writing a research paper, describe these requirements. See D6. Funding Restrictions.

### g) Cultivating the participant group (corresponds with review criteria 2 and 3)

- Describe your project's intended audience and explain how you will engage specific communities to recruit a robust pool of applicants from across the nation.
- Identify the non-director members of the selection committee and explain why they are suited to this role.
- Describe how you will provide appropriate resources for and communicate with participants before and during the institute.
- Describe your plans for follow up with participants. (Level I applicants are encouraged to describe a modest program of project dissemination to an audience beyond the participants. If such dissemination is planned, discuss it here.)

### h) Project dissemination (corresponds with review criteria 1, 2, 3, and 4)

**Only Level II applicants must respond to this prompt.** All other applicants must omit this section. If applicable, Level I applicants may describe a modest program of dissemination under g.) Cultivating the participant group.

Describe (and appropriately budget for) a full program of project dissemination to an audience beyond the participant group.

- Define the nature and type of audience (or audiences) to be addressed and outline a clear plan of outreach to cultivate it or them.
- Describe how you will translate the institute's intellectual content and scholarly and pedagogical approach(es) to the audience(s), and the formats you will use to engage it/them. Explain how these choices will be appropriate and effective.
- Identify the people who will conduct the dissemination phase and explain their roles. For any individuals not yet identifiable by name, such as potential participants, identify their roles and how many of them you intend to employ, and explain how they will be selected.
- Describe the intended impact of the dissemination project and how it will be assessed.

**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** |
|---|---|
| a) Nature of the request | Not applicable |
| b) Intellectual rationale | 1 |
| c) Project development (previously offered projects only) | 4 |
| d) Format and program of study | 1, 2, 3 |
| e) Project team | 1, 2, 3 |
| f) Institutional resources | 2, 3 |
| g) Cultivating the participant group | 2, 3 |
| h) Project dissemination (Level II only) | 1, 2, 3, 4 |

## ii. Research and Related Budget

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

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

Required fields are indicated in yellow. You must round to the nearest whole dollar amount in all dollar fields.

All of the items listed, 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 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.

## A. Senior/Key Person

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

If the designated replacement director is an employee of the applicant institution, include compensation for the preparation that assuming a director or co-director role would entail; this should be separate from other project compensation. Generally, compensation for the designated replacement director does not exceed $1,500. Co-project directors are exempt from receiving this additional compensation.

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

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

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

Commonly, the budget includes a percentage of academic year or annual institutional base salary (IBS) for those faculty members participating in the project. IBS is defined as the annual compensation paid by an institution of higher education (IHE) for an individual's appointment, whether that individual's time is spent on research, instruction, administration, or other activities. Charges to all federal awards, including NEH grants, should not exceed the proportionate share of the IBS. Such amounts may be used to release faculty members from normal duties for a specified amount of time not to exceed one course per quarter or semester. See 2 CFR §200.430 for regulations regarding extra service pay, intra-IHE consulting, and charges for work during periods not included in the base salary period. In no case, however, may this award support replacement teachers or pay faculty members for performing their regular duties.

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

All salaries and wages claimed must be in compliance with 2 CFR §§200.430 and 466. All fringe benefits claimed must be in compliance with 2 CFR §200.431.

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

## B. Other Personnel

For persons employed by the applicant organization in each project role category described below, identify the number of personnel proposed, the total number of months, the total salary, and total fringe benefits requested as described in A. Senior/Key Person. Totals will be automatically calculated.

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

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

This program does not allow tuition remission.

### Secretarial/Clerical

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

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

1. Administrative or clerical services are integral to a project or activity.
2. Individuals involved can be specifically identified with the project or activity.

3. Such costs are explicitly included in the budget or have prior written approval of the federal awarding agency.
4. The costs are not also recovered as indirect costs.

Requests for direct charging for secretarial/clerical personnel (i.e., administrative and clerical staff) must be appropriately justified in 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 L. Budget Justification.

Include compensation for other project faculty employed by the applicant institution. Payment to project faculty should be based on their role on and time commitment to the project. Payment for each full day's contribution to the project generally does not exceed $750 per day. (Note: a full day's contribution must not duplicate the work of others.) In general, no scholar's total compensation should exceed that of the director(s).

Compensation for academic staff spending a brief period with participants (such as a two-hour library or museum session) or whose role requires less scholarly responsibility should be budgeted proportionally and in compliance with 2 CFR §§200.430 and 431 (or 459, if applicable) and the institution's written procedures.

Compensation for the K-12 leader and personnel providing technical support should be budgeted proportionally and in compliance with 2 CFR §§200.430 and 431 (or 459, if applicable) and the institution's written procedures.

Budget up to a $250 honorarium for each member of the participant selection committee, other than the project director(s), employed by the applicant institution.

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 F. Other Direct Costs.

## 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 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 F. Other Direct Costs). Equipment is defined as nonexpendable personal property costing $5,000 or more and having a service life of more than one year (unless the organization has established a lower level). See 2 CFR §§200.313 and 439.

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

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

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

### D. Travel

Enter the total funds requested for both domestic (local and long-distance) and foreign travel for personnel employed by the applicant organization. In 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.**

Include travel and accommodation expenses likely to be incurred by the project director(s) to attend a two-day project directors' meeting held in Washington, D.C. in October 2021, and a project director's travel to and from (and accommodation at) an institute site away from the director's home institution. 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.

For local travel, outline the mileage rate, number of miles, reason for travel and staff member/consumers completing the travel. For long-distance travel, calculate per diem amounts for meals and lodging using written institutional policy. The lowest available commercial fares for coach or equivalent accommodations must be used. **Any arrangements made on a non-refundable basis are at the risk of the recipient if the services must be cancelled for any reason**. All travel costs claimed must be in compliance with 2 CFR §200.475, and foreign travel must comply with article 10 of the General Terms and Conditions for Awards to Organizations. NEH will use the US General Services Administration's published per diem rates to assess the reasonableness of proposed travel and subsistence costs.

Travel costs for faculty and consultants not employed by the applicant institution should be included in F3. Consultant Services.

Participants are expected to make their own travel arrangements using their stipends. See Participant/Trainee Support Costs.

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

### E. Participant/Trainee Support Costs

Per 2 CFR §200.1, participant support costs are direct costs for expenses such as stipends, travel allowances, subsistence allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences or training projects.

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

NEH expects recipients to make provision for suitable housing for participants at reasonable rates. Reservations for housing, travel and services arranged either by the applicant organization or by participants must be made on a refundable basis. **Any arrangements made on a non-refundable basis are at the risk of the recipient or the participants if the services must be cancelled for any reason.**

For Level II projects, a participant who later joins the project for purposes of dissemination is no longer functioning as a participant, but a consultant. Include such expenses under F3 Consultant Services.

Justify participant support costs in 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

Stipends are intended to compensate participants for their time commitment and to defray the costs of participation in the institute, which may include expenses such as travel, lodging, and meals (for in-person institutes), and technical support (for virtual institutes). Stipend amounts are determined by NEH based on the duration and format of the institute. For institutes that include a combination of in-person and virtual sessions, use the in-person stipend rate.

| | One-week institute | Two-week institute | Three-week institute | Four-week institute |
|---|---|---|---|---|
| In-person participation | $1,300 | $2,200 | $2,850 | $3,450 |
| Virtual participation | $650 | $1,100 | $1,425 | $1,725 |

Multiply the number of participants by the predetermined stipend amount, based upon the duration and format of the institute, and list this amount on your budget.

Participants are expected to participate in the entire institute on a full-time basis. If a participant is obliged through special circumstances to miss part of the institute, it shall be the recipient institution's responsibility to see that only a pro rata share of the stipend is received or that the appropriate pro rata share of the stipend is returned if the participant has already received the full stipend.

### 3. Travel

Leave this field blank. Participants are expected to make their own travel arrangements using their stipends.

### 4. Subsistence

Meals for participants are allowable only if vendors are inaccessible during the scheduled program, such as during a field trip at a remote location.

### 5. Other

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

### Number of Participants/Trainees

List the total number of proposed participants. Institutes must be attended by 25-36 participants.

## 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, including academic materials (such as core texts) to be provided for participants, 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 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 L. Budget Justification.

### 3. Consultant Services

List the total funds requested for all consultant services. Identify the following items in L. Budget Justification, as applicable: each consultant, the services he/she will perform, total number of days, travel costs, and the total estimated costs.

Examples of consultants may include:

- **A project director or co-director not employed by the applicant institution**.
- **A designated replacement director**. Include compensation for-the preparation that assuming a director or co-director role would entail; this should be separate from other project compensation. Generally, compensation for the designated replacement director does not exceed $1,500. Co-project directors are exempt from receiving this extra compensation.
- **Visiting scholars**. Payment should be based on their role on and time commitment to the project. Payment for each full day's contribution to the project generally does not exceed $750 per day; payment for a full week (five consecutive days) on the project generally does not exceed $3,750. (Note: a full day's contribution must not duplicate the work of others.) In general, no scholar's total compensation should exceed that of the director(s).
- **Other academic support staff**. Compensation for those who spend a brief period with participants or whose role requires less scholarly responsibility, such as orientations by library staff, or lectures by museum curators should be budgeted proportionally and in compliance with 2 CFR §§200.430 and 431 (or 459, if applicable) and the institution's written procedures.

- **The K-12 leader and personnel providing technical support**. Compensation for those who fill these roles should be budgeted proportionally and in compliance with 2 CFR §§200.430 and 431 (or 459, if applicable) and the institution's written procedures.
- **Former participants who join the project for purposes of dissemination**.
- **Members of the participant selection committee (other than a project director)**. Budget up to a $250 honorarium.

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 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 L. Budget Justification organized using the same categories present on the Research and Related budget. If there is more than one subrecipient, each must be justified separately in the budget justification. See 2 CFR §§200.331 and 332 for additional information.

Per 2 CFR §§200.1 and 331 (a), s*ubaward* means an award provided by a pass-through entity (the recipient) to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor (as defined in 2 CFR §200.1) or payments to an individual that is a beneficiary of a federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract. In determining whether an agreement between a pass-through entity and another non-federal entity casts the latter as a subrecipient or a contractor, the substance of the relationship is more important than the form of the agreement. See 2 CFR §200.331 (c).

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 7: Federally negotiated indirect cost rate agreement.

Contractual costs as defined in 2 CFR §§200.1 and 331 (b), are occasionally sufficiently high to warrant a categorical breakdown of costs. When this is the case, provide detailed information as part of L. Budget Justification.

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

List the total funds requested for equipment or facility rental/user fees. In 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. Rental costs under "less-than-arm's-length" leases are allowable with the condition that they must be consistent with the limitations set forth in 2 CFR §200.465(c).

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

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

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

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

### 7. Alterations and Renovations

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

### 8-10. Other

Include items not previously listed under other budget categories or in the indirect cost pool in lines 8-10. “Other” project-specific costs may include promotion, acquisition fees, rights, evaluation and assessment fees, and access accommodations (e.g., audio description, sign-language interpretation, closed or open captioning, large-print brochures/labeling). If applicable, include the rental of films, duplication or printing costs (when digital reproduction is not available), and other items not previously listed under other budget categories or in the indirect cost pool. Use 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.

## 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).

## 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. NEH will restrict payment on indirect costs until a fixed, final, or predetermined indirect cost rate agreement is provided by the recipient.

Organizations that wish to include indirect costs in the budget but do not have a federally negotiated indirect cost rate may choose one of the following options:

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

Per 2 CFR §200.1, MTDC are all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC exclude equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of $25,000. If you choose one of these three options, indicate on the budget form which option you are choosing.

If you are claiming indirect costs, include a copy of your federally negotiated indirect cost rate agreement as Attachment 7: 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 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 L. Budget Justification to explain any exclusions applied to the F&A base calculation.

### Funds Requested ($)

Enter the funds requested for each indirect cost type.

### Total Indirect Costs

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

### Cognizant Federal Agency

Enter the name of the cognizant federal agency.

## I. Total Direct and Indirect Costs

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

## J. Fee

Do not include any expenses under this 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 I. Total Direct and Indirect Costs.

## L. Budget Justification

The budget justification attachment is required. Attach only one PDF file named justification.pdf.

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

Also use the budget justification to explain any exclusions applied to the base calculation.

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

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

## iii. Application Components

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

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

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

| Application component | Naming convention | Page limits | Notes |
|---|---|---|---|
| SF-424 Application for Federal Assistance - Short Organizational | Grants.gov form | | Required |
| Supplementary Cover Sheet for NEH Grant Programs | Grants.gov form | | Required |
| Project/Performance Site(s) Location Form | Grants.gov form | | Required |
| Research and Related Budget | Grants.gov form | | Required |
| Attachments Form | Grants.gov form | | Required |
| Certification Regarding Lobbying | Grants.gov form | | Conditionally required |
| Standard Form-LLL, "Disclosure of Lobbying Activities" | Grants.gov form | | Conditionally required |
| Attachment 1: Narrative | narrative.pdf | 15 or 17 | Required |
| Attachment 2: Academic schedule | schedule.pdf | | Required |
| Attachment 3: Work plan | workplan.pdf | | Required |
| Attachment 4: Résumés for key personnel | resumes.pdf | 4 or 2 | Required |
| Attachment 5: Letters of commitment and support | letters.pdf | | Required |
| Attachment 6: References or evaluations | references.pdf or evaluations.pdf | | Conditionally required |
| Attachment 7: Federally negotiated indirect cost rate agreement | agreement.pdf | | Conditionally required |
| Attachment 8: 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 must begin on October 1, 2021.

## 7. Project Director

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

## 8. Primary Contact/Grants Administrator

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

As a matter of NEH policy, the Project Director listed in item 7 may **not** be the same individual listed as the Primary Contact/Grants Administrator listed in item 8. The role of the project director must be distinguished from that of the institutional grants administrator, who functions as the representative of the recipient organization with authority to act on the organization's behalf in matters related to the administration of the award. 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 grants 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 grants administrator and copied to the project director.

### 9. Authorized Representative

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

## Supplementary Cover Sheet for NEH Grant Programs

Provide the following information:

### 1. Project Director

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

### 2. Institutional Information

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

### 3. Project Funding

Enter your project funding information. Learn more about different funding types.

### 4. Application Information

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

For Type of Application, check "new."

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

## Project/Performance Site Location(s) Form

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

## Certification Regarding Lobbying

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

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

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

### Attachments Form

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

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

Your attachments must be in Portable Document Format (.pdf). Make sure that all files in formats other than PDF (images, Word or Excel files, etc.) have been properly saved as PDF files. Do not simply rename your non-PDF files with PDF extensions. If an attachment contains multiple documents, you must merge those documents into a single PDF. Do not attach PDF portfolios containing multiple PDFs. In addition, NEH cannot accept PDFs to which security has been added (password-protection, encryption, digital signatures, etc.). Flatten any such files before uploading to Grants.gov.

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

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

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

## iv. Attachments

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

### Attachment 1: Narrative (required)

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

### Attachment 2: Academic schedule (required)

Include a schedule for the program and a list of relevant readings or resources for the project. Name the file schedule.pdf.

### Attachment 3: Work plan (required)

Include a work plan that accounts for grant activity throughout the period of performance, except that which takes place during the academic program covered above. Name the file workplan.pdf.

## Attachment 4: Résumés for key personnel (required)

Provide résumés of no more than four pages for the project director(s).

Provide résumés of no more than two pages for additional scholars and key academic personnel including, if needed, a potential replacement director or director(s).

Name the file resumes.pdf.

## Attachment 5: Letters of commitment and support (required)

Provide letters or email messages of commitment from all project scholars and, if needed, a potential replacement director or director(s).

Provide a letter of support from a senior official of the host institution, confirming the institution's commitment to the project and ensuring that relevant offices will provide timely and effective support.

Elected government officials and current members of NEH'S National Council on the Humanities may not serve as letter writers.

Name the file letters.pdf.

## Attachment 6: References or evaluations (conditionally required)

Applicants whose projects are being offered for the first time may opt to include reference letters. Applicants whose projects have been previously funded by the NEH must submit evaluations.

### Level I proposals

All applicants for Level I projects **may** provide the names (with title, institution, and email address) of two references (or up to two letters per director). Note: Level I proposals may not include evaluations.

Name the file references.pdf.

Several days after the proposal deadline, NEH will provide instructions on how to submit reference letters. Reference letters should be submitted no later than March 19, 2021.

See D7. Other Submission Requirements for additional information on the submission of letters of reference.

### Level II proposals

Applicants who are proposing a **new** project at Level II **may** provide the names (with title, institution, and email address) of two references (or up to two letters per director). (See instructions immediately above.)

Applicants who are proposing a Level II project that has been **previously funded** by the NEH **must** submit participant evaluations from the most recent seminar, institute, or Landmarks workshop.

Name the file evaluations.pdf.

### Attachment 7: Federally negotiated indirect cost rate agreement (conditionally required)

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

### Attachment 8: Explanation of delinquent federal debt (conditionally required)

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

Name the file delinquentdebt.pdf.

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

All organizations must submit their applications for NEH funding using Grants.gov Workspace or a Grants.gov system-to-system solution. Before using Grants.gov for the first time, each organization must have an Employer Identification Number (EIN) and register with Grants.gov.

The Grants.gov registration process requires completing information in three separate systems:

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

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

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

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

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

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

## 4. Submission Dates and Times

Program officers will review draft proposals submitted by **February 8, 2021**. 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 institutes@neh.gov.

The due date for applications under this announcement is **March 9, 2021** at 11:59 p.m. Eastern Time.

Letters of reference must be submitted to NEH by **March 19, 2021**. See D7. Other Submission Requirements for information on submitting letters of reference.

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

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

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

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

## 5. Intergovernmental Review

This funding opportunity is not subject to intergovernmental review under Executive Order 12372.

## 6. Funding Restrictions

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

- projects that center on pedagogical theories or strategies, or on research on educational methods, tests, or measurements
- teaching of basic foreign language skills
- replacement teachers or compensation for faculty members performing their regular duties

- the rental of recreational facilities and costs related to social events such as banquets, receptions, and entertainment
- meals for participants, unless vendors are inaccessible during the scheduled program, such as during a field trip at a remote location
- tuition fees for participants or student assistants (At the discretion of the applicant institution, continuing education, graduate, or in-service credit may be awarded to K-12 school teacher participants who seek them. If fees or tuition must be charged, they should be charged directly to those participants wishing to receive credit and should be fixed at the lowest possible rate. Such fees should not be deducted from the participants' stipends.)
- promotion of a particular political, religious, or ideological point of view
- advocacy of a particular program of social or political action
- support of specific public policies or legislation
- lobbying
- projects that fall outside of the humanities and the humanistic social sciences (including the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; and quantitative social science research or policy studies)

Also see the unallowable costs included in 2 CFR 200 Subpart E - Cost Principles.

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

## 7. Other Submission Requirements

For those who choose to include letters of reference, NEH will provide instructions several days after the deadline on how to submit them.

The directions will be sent via email to the project director named on the SF-424 Application for Federal Assistance – Short Organizational. These directions will involve sending a specific link to each reference who will then submit their letter online, at which point it will be added to the application.

It is this project director's responsibility to forward these instructions immediately to each reference (including, when appropriate, references for a co-director). Letters should address the merits of the project, the qualifications of the director(s), and the director's or directors' suitability for implementing the project.

Letters of reference must be submitted to NEH by **March 19, 2021**.

Late letters will be added to your file when they arrive, but it is possible that reviewers will not take them into account. If you find that you must change one or both of your letter writers after the application deadline, you may do so by contacting program staff at institutes@neh.gov.

Current members of NEH'S National Council on the Humanities may not serve as references.

Missing reference letters will not disqualify an application from review.

# E. Application Review Information

## 1. Review Criteria

Peer reviewers will use the following criteria to review applications in the Institutes for K-12 Educators program:

### 1. Intellectual quality and significance

(corresponds with narrative sections b) Intellectual rationale, e) Project team, and h) Project dissemination)

- To what extent is the topic significant for and relevant to humanities scholarship and teaching at the intended K-12 level?
- How clear and persuasive is the intellectual rationale?
- How well does the proposal incorporate diverse approaches and views? Is the proposal balanced in its treatment of the topic?
- How well chosen are the primary and secondary sources?
- To what extent does/do the project director(s), additional faculty, and the K-12 leader(s) demonstrate suitable subject matter and pedagogical expertise?

### 2. Program design and feasibility

(corresponds with narrative sections d) Format and program of study, e) Project team, f) Institutional resources, g) Cultivating the participant group, and h) Project dissemination)

- How well do the project's length, meeting dates, and residential and/or virtual formats, support substantive study?
- How realistic and well-planned is the schedule? Are activities varied and is there adequate time for reading, reflection, discussion, and project work?
- To what extent does/do the project director(s), additional faculty, and the K-12 leader(s) demonstrate the ability to foster a collegial environment?
- How well do the facilities and related resources, such as digital platforms, support a collegial environment?
- To what extent do the host institution, project scholars, and K-12 leader(s) demonstrate commitment to the project?
- To what extent does/do the project director(s) demonstrate the ability to manage the organizational demands of the project?

### 3. Impact

(corresponds with narrative sections d) Format and program of study, e) Project team, f) Institutional resources, g) Cultivating the participant group, and h) Project dissemination)

- How significantly will the project improve participants' understanding of key topics and enhance their teaching at the intended K-12 level(s)?
- How well does the application provide for meaningful follow-up to strengthen the project's impact?

### 4. Level II projects only

(corresponds with narrative sections c) Project development (if applicable) and h) Project dissemination)

- How clearly does the dissemination plan define the audience(s) beyond the participant group and outline a suitable plan to cultivate it/them?

- How well does the dissemination plan demonstrate the capacity to uphold the intellectual rigor and pedagogical effectiveness in the dissemination phase?
- How well do plans for program delivery make use of appropriate mechanisms to dissemination content and engage the audience effectively?
- To what degree does the dissemination plan maximize the project's reach and impact beyond the participant group?
- How well does the work plan, budget, and roster of personnel demonstrate appropriate tasks and expertise for effective dissemination?
- How well does the application show evidence of efforts, as appropriate, to improve the project's intellectual quality, design and feasibility, and impact?
- To what extent do prior project application numbers establish evidence of strong participant interest in the topic?

## 2. Review and Selection Process

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

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

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

NEH may elect not to fund applicants with management or financial instability that affects their ability to implement the terms and conditions of the award (2 CFR §200.206).

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

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

## 4. Anticipated Announcement and Award Dates

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

# F. Federal Award Administration Information

## 1. Federal Award Notices

Institutional grant administrators and project directors of successful applications will receive award documents from the NEH Office of Grant Management by email in September 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 Action.

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

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

1) The prospective recipient certifies, by submission of this application, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
2) Failure to make required disclosures can result in any of the remedies described in 2 CFR §200.339, including suspension or debarment. (See also 2 CFR parts 180 and 3369).
3) If the prospective recipient is unable to attest to the statements in this certification, an explanation must be included in Attachment 8: 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.

## Principles of Civility

Recipients are required to adhere to the Principles of Civility for NEH Seminars, Institutes, and Workshops. NEH expects project directors to take responsibility for encouraging an ethos of openness and respect, upholding the basic norms of civil discourse.

## 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.

## Guidance from the Office of Management and Budget

In accordance with the Office of Management and Budget's guidance located at 2 CFR 200, all applicable Federal laws, and relevant Executive guidance, NEH will review and consider applications for funding pursuant to this Notice of Funding Opportunity in accordance with the:

- President's September 2, 2020 memorandum, entitled Memorandum on Reviewing Funding to State and Local Government Recipients of Federal Funds that Are Permitting Anarchy, Violence, and Destruction in American Cities;
- Executive Order on Protecting American Monuments, Memorials, and Statues and Combating Recent Criminal Violence (E.O. 13933); and
- Guidance for Grants and Agreements in Title 2 of the Code of Federal Regulations (2 CFR), as updated in the Federal Register's 85 FR 49506 on August 13, 2020, particularly on:
    - Selecting recipients most likely to be successful in delivering results based on the program objectives through an objective process of evaluating Federal award applications (2 CFR §200.205),
    - Prohibiting the purchase of certain telecommunication and video surveillance services or equipment in alignment with section 889 of the National Defense Authorization Act of 2019 (Pub. L. No. 115—232) (2 CFR §200.216),
    - Promoting the freedom of speech and religious liberty in alignment with Promoting Free Speech and Religious Liberty (E.O. 13798) and Improving Free Inquiry, Transparency, and Accountability at Colleges and Universities (E.O. 13864) (2 CFR §§200.300, 200.303, 200.339, and 200.341),
    - Providing a preference, to the extent permitted by law, to maximize use of goods, products, and materials produced in the United States (2 CFR §200.322), and
    - Terminating agreements in whole or in part to the greatest extent authorized by law, if an award no longer effectuates the program goals or agency priorities (2 CFR §200.340).

# 3. Reporting

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

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

2.) **Performance Progress Report(s)**. Level II recipients must submit a performance progress report to NEH on an annual basis. Further information will be provided in the Notice of Action.

3.) **Final Reports**. Recipients must submit a final financial report and a final performance report within 120 calendar days after the period of performance ends. The final performance report collects information relevant to program specific goals and progress on strategies; impact of the overall project; the degree to which the recipient achieved the mission, goals, and strategies outlined in the approved application; recipient objectives and accomplishments; barriers encountered; and responses to summary questions regarding the recipient's overall experiences during the entire period of performance. Further information will be provided in the Notice of Action.

4.) **Participant Selection Report**. Recipients must submit a report detailing the selection of participants for the institute. The report will be due on **June 1, 2022**. (The deadline for applicants to participate is **March 1, 2022**. All applicants must be notified of their acceptance or non-acceptance on **March 25, 2022**. Applicants chosen for participation must accept or decline by **April 1, 2022**.) Further information will be provided in the Notice of Action.

5.) **White Paper**: Level II recipients must submit a white paper documenting the project, including lessons learned and the results of the project outreach and dissemination, so that others can benefit. The white paper is due with the final report, no later than 120 days after the end of the period of performance. The white paper will be posted on the NEH website. Further information will be provided in the Notice of Action.

Learn more about Performance Reporting Requirements and Financial Reporting Requirements.

# G. Agency Contacts

If you have questions about the program, contact:

Division of Education Programs
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
202-606-2324
institutes@neh.gov

If you have questions about administrative requirements or allowable costs, contact:

Office of Grant Management
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
grantmanagement@neh.gov

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

Federal Service Desk: FSD.gov
U.S. calls: 866-606-8220
International calls: +1 334-206-7828

For assistance in registering with or submitting your application through Grants.gov, contact Grants.gov 24 hours a day, 7 days a week, excluding federal holidays at:

Grants.gov Applicant Support
Telephone: 1-800-518-4726
International Calls: 606-545-5035
Email: support@grants.gov
Grants.gov Support

Always obtain a case number when calling for support.

# H. Other Information

## 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.