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NATIONAL ENDOWMENT FOR THE HUMANITIES

**NOTICE OF FUNDING OPPORTUNITY**

**Funding Opportunity Title:  
NEH/AHRC New Directions for Digital Scholarship  
in Cultural Institutions**

Funding Opportunity Number: 20210708-HND

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.169

**Application Deadline: July 8, 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.**

Office of Digital Humanities  
Email: [odh@neh.gov](mailto:odh@neh.gov)  
Federal Relay: 800-877-8399

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

## Executive Summary

The National Endowment for the Humanities (NEH) Office of Digital Humanities and the United Kingdom’s Arts and Humanities Research Council (AHRC), a component body of UK Research and Innovation (UKRI), are accepting applications for the NEH/AHRC New Directions for Digital Scholarship in Cultural Institutions program. Awards made through this program will fund teams of researchers and cultural institution professionals in the US and UK working collaboratively to deliver transformational impact on digital methods and digital research in cultural institutions. Applications must be submitted by teams composed of at least one organization from the US and one from the UK, in which each country is represented by at least one cultural institution. An eligible US organization must submit the application with a US-specific budget under this announcement. The lead UK organization must submit the same application with a UK-specific budget to AHRC. NEH will fund the participating US organization(s), and AHRC will fund the participating UK organization(s).

Funding Opportunity Title:	NEH/AHRC New Directions for Digital Scholarship in Cultural Institutions
Funding Opportunity Number:	20210708-HND
Federal Assistance Listing Number:	45.169
Application Deadline:	July 8, 2021, 11:59 p.m. Eastern Time / July 8, 2021, 7:59 p.m. British Standard Time
Anticipated Announcement:	December 2021
Anticipated FY 22 Funding:	Approximately \$1,200,000 in NEH funding for the US organization(s) and £1,500,000 in AHRC funding for the UK organization(s)
Estimated Number and Type of Award:	Approximately 8-15 grants
Award Amounts:	Level I: up to \$50,000 in NEH funding for participating US organization(s) and up to £60,000 in AHRC funding for the UK organization(s)  Level II: up to \$150,000 in NEH funding for participating US organization(s) and up to £250,000 in AHRC funding for the UK organization(s)
Cost Sharing/Match Required:	No
Period of Performance:	Level I: up to 2 years Level II: up to 3 years  All projects must have a period of performance start date as early as February 1, 2022 and as late as April 1, 2022.
Eligible Applicants:	Eligible applicants include U.S. nonprofit organizations with 501(c)(3) tax-exempt status, public and 501(c)(3) accredited institutions of higher education, state and local governmental agencies, and federally recognized Native American tribal governments.  See <a href="#">C. Eligibility Information</a> .
Program Resource Page:	<a href="https://www.neh.gov/program/new-directions-digital-scholarship-cultural-institutions">https://www.neh.gov/program/new-directions-digital-scholarship-cultural-institutions</a>

# Table of Contents

<b>A. Program Description .....</b>	<b>1</b>
1. Purpose.....	1
2. Background.....	3
<b>B. Federal Award Information .....</b>	<b>4</b>
1. Type of Application and Award .....	4
2. Summary of Funding.....	4
<b>C. Eligibility Information .....</b>	<b>4</b>
1. Eligible Applicants .....	4
2. Cost Sharing.....	5
3. Other Eligibility Information .....	5
<b>D. Application and Submission Information .....</b>	<b>6</b>
1. Application Package.....	6
2. Content and Form of Application Submission.....	7
3. Unique Entity Identifier and System for Award Management.....	21
4. Submission Dates and Times .....	22
5. Intergovernmental Review .....	23
6. Funding Restrictions .....	23
<b>E. Application Review Information .....</b>	<b>23</b>
1. Review Criteria.....	23
2. Review and Selection Process.....	24
3. Assessment of Risk and Other Pre-Award Activities .....	24
4. Anticipated Announcement and Award Dates.....	24
<b>F. Federal Award Administration.....</b>	<b>25</b>
1. Federal Award Notices .....	25
2. Administrative and National Policy Requirements .....	25
3. Reporting .....	26
<b>G. Agency Contacts.....</b>	<b>27</b>
<b>H. Other Information.....</b>	<b>27</b>

# **A. Program Description**

## **1. Purpose**

This notice solicits applications for the NEH/AHRC New Directions for Digital Scholarship in Cultural Institutions program. This program is a joint initiative between the U.S. National Endowment for the Humanities (NEH) and the U.K. Arts and Humanities Research Council (AHRC).

The overarching goal of the program is to advance digital scholarship in cultural institutions such as museums, libraries, galleries, and archives. This program funds teams in the U.S. and U.K. working collaboratively to deliver transformational impact on digital methods and digital research in cultural institutions.

Applications must be submitted by teams, composed of at least one organization from the U.S. and one from the U.K., in which each country is represented by at least one cultural institution. An eligible U.S. organization must submit the application with a U.S.-specific budget under this notice. The lead U.K. organization must submit the same application with a U.K.-specific budget to AHRC.

Applicants will compose a single, joint narrative but will prepare two separate budgets, one for NEH (for funds requested by the U.S. organization(s)) and one for AHRC (for funds requested by the U.K. organization(s)). The U.S. applicant's budget will be submitted to AHRC as a supporting document and the U.K. applicant's budget will be submitted to NEH as a supporting document.

Successful projects will have a balanced investment of time and effort on the part of organizations in both countries. Projects selected for funding will receive two awards: NEH will make an award to the lead U.S. organization and the AHRC will make an award to the lead U.K. organization.

## **Context and value of enhanced collaboration**

The U.K. and U.S. contain some of the world's most prestigious cultural institutions. They are also world-leading in digital scholarship with recognized centers of excellence and have a long-standing history of collaboration. Cultural institutions in both countries have invested heavily in addressing the opportunities and challenges of digitization and digital research. Enhanced collaboration will pave the way to bringing new approaches to the ways in which culture and heritage can be experienced by global audiences, opening new research frontiers and questions, and advancing collections-based research methods for the 21st century.

Cultural institutions in the U.K. and U.S. share many of the same challenges. Digital scholarship has a key role to play in responding to these challenges effectively and in equipping cultural institutions for the future. This program seeks to fund projects that address one or more of the following themes:

### **i) Organizing, creating, and interrogating all collection types**

- In what ways can digital collections become richer and more user-friendly through existing methods such as optical character recognition, text extraction and parsing, linked open data, and network analysis?
- How can artificial intelligence (AI) and machine learning be leveraged to help organize, search, and understand digital collections?
- What sorts of new and emerging methods will enable breakthroughs in working with digital collections?

- How can digital technologies unlock new data and facilitate discovery research?

## **ii) Evolving institutions to face the twenty-first century**

- What innovative training programs can be developed to address leadership and digital skills gaps in cultural institutions and how can these programs build capacity for smaller institutions?
- What challenges do AI and machine learning methods present in terms of privacy, ethics, research integrity, copyright, reproducibility, and bias?
- How can digital innovation be harnessed to inform and advance the process of decolonization across the sector, such as in collections, acquisitions, storytelling, programming, staffing, visitor participation, and physical spaces?
- How can digital tools help to improve visitor-facing experiences, enhance accessibility and inclusion, and better interpret visitor needs and interests?

## **iii) Fostering digitally-enabled equitable participation**

- In what ways can digital scholarship and tools enhance access and create more equitable and inclusive approaches to community engagement, including for people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality?
- How can existing methods such as crowd-sourcing and co-creation be used to broaden participation or increase engagement across cultures or borders?
- How can digital technology help to interrogate and address issues relating to representation across cultural institution staff and volunteers, for example in terms of diversity and precarity in the sector?

While proposals might cut across more than one of these themes and/or introduce new areas of inquiry relating to digital scholarship in cultural institutions, applicants should identify the **one theme** to which their proposal principally responds.

Unallowable activities are described in [D6. Funding Restrictions](#).

## **Funding categories**

Awards are available at two funding levels. Applicants should carefully choose the funding level appropriate to the scope and maturity of the proposed project. AHRC will fund the U.K. component of successful projects separately as outlined in its call for proposals ([Level I](#) and [Level II](#)).

**Level I awards** (up to \$50,000 from NEH for the participating U.S. organization(s) and up to £60,000 from AHRC for the participating U.K. organization(s) with a period of performance of up to two years) can support activities such as:

- planning and preliminary work for future, larger-scale projects, including conferences, workshops, and working group meetings to bring together individuals with complementary skill sets to outline future research, plan publications, or develop best practices
- small-scale collaborative projects, such as case studies, experiments, and exploratory or developmental research
- outreach to disseminate project findings, methods, software, and tools

Outputs or products for Level I projects may include:

- reports, position papers, outlines for future research, or publications

- new software or tools
- initial prototypes and proof-of-concept studies

**Level II awards** (up to \$150,000 from NEH for the participating U.S. organization(s) and up to £250,000 from AHRC for the participating U.K. organization(s) with a period of performance of up to three years) can support activities such as:

- developing new or improved research methods, tools, or infrastructure
- linking dispersed collections or resources
- researching and developing digital methods, standards, and workflows for preserving and making accessible humanities collections
- large-scale collaborative humanities-oriented research resulting in print or digital publications
- training to provide scholars, cultural institution professionals, and/or advanced graduate students deeper knowledge of new and emerging digital scholarship methods for cultural institutions
- developing innovative approaches to outreach and engagement; for example, engaging smaller or less well-resourced cultural institutions in digital methods or the use of digital tools to widen audiences and improve accessibility across communities and user groups

Outputs or products for Level II projects may include:

- working prototypes or code, sample data sets or models, methodological workflows, and/or documentation to support scaling-up and expansion of established projects
- co-authored or multi-authored books, peer-reviewed articles, a special issue of a journal, born-digital publications, open-access digital resources, and new best practice toolkits
- training materials and skills development opportunities in digital scholarship for cultural institution professionals and users
- digital or virtual collections, resources, databases, and union catalogs
- digital exhibitions and other innovative outreach activities

## 2. Background

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

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

This is the second New Directions for Digital Scholarship in Cultural Institutions funding opportunity jointly supported by the NEH and AHRC. It builds on the success of the [first funding opportunity](#), as well as two previous calls for proposals (now archived) to facilitate

partnership development activities between cultural institutions and universities in the U.K. and U.S. run by AHRC. It also builds upon a workshop held in Washington, DC in September 2019 co-convened by the AHRC and NEH, along with the Engineering and Physical Sciences Research Council of the U.K., the U.S. National Science Foundation, the Smithsonian Institution, and the Library of Congress. A report of the workshop can be found [There](#).

Examples of NEH-funded projects may be found using the [Funded Projects Query Form](#).

[Learn more about NEH](#).

## **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**

NEH and AHRC anticipate making 8 - 15 awards. Approximately \$1,200,000 is expected to be available from NEH to fund the expenses of the participating U.S. organization(s) and approximately £1,500,000 is expected to be available from AHRC to fund the expenses of the participating U.K. organization(s).

An eligible U.S. applicant may request up to \$50,000 for a level I project or up to \$150,000 for a level II project. An eligible U.K. applicant may apply to AHRC for up to £60,000 for a Level I project or up to £250,000 for a Level II project.

Successful applicants will be awarded outright funds.

The period of performance is up to two years for Level I awards, and up to three years for Level II awards. All projects must have a period of performance start date as early as February 1, 2022, and as late as April 1, 2022.

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

## **C. Eligibility Information**

### **1. Eligible Applicants**

Eligible NEH 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.

Applications must be submitted by teams composed of at least one organization from the U.S. and one from the U.K., in which each country is represented by at least one cultural institution.

If there are multiple U.S. organizations involved in the project, one organization will submit the application to NEH on behalf of the team, and if funded, administer the NEH award. This organization must meet the eligibility requirements set forth by NEH. If funded, the recipient



must be substantially involved in the programmatic activity and will be programmatically, fiscally, and legally responsible for the NEH award.

If there are multiple U.K. organizations involved in the project, one organization will submit the application to AHRC on behalf of the team. This organization must meet the eligibility requirements set forth by AHRC. See the AHRC call for proposals for details [Level I](#) and [Level II](#).

For the purpose of this funding opportunity, the term "cultural institution" is conceived broadly and defined as any organization that collects, organizes, preserves, and makes accessible cultural heritage materials to both the academic research community as well as the public (including museums, libraries, galleries, archives, and historical societies). Some cultural institutions are affiliated with or housed within universities or other institutions of higher education; such institutions are considered to satisfy the status of "cultural institution" as applied to this competition. If you are concerned about the eligibility of a particular institution, you are advised to consult with the relevant funder.

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

## **2. Cost Sharing**

Cost sharing is not required in this program.

Cost sharing or matching is the portion of the project costs not paid by NEH funds. Cost sharing will not be considered in the evaluation of applications.

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

Voluntary cost sharing consists of the cash contributions made to a project by the applicant, including unrecovered indirect costs, and by third parties as well as third-party in-kind contributions. Third-party in-kind contributions are non-cash contributions (such as property or services) that benefit the funded project, and are contributed by non-federal third parties, without charge, to the recipient of the federal award.

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

## **3. Other Eligibility Information**

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

Individuals may only appear as a project director or co-director on one application under this notice.

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

Two or more applications for federal funding and/or approved federal award budgets are not permitted to include overlapping project costs. However, applicants may seek funding from other NEH programs for **complementary** aspects of the same overall project. The NEH budget may not include overlapping project costs with the AHRC budget.

An applicant whose project has received a prior award from NEH may request support for a new or subsequent stage of that project. Such proposals will be judged by the same criteria as others in the current competition. Applicants who received funding through the first New Directions call and/or the previous two AHRC calls are eligible to apply under this notice. When such applications are submitted, they should be distinct projects and not constitute a simple continuation of activities carried out in the prior award.

They can, however, seek to develop new areas of inquiry and opportunities linked to the former/current project(s) where there is a clear rationale. Personnel involved in an existing award and named on a new application should demonstrate their capacity to contribute to multiple projects.

Unsuccessful applications submitted to the previous New Directions call and/or the previous AHRC calls may also apply where they can clearly demonstrate substantial changes from the original application.

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

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

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

## **D. Application and Submission Information**

### **1. Application Package**

The U.S. and U.K. partners should prepare their application materials together, but will submit two separate applications.

The U.S. partner must apply electronically through [Grants.gov](#), using either [Workspace](#) or its system-to-system software. The U.K. partner will apply via the instructions in the AHRC call for proposals ([Level I](#) and [Level II](#)).

This funding opportunity is available in Grants.gov under number 20210708-HND. You can also find a link to the funding opportunity on the [program resource page](#).

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

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

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

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

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

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

### **Narrative**

Compose a narrative that provides a comprehensive description of your proposed project. Your narrative should be succinct, well organized, and free of technical terms and jargon so that peer reviewers can understand the proposed project.

The narrative must be jointly written by the U.S. and U.K. partners and address the project holistically. The same narrative ('Case for Support' in the AHRC application) must be submitted to both NEH and AHRC.

The narrative is limited to five single-spaced pages (US letter) for Level I projects and eight single-spaced pages (US letter) for Level II projects. Both must have one-inch margins and at least twelve-point type.

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

### **Significance for the humanities (corresponds to [review criterion 1](#))**

Articulate how the project will contribute to one or more humanities disciplines and explain how the proposed activities will engage with humanities collections or materials. If applicable, discuss how the project will support cross-disciplinary engagement, both within the humanities and beyond. Demonstrate that you have made efforts to be as inclusive as possible in the project design and implementation. For example, have you considered including diverse members of the community in the team whenever possible? Are you working to design and develop a product that will make a difference to and can be used by diverse members of the community? Have you ensured a balanced representation of subjects to obtain more objective and reliable results? How will you ensure that your research is accessible to people/institutions who could benefit from its outcomes the most?

### **Project goals and intended audience (corresponds to [review criteria 2, 3, 5](#))**

Provide a clear and concise description of the project's goals and identify the research questions, issues, or problems that it is intended to address. Identify the target audience and describe how the new knowledge generated by your project will be used by this community. Clearly state which [theme](#) the project addresses.

### **History and rationale of the project (corresponds to [review criteria 1, 2](#))**

If applicable, discuss the history of the project and indicate what has been achieved. Provide a rationale for new or further work by summarizing previous and ongoing efforts in this area by members of the team or others. Explain how this project will fit within a broader ecosystem of related projects in cultural institutions.

**Methodology (corresponds to [review criterion 3](#))**

Describe the methodology that you will use to achieve your project goals and advance knowledge in the area of inquiry. Discuss whether the team is building on previous research and where it is departing from previous methods or theories, if relevant.

**Project team and management (corresponds to [review criteria 4, 5](#))**

Describe the composition and organization of the team, including a description of how the activities will be managed and how input and communications among team members will be coordinated. Explain why transatlantic collaboration is critical for achieving the goals of the project. U.K. organizations who have been funded through previous AHRC calls, or who have applied and been unsuccessful, are eligible to participate as part of the team but should demonstrate how this proposal is clearly distinct from or builds upon previous project(s) or application(s).

**Work plan (corresponds to [review criterion 5](#))**

Provide a brief, high level overview of the project’s work plan (no more than one paragraph). Provide a detailed work plan in [Attachment 5](#).

**Final products, dissemination, and impact (corresponds to [review criteria 1, 3, 5](#))**

Describe the products you expect to generate during the project, their intended audience, and your dissemination plans. Explain how the project's outputs will benefit cultural institutions in both the U.S. and the U.K.

<b>NARRATIVE GUIDANCE</b>	
To ensure that you fully address the review criteria, this table provides a crosswalk between the narrative language and where each section falls within the review criteria.	
<b><a href="#">Narrative Section</a></b>	<b><a href="#">Review Criteria</a></b>
<a href="#">Significance for the humanities</a>	1. <a href="#">Significance</a>
<a href="#">Project goals and intended audience</a>	2. <a href="#">Responsiveness</a> 3. <a href="#">Methods and execution</a> 5. <a href="#">Work plan</a>
<a href="#">History and rationale of the project</a>	1. <a href="#">Significance</a> 2. <a href="#">Responsiveness</a>
<a href="#">Methodology</a>	3. <a href="#">Methods and execution</a>
<a href="#">Project team and management</a>	4. <a href="#">Team and collaboration</a> 5. <a href="#">Work plan</a>
<a href="#">Work plan</a>	5. <a href="#">Work plan</a>
<a href="#">Final products, dissemination, and impact</a>	1. <a href="#">Significance</a> 3. <a href="#">Methods and execution</a> 5. <a href="#">Work plan</a>

## Research and Related Budget

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

**Include only expenses of the U.S. applicant and U.S.-based partners.** Include the budget and budget justification submitted by the U.K. partner to AHRC as [Attachment 4: AHRC budget](#).

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

Required fields are indicated in yellow. Round to the nearest whole dollar amount in all dollar fields. The inclusion of a cost category on the Research and Related Budget does not automatically indicate that an expense is allowable in this program. See [D6. Funding Restrictions](#) for a list of unallowable costs. Carefully review these instructions to ensure that costs are not disallowed.

All costs must be reasonable, necessary to accomplish project objectives, allowable in terms of [2 CFR 200 Subpart E - Cost Principles](#), auditable, and incurred during the period of performance. All costs are subject to audit, record retention, and other requirements set forth in [2 CFR 200 Subpart F](#).

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

### Introductory Fields

If not pre-populated, indicate your organization's D-U-N-S® number, the name of your organization, and the period of performance start and end dates. This should be the same as the information provided on your [SF-424 Application for Federal Assistance - Short Organizational](#). Check "project" for budget type.

### A. Senior/Key Person

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

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

If level of effort will not change throughout the year, you may use only the calendar months column. If effort remains constant, but your institutional business process requires noting academic and summer months separately, you may use both columns. If effort varies between academic and summer months, leave the calendar months column blank and use only the academic and summer months columns. If your institution does not use a nine-month academic year or a three-month summer period, include your institution's definition of these terms in your [budget justification](#).

Enter the requested salary and fringe benefits for each senior/key person. Per [2 CFR §200.431](#), fringe benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe benefits include, but are not limited to, the costs of leave (vacation, family-related, sick, or military), employee insurance,

pensions, and unemployment benefit plans. The sum of requested salary and fringe benefits will be automatically calculated for each senior/key person.

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

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

## **B. Other Personnel**

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

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

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

If applicable, include charges for tuition remission and other forms of compensation paid to students as, or in lieu of, salaries and wages. Such costs are subject to the reporting requirements in [2 CFR §200.430](#), and must be treated as direct or indirect costs in accordance with the actual work being performed. Tuition remission may be charged on an average rate basis.

### **Secretarial/Clerical**

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

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

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

### **Additional Other Personnel**

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

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

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



### C. Equipment Description

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

You may purchase equipment if an analysis demonstrates that it is more economical and practical than leasing (equipment rental/user fees should be included in [F. Other Direct Costs](#)). Equipment is defined as nonexpendable personal property costing \$5,000 or more and having a service life of more than one year (unless your organization has established a lower level). See [2 CFR §§200.313](#) and [.439](#). You may charge depreciation in compliance with [2 CFR §200.436](#).

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

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

Total equipment costs will be automatically calculated.

### D. Travel

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

For local travel, outline the mileage rate, number of miles, reason for travel, and staff member/consumers completing the travel. For long-distance travel, calculate per diem amounts for meals and lodging consistent with written institutional policy. The lowest available commercial fares for coach or equivalent accommodations must be used. **Arrangements made on a non-refundable basis are at the risk of the recipient if the services must be cancelled for any reason.**

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

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

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

Total travel costs will be automatically calculated.

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

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

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

Justify participant support costs in your [budget justification](#). **Arrangements made on a non-refundable basis are at the risk of the recipient or participant if the services must be cancelled for any reason.**

Total participant support costs will be automatically calculated.

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

Leave this field blank.

### **2. Stipends**

Enter the total funds requested for participant stipends.

### **3. Travel**

Enter the total funds requested for participant travel. In your [budget justification](#), name the travelers (if possible) and reflect the travel expenses for each (e.g., roundtrip airfare, mileage or public transportation, related parking, etc.).

### **4. Subsistence**

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

### **5. Other**

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

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

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

## **F. Other Direct Costs**

Total other direct costs will be automatically calculated.

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

Enter the total funds requested for materials and supplies costing the lesser of the capitalization level established by the applicant or \$5,000, regardless of the length of its useful life. See [2 CFR §§200.314](#) and [.453](#).

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



## **2. Publication Costs**

Enter the total funds requested for publication costs. You 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 your [budget justification](#).

## **3. Consultant Services**

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

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

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

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

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

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

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

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

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

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

If a subrecipient is claiming indirect costs, include their federally negotiated indirect cost rate agreement in [Attachment 8: Federally negotiated indirect cost rate agreement](#).

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

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

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

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

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

## **7. Alterations and Renovations**

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

## **8-10. Other**

List items not previously included in other budget categories or in the indirect cost pool. “Other” project-specific costs may include promotion, acquisition fees, rights, evaluation and assessment fees, and access accommodations (e.g., audio description, sign-language interpretation, closed or open captioning, large-print brochures/labeling). Itemize and justify costs in your [budget justification](#). “Miscellaneous” and “contingency” are not acceptable budget categories.

Per [2 CFR §200.432](#), allowable conference costs may include speakers’ fees, costs of meals and refreshments, and other items incidental to such conferences. Conference hosts must exercise discretion and judgment in ensuring that costs are appropriate, necessary, and managed in a manner that minimizes costs to the award. If incidental food items and/or meals are provided at no charge during meetings, conferences, training, or other events attended while on NEH-supported travel, the per diem charged to the award must be reduced accordingly. Per [2 CFR §200.423](#), alcoholic beverages are unallowable.

## **G. Total Direct Costs**

Total direct costs will be automatically calculated.

## **H. Indirect Costs**

Indirect costs are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Indirect costs include such expenses as the depreciation on buildings, equipment, and capital improvement; operations and maintenance expenses; accounting and legal services; and salaries of executive officers.

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

Carefully review your institution’s negotiated indirect cost rate(s) to make sure you are using the most appropriate rate for your project. Many institutions of higher education negotiate multiple rates—for example, “research,” “instruction,” and “other sponsored activities.” With rare exceptions, your institution’s “research” rate will **not** be the appropriate rate for inclusion in your NEH project budget, as the use of this rate is reserved for projects involving scientific research, not scholarly inquiry of the type most often supported by NEH.

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

An organization that wishes to include indirect costs in its budget but does not have a federally negotiated indirect cost rate may choose one of the following options:

- direct cost all expenses;
- submit an indirect cost proposal to their cognizant federal agency to negotiate a rate within three months of the effective date (period of performance start date) of the award (subrecipients may negotiate a rate with the recipient consistent with the requirements outlined in [2 CFR §200.414](#)); or
- charge a de minimis rate of 10% of MTDC (see [2 CFR §200.414\(f\)](#)).

Per [2 CFR §200.1](#), MTDC are all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subaward). MTDC exclude equipment, capital expenditures, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of \$25,000.

If you choose one of these options, indicate this under Indirect Cost Type.

If applicable, include a copy of your federally negotiated indirect cost rate agreement as [Attachment 8: Federally negotiated indirect cost rate agreement](#).

### **Indirect Cost Type**

Enter the type of indirect cost rate (e.g., other sponsored activities, all programs, instruction, 10% de minimis, etc.) and base (e.g., salaries, salaries & fringe, MTDC, etc.) and whether the activity and rate are onsite or off-site. If your budget includes more than one indirect cost rate or base, list them as separate entries. If you do not have a current indirect rate(s) approved by a federal agency but intend to (re)negotiate, indicate "None--will negotiate." If needed, provide additional detail in your [budget justification](#).

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

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

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

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

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

Enter the funds requested for each indirect cost type.

## **Total Indirect Costs**

Total indirect costs will be automatically calculated.

## **Cognizant Federal Agency**

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

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

Total costs will be automatically calculated.

## **J. Fee**

Leave this field blank.

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

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

## **L. Budget Justification**

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

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

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

Explain any exclusions applied to your indirect costs base calculation.

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

The total federal matching funds and cost share should be equal to the amounts indicated on the [Supplementary Cover Sheet for NEH Grant Programs](#) in the “Federal Matching” and “Cost Sharing” fields.

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

## **Application Components**

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

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

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

<b>Grants.gov form/Attachment</b>	<b>Naming convention</b>	<b>Page limits</b>	<b>Notes</b>
<a href="#">SF-424 Application for Federal Assistance - Short Organizational</a>	Grants.gov form		Required
<a href="#">Supplementary Cover Sheet for NEH Grant Programs</a>	Grants.gov form		Required
<a href="#">Project/Performance Site(s) Location Form</a>	Grants.gov form		Required
<a href="#">Research and Related Budget Attachments Form</a>	Grants.gov form		Required
<a href="#">Certification Regarding Lobbying</a>	Grants.gov form		Conditionally required
<a href="#">Standard Form-LLL "Disclosure of Lobbying Activities</a>	Grants.gov form		Conditionally required
<a href="#">Attachment 1: List of key personnel</a>	personnel.pdf	1	Required
<a href="#">Attachment 2: Narrative</a>	narrative.pdf	Level I: 5; Level II: 8	Required
<a href="#">Attachment 3: Curriculum vitae</a>	cvs.pdf		Required
<a href="#">Attachment 4: AHRC budget</a>	AHRCbudget.pdf		Required
<a href="#">Attachment 5: Work plan</a>	workplan.pdf		Required
<a href="#">Attachment 6: Data management plan</a>	dmp.pdf	2	Required
<a href="#">Attachment 7: Letters from project partners</a>	letters.pdf		Required
<a href="#">Attachment 8: Federally negotiated indirect cost rate agreement</a>	agreement.pdf		Conditionally required
<a href="#">Attachment 9: Explanation of delinquent federal debt</a>	federaldebt.pdf		Conditionally required

## **SF-424 Application for Federal Assistance – Short Organizational**

This form includes basic information about the project, the project director, and the institution. Items **1**, **2**, and **4** will be automatically filled in; item **3** should be left blank.

### **5. Applicant Information**

Provide your organization's legal name, address, employer/taxpayer identification number (EIN/TIN), D-U-N-S® number, website address, and [congressional district](#). For example, if your institution is located in the 5th congressional district of your state, put a "5." If your institution does not have a congressional district (for example, it is in a state or U.S. territory that does not have districts, or is in a foreign country), put a "0" (zero).

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

Institutions applying to federal programs are required to include a unique entity identifier, currently a D-U-N-S® number. If you do not know your identifier, contact your grants administrator or chief financial officer.

### **6. Project Information**

a. Provide the title of your project. It should be brief (no more than 125 characters, including spaces). Successful applications typically have titles that are descriptive of the project and easily

understood by the general public. NEH reserves the right to retitle funded projects for clarity when announcing its funding decisions and in its own reports and communications, but recipients are permitted to use their preferred title for any award products.

b. Provide a brief (no more than one thousand characters, including spaces) description of your project. It should be written for a nonspecialist audience and clearly state the importance of the proposed work and its relation to larger issues in the humanities.

c. List the start and end dates for your project. Your project must start on the first day of a month and end on the last day of a month.

### **7. Project Director**

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

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

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

As a matter of NEH policy, the project director named in item 7 may **not** be the same individual named as the primary contact/grants administrator named in item 8. The role of the project director must be distinguished from that of the institutional grants administrator, who functions as the representative of the recipient organization with authority to act on the organization's behalf in matters related to the administration of the award. Financial reports and prior approval requests such as budget revisions, extensions of the period of performance, and changes in key personnel must be signed or countersigned by the institutional grants administrator. Similarly, official correspondence from NEH to a recipient (for example, an offer letter, award documents, an extension, a supplement, or amendment) is addressed to the institutional grants administrator and copied to the project director.

### **9. Authorized Representative**

Provide the name, title, and contact information for the authorized organization representative (AOR) who is submitting the application on behalf of the institution. This person, often called an "authorizing official," is typically the president, vice president, executive director, provost, or chancellor. To become an AOR, the person must be designated by the institution's E-Business Point of Contact. Consult the [Grants.gov Online User Guide](#).

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

### **1. Project Director**

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

### **2. Institutional Information**

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

### **3. Project Funding**

Enter the amount requested in outright funds.



#### **4. Application Information**

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

For type of application, check “new.”

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

#### **Project/Performance Site Location(s) Form**

Provide the primary location and any other locations where the project activity will occur during the period of performance. You may include multiple performance sites. If you need to add more locations than the form allows, enter the information in a separate file and add it to the "Additional Locations" section. Position your cursor over each field to view instructions.

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

If you are requesting an award greater than \$100,000, you must submit the Certification Regarding Lobbying. Once selected, this form will autofill based upon information provided on the [SF-424 Application for Federal Assistance - Short Organizational](#).

#### **Standard Form-LLL, “Disclosure of Lobbying Activities” (conditionally required)**

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

#### **Attachments Form**

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

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

Visit the [Grants.gov Adobe Software Compatibility page](#) to verify the compatibility of your current software or to download the appropriate version. If you have a problem installing Adobe Reader, contact your system administrator.

Limit file names to 50 or fewer characters. Do not attach any documents with the same name. Each attachment should have a unique name. Use only the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. If you do not follow these naming conventions, your application may be rejected.

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

The U.S. and U.K. attachments will be largely identical, with the exception of the budgets and conditionally required documents. The corresponding AHRC document is indicated below in parentheses to assist applicants with preparing applications.

**Attachment 1: List of key personnel, required (AHRC: List of key personnel)**

List all key U.S. and U.K. personnel and their institutional affiliations, if applicable. Clearly identify the project director and any co-directors. The project director is responsible for the programmatic aspects and day-to-day management of the proposed project. Key personnel include members of the team who will carry out programmatic activities. The names on this list should match the names mentioned in the detailed [Work Plan \(Attachment 5.\)](#). The list must also include the names and institutional affiliations of advisory board members, if applicable. The list is used to ensure that prospective peer reviewers have no conflict of interest with the proposals that they will evaluate.

Limit the list to one page. Name the file personnel.pdf.

**Attachment 2: Narrative, required (AHRC: Case for support)**

Refer to the prior instructions on preparing the [narrative](#). Name the file narrative.pdf.

**Attachment 3: Curriculum vitae, required (AHRC: Curriculum vitae)**

Provide a two-page CV for each of the key U.S. and U.K. personnel. CVs should include basic information about education, employment history, and academic responsibilities. They should also include major publications/outputs from the last five years. This list of publications/outputs should be no more than one page.

Name the file cvs.pdf.

**Attachment 4: AHRC budget, required (AHRC: NEH budget)**

Include the budget and budget justification submitted by the U.K. applicant to AHRC.

Name the file AHRCbudget.pdf.

**Attachment 5: Work plan, required (AHRC: Work plan)**

Describe the specific tasks that will be accomplished during the project. Include a Gantt chart of important tasks and milestones, and indicate the staff member responsible for each. Identify any risks and note how they might adversely affect the overall schedule. Describe strategies to mitigate these risks, so as to keep the project on budget and on schedule. If the project involves staging a workshop or conference, include a draft agenda and a list of proposed participants or specific criteria for selecting participants.

Name the file workplan.pdf.

**Attachment 6: Data management plan, required (AHRC: Data management plan)**

Prepare a data management plan (DMP) for the project (not to exceed two pages) when applying for any award level. The team should consult this document during and beyond the project's period of performance. The plan should identify what data the project will generate and/or collect. Describe how the team will manage and disseminate data. Outline the rights and obligations of all parties with respect to their roles and responsibilities in the management and retention of research data and how changes to project staffing will impact this. Explain any costs stemming from the management of data in the budget justification.



Name the file dmp.pdf.

**Attachment 7: Letters from project partners, required (AHRC: Project partner letter of support)**

Include letters from any U.S. and U.K. project partners. A project partner is defined here as an organization that is making a significant and specific contribution (either in cash or in kind) to the project. The letter(s) should clearly identify the contribution each partner is making to the project.

Letters from outside persons or third-party organizations should not be included.

Name the file letters.pdf.

**Attachment 8: Federally negotiated indirect cost rate agreement (conditionally required)**

If your organization is claiming indirect costs and has a current federally negotiated indirect cost rate agreement, submit a copy of the agreement. If a subrecipient is claiming indirect costs and has a current federally negotiated indirect cost rate agreement, submit a copy of the agreement. For applicants requesting the de minimis rate, this attachment is not required.

Name the file agreement.pdf.

**Attachment 9: Explanation of delinquent federal debt (conditionally required)**

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

Name the file delinquentdebt.pdf.

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

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

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

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

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

## **D-U-N-S®**

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

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

Your organization must register with the [System for Award Management \(SAM\)](#) and continue to maintain active SAM registration with current information at all times during which you have an active federal award or an application or plan under consideration by an agency (unless the applicant is an individual or federal agency that is exempted from those requirements under [2 CFR §25.110\(b\)](#) or [\(c\)](#), or has an exception approved by the agency under [2 CFR §25.110\(d\)](#)).

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

## **Grants.gov**

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

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

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

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

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

The deadline for applications under this notice is July 8, 2021 at 11:59 p.m. Eastern Time /July 8, 2021, 7:59 p.m. British Standard Time.

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

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

When NEH receives your application from Grants.gov, the agency will assign it a tracking number beginning with HND-. A tracking number does not guarantee that the application is free of technical problems (such as missing attachments or failure to convert attachments to PDFs). If a technical problem is detected, NEH will notify you via email. It is your responsibility to correct any errors prior to the deadline.

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

## 5. Intergovernmental Review

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

## 6. Funding Restrictions

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

- projects in which the cultural institutions are merely providing access to collections or resources
- promotion of a particular political, religious, or ideological point of view
- advocacy of a particular program of social or political action
- support of specific public policies or legislation
- lobbying
- projects that fall outside of the humanities and the humanistic social sciences (including the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; and quantitative social science research or policy studies)

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

## E. Application Review Information

### 1. Review Criteria

Peer reviewers will use the following criteria to review applications:

#### 1: Significance

To what extent will this project benefit humanities scholars and/or cultural institution professionals? Do the applicants make a clear case for how they will make use of and benefit humanities collections or materials? How might the project generate new findings, tools, or products relevant to larger questions in the humanities?

#### 2: Responsiveness

How clear are the goals and research questions of the project and how well do they respond to the overarching aims of this program? To what extent will the proposed activities generate fruitful, innovative, and novel interactions across disciplines, institutions, and borders? How responsive is the application to the needs of the target audience(s)?

#### 3: Methods and execution

Is the project's methodology clearly described and is it appropriate for the research questions or problems the applicants intend to address? Are communication and reporting structures clear? Are plans for engaging with audiences and users appropriate?

#### 4: Team and collaboration

Do the team members possess the necessary qualifications and levels of commitment to achieve the project's goals? Are the skill sets of the team members complementary? Do the applicants make a clear case for the added value of U.S.-U.K. collaboration for this project?

## **5: Work plan**

Are the tasks and milestones clearly laid out, and is it clear which team member bears responsibility for each task? Are the timelines for completing activities reasonable? Have the applicants considered potential risks and identified appropriate strategies to mitigate them?

## **6: Budget**

Do the applicants clearly identify the project's anticipated products, audiences, and impacts and are these reasonable given the proposed budget?

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

NEH and AHRC staff review all applications for eligibility, completeness, and responsiveness, and then uses a peer review process to evaluate all eligible and complete applications. Peer reviewers are experts in the field with relevant knowledge and expertise in the types of project activities identified in the applications. NEH and AHRC instruct reviewers to evaluate applications according to the [review criteria](#) in this Notice of Funding Opportunity. NEH and AHRC peer reviewers must comply, respectively, with relevant U.S. and U.K. ethics and conflicts of interest requirements.

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

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

Applications that have received a favorable review are subsequently reviewed for other considerations, including past performance, as applicable; cost analysis of the project budget; assessment of management systems; continued applicant eligibility; and compliance with any public policy requirements.

You may be asked to submit additional programmatic or administrative information (such as an updated budget or supporting documentation) or to undertake certain activities (such as negotiation of an indirect cost rate) in anticipation of an award. However, such requests do not guarantee that an award will be made.

After reviewing applicable information, NEH's approving and grant management officials will determine whether an award can be made, if special conditions are required, and what level of funding is appropriate. NEH may elect not to fund applicants with management or financial instability that affects their ability to implement the terms and conditions of the award ([2 CFR §200.206](#)).

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

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

NEH will notify applicants of funding decisions by email in December 2021. This notification is not an authorization to begin performance or incur related costs. You may request evaluations of your proposal by contacting [odh@neh.gov](mailto:odh@neh.gov).

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

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

Institutional grants administrators and project directors of successful applications will receive award documents from the NEH Office of Grant Management via eGMS Reach in December 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 [.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 9: Explanation of delinquent federal debt](#).

### **Providing access to NEH-funded products**

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

Recipients must follow the requirements of Section 504 of the Rehabilitation Act of 1973, which is designed to eliminate discrimination on the basis of disability in any program or activity receiving federal financial assistance. Consult [Design for Accessibility: A Cultural Administrator's Handbook](#).

### **Copyright information**

Recipients may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under an award. In accordance with [2 CFR §200.315\(b\)](#), NEH reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for federal purposes, and to authorize others to do so. NEH has typically exercised this right in consultation with recipients to publish an excerpt from resulting grant product(s) in [Humanities](#) magazine or on the NEH website.

## **Acknowledging NEH support**

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

## **Program income policy**

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

## **NEH Research Misconduct Policy**

In accordance with the Federal Policy on Research Misconduct, published in the December 6, 2000, edition of the Federal Register, 65 Fed. Reg. 76,260, the National Endowment for the Humanities has established procedures for handling allegations of research misconduct applicable to both internal and external research programs supported by NEH. This policy reflects NEH's interest in the accuracy and reliability of the research record and the processes involved in its development. As defined in the Federal Policy on Research Misconduct, research includes all basic, applied, and demonstration research. Review the [NEH Research Misconduct Policy](#).

## **Principles of Civility**

Recipients must 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](#).

## **3. Reporting**

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

- 1.) **Federal Financial Report(s)**. Recipients must submit the Federal Financial Report (SF-425) on an annual basis.
- 2.) **Performance Progress Report(s)**. Recipients must submit a performance progress report to NEH on an annual basis.
- 3.) **Final Reports**. Recipients must submit a final Federal Financial Report (SF-425) and a final performance report within 120 calendar days after the period of performance ends. The final performance report collects information relevant to program specific goals and progress on strategies; impact of the overall project; the degree to which the recipient achieved the mission, goals, and strategies outlined in the approved application; recipient objectives and accomplishments; barriers encountered; and responses to summary questions regarding the recipient's overall experiences during the entire period of performance.



- 4.) **Tangible Personal Property Report.** If applicable, recipients must submit the Tangible Personal Property Report (SF-428) and any related forms within 120 calendar days after the period of performance ends. Recipients must report all equipment with an acquisition cost of \$5,000 or more per unit purchased with NEH funds.

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

## G. Agency Contacts

If you have questions about the program, contact:

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

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

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

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

If you have questions about registering or renewing your registration with [login.gov](http://login.gov) or [SAM.gov](http://SAM.gov), contact the Federal Service Desk, Monday – Friday, 8:00 a.m. to 8:00 p.m. Eastern Time, at:

[Federal Service Desk](#)  
U.S. calls: 866-606-8220  
International calls: +1 334-206-7828

For assistance in registering with or submitting your application through [Grants.gov](http://Grants.gov), contact [Grants.gov](http://Grants.gov) Applicant Support, 24 hours a day, 7 days a week, excluding federal holidays. at:

[Grants.gov Applicant Support](#)  
Telephone: 1-800-518-4726  
International Calls: 606-545-5035  
Email: [support@grants.gov](mailto:support@grants.gov)

Always obtain a case number when calling for support.

## H. Other Information

### Privacy policy

NEH solicits the information in this Notice of Funding Opportunity under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, [20 U.S.C. 951, et seq.](#) Disclosure of the information is voluntary. The principal purpose for which NEH will use the information is to process the application, which may include determining eligibility, evaluating

the application, selecting recipients, and administering the award program. Panelists and other third parties may assist in the evaluation of applications, in which case NEH will take appropriate security measures with respect to the information provided to such individuals for review. NEH may also use or disclose the information it collects as required by law and for governmental purposes such as statistical research, analysis of trends, Congressional oversight, and the other routine uses set forth in the systems of records notice (“SORN”) published by NEH in the Federal Register. NEH ordinarily will not publicly disclose the contents of applications that NEH does not select for funding, except as set forth in the SORN. Failure to provide the information solicited in this Notice may result in rejection of the application.

### **Application completion time**

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates that on average it takes fifteen hours to complete this application. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed, and completing and reviewing the application.

You may send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the completion time, to the Chief Funding Opportunity Officer at [grantmanagement@neh.gov](mailto:grantmanagement@neh.gov). According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number. The OMB Control Number for this Notice of Funding Opportunity is 3136-0134, expiration date June 30, 2021.