NATIONAL ENDOWMENT FOR THE HUMANITIES

NOTICE OF FUNDING OPPORTUNITY

Funding Opportunity Title:
Preservation Assistance Grants for Smaller Institutions

Funding Opportunity Number: 20210114-PG

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.149

Application Due Dates:
January 14, 2021
January 13, 2022

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

Executive Summary

The National Endowment for the Humanities (NEH) Division of Preservation and Access is accepting applications for the Preservation Assistance Grants for Smaller Institutions program. The purpose of this program is to help small and mid-sized institutions improve their ability to preserve and care for their significant humanities collections. The program encourages applications from small and mid-sized institutions that have never received an NEH grant.

Funding Opportunity Title:	Preservation Assistance Grants for Smaller Institutions
Funding Opportunity Number:	20210114-PG
Federal Assistance Listing Number (CFDA):	45.149
Application Due Date:	January 14, 2021, 11:59 p.m. Eastern Time January 13, 2022, 11:59 p.m. Eastern Time
Anticipated Announcement:	August 2021 (for proposals submitted for the January 14, 2021 deadline) August 2022 (for proposals submitted for the January 13, 2022 deadline)
Anticipated Total Annual Available Funding:	Approximately $600,000 per deadline
Estimated Number and Type of Awards:	Approximately 55 grants per deadline
Funding Range:	Up to $10,000 Up to $15,000 for applicants whose proposals respond to "A More Perfect Union": NEH Special Initiative Advancing Civic Education and Commemorating the Nation's 250th Anniversary
Cost Sharing/Match Required:	No.
Period of Performance:	Up to eighteen months with a start date as early as September 1, 2021 (for proposals submitted for the January 14, 2021 deadline) or as early as September 1, 2022 (for proposals submitted for the January 13, 2022 deadline).
Eligible Applicants:	U.S. nonprofit organizations with 501(c)(3) tax-exempt status, public and 501(c)(3) accredited institutions of higher education, state and local governmental agencies, and federally recognized Native American tribal governments. See Section C for additional information.
Program Resource Page:	https://www.neh.gov/grants/preservation/preservation-assistance-grants-smaller-institutions
Pre-Application Webinar	December 2, 2020 at 1:00 p.m. Eastern Time https://attendee.gotowebinar.com/register/4877613594293586066

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A. Program Description

1. Purpose

This notice solicits applications for the Preservation Assistance Grants for Smaller Institutions program from the NEH Division of Preservation and Access.

Preservation Assistance Grants help small and mid-sized institutions — such as libraries, museums, historical societies, archival repositories, cultural organizations, town and county records offices, and colleges and universities — improve their ability to preserve and care for their significant humanities collections. These may include special collections of books and journals, archives and manuscripts, prints and photographs, moving images, sound recordings, architectural and cartographic records, decorative and fine art objects, textiles, archaeological and ethnographic artifacts, furniture, historical objects, and digital materials.

Applicants must draw on the knowledge of consultants whose preservation skills and experience are related to the types of collections and the nature of the activities on which their projects focus. Within the conservation field, conservators usually specialize in the care of specific types of collections, such as objects, paper, or paintings. Applicants should choose a conservator whose specialty is appropriate for the nature of their collections. Similarly, when assessing the preservation needs of library, museum, or archival holdings, applicants should seek a consultant specifically knowledgeable about the preservation of collections in these types of institutions.

The program encourages applications from small and mid-sized institutions that have never received an NEH grant; community colleges, Hispanic-Serving Institutions, Historically Black Colleges and Universities, and Tribal Colleges and Universities; and Native American tribes and Native Alaskan and Native Hawaiian organizations with significant humanities collections. Furthermore, organizations or collections that represent the contributions of under-represented communities are highly encouraged.

An institution that has received a Preservation Assistance Grant may apply for another grant to support the next phase of its preservation efforts. For example, after completing a preservation assessment, an institution might apply to purchase storage supplies and cabinets to rehouse a collection identified as a high priority for improved storage. These proposals receive no special consideration and will be judged by the same criteria as others in the competition.

Allowable activities

The Preservation Assistance Grants for Smaller Institutions program funds a range of activities described below. Applicants may combine two or more activities in a single application. For example, an applicant may request funds for a consultant (and an assistant, if applicable) to conduct a preservation assessment and an on-site preservation workshop for the institution's staff. Applicants in a federally declared disaster area may request funds for conservation treatment and the purchase of re-housing supplies. In such cases, the consultant's letter of commitment should fully describe both proposed activities and the associated fees. Unallowable activities are described in section D6. Funding Restrictions.

General preservation assessments

Applicants may request funding to engage a conservator or other preservation specialist to conduct a general preservation assessment and to help draft a long-range plan for the care and sustainability of humanities collections. The consultant visits the institution to assess policies, practices, and conditions affecting the care and preservation of humanities collections and prepares a report that summarizes the findings and contains prioritized recommendations for

future preservation action. An advanced student or recent graduate from a preservation program may assist the project consultant.

Consultations with preservation professionals to address a specific preservation issue, need, or problem

Applicants may request funding to hire a consultant to help address challenges in the stewardship of humanities collections. An advanced student or recent graduate from a preservation program may assist the project consultant.

For example, consultants can provide advice about:

- developing and revising disaster preparedness and response plans, including continuity of operations plans
- establishing environmental monitoring programs, instituting integrated pest management programs, and developing plans for improving environmental conditions, security, or fire protection for collections
- studying light levels in exhibition and storage spaces and recommending appropriate methods for controlling light and reducing damage to collections
- developing detailed plans for improving storage or rehousing a collection
- developing detailed plans for preservation of digital collections
- assessing the conservation treatment needs of selected items in a collection
- implementing preventive conservation strategies that pragmatically balance effectiveness, cost, and environmental impact
- planning for capital improvements that would enhance care of collections

Based on preliminary discussions about the proposed assessment, a consultant may be able to anticipate an institution's need for basic preservation supplies. In such cases, the applicant may request funds to purchase the recommended supplies. It is critical to include the consultant's letter of commitment describing the supplies and justifying their use. After the on-site visit, the consultant can refine the list of supplies to be purchased.

Purchase of storage furniture and preservation supplies

Applicants that have completed a preservation assessment or consulted with an appropriate professional may request funding to purchase permanent and durable furniture and supplies (for example, cabinets and shelving units, storage containers, boxes, folders, and sleeves). Additionally, discrete units to improve the environment such as portable dehumidifiers, air conditioning units, or vacuums may be purchased, if recommended in an assessment. NEH funds may also be used to support shipping and installation of storage furniture. If an institution's staff and volunteers have limited experience in rehousing collections, the institution should enlist a consultant to provide guidance and training at the beginning of the project. Applicants requesting preservation or storage supplies should discuss how plans for the organization or arrangement of the collections have informed the selection of supplies and equipment.

Purchase of environmental monitoring equipment

Applicants may request funding to purchase environmental monitoring equipment (for example, dataloggers or light meters) and related software. If the institution's staff does not have experience using the equipment, the application should include a request for training in the use and installation of the equipment and/or software and the interpretation of the monitoring data.

Education and training

The Preservation Assistance Grants for Smaller Institutions program focuses on the preservation of collections, but it also recognizes that cultural institutions need to gain better intellectual control of and enhance access to their collections. Therefore, applicants may request funding to support attendance at workshops and training courses that address both preservation and access topics.

Workshops and training sessions may be face-to-face or online. Applicants may hire a consultant to conduct on-site training for staff and volunteers. An advanced student or recent graduate from a preservation program may assist the project consultant. On-site workshops may be tailored to meet an institution's specific needs and holdings. Applicants hosting a workshop are encouraged to enhance the impact of the training by inviting the participation of staff, students, and volunteers from neighboring organizations or institutions.

Education and training requests may address both preservation and access topics. For example, workshops could focus on topics such as the following:

- preservation and care of humanities collections (often offered by collection type, for example, textiles, paintings, photographs, archival records, manuscripts, and books)
- disaster preparedness and response, including continuity of operations
- methods and materials for the storage of collections
- environmental monitoring programs
- best practices for cataloging rare books, art, and material culture collections
- proper methods for the arrangement and description of archival collections
- preservation and access challenges for community-based archives
- standards and best practices for digital preservation
- care and handling of collections during digitization

Federally declared disaster areas

In federally declared disaster areas, applicants may request funding for the following disaster-related activities:

- disaster response, recovery, and mitigation
- conservation treatment
- temporary storage and relocation
- the purchase of cleaning supplies and equipment, which may include vacuums, dehumidifiers, and other disaster remediation supplies
- when appropriate, the reformatting of collections as a preservation methodology

Per 2 CFR §200.447 (c), award funds may not be used for actual losses which could have been covered by permissible insurance (through a self-insurance program or otherwise). However, costs incurred because of losses not covered under nominal deductible insurance coverage provided in keeping with sound management practice, and minor losses not covered by insurance are allowable.

See the list of disaster-related resources in Section H. Other Information.

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.

In support of this initiative, applicants may request up to $15,000 for **consultations, planning**, **and pilot work** with one or more humanities professionals (for example, American historians, archivists, librarians, preservation specialists, and/or curators) that would position smaller institutions to preserve and create enhanced access to their humanities collections for use in activities that would address the themes of "A More Perfect Union."

Applicants responding to this special initiative may also request support for **consultants who would offer education and training** in staff professional development geared to capacity-building and leadership that would help the institution improve its care of American history collections. Consultants may also help develop plans for activities such as arranging, describing, and digitizing collections.

For example:

- A local historical society has documents and artifacts pertaining to relationships between Native Americans and early settlers of the area that it wishes to digitize for use in its school programs leading up to the semiquincentennial. The society has a consultant conduct training in digitization and provide feedback on a pilot project in which staff and

Native American partners digitize and develop metadata for ten documents and ten artifacts, which are representative of the larger collection.
- A public library has a special collection of Civil Rights-era materials that were recently donated. The library proposes to consult with an archivist to develop a processing plan and with a Civil Rights historian to identify collection items that have high research potential and that could be featured in exhibits and programming for the semiquincentennial.
- A small museum has several paintings that date from the Revolutionary era and is planning to exhibit them with renewed interpretation in 2026. The museum proposes to consult with a paintings conservator for an item-level assessment that would identify priorities for conservation treatment and with a public historian to assist with planning for collaborations with community groups and how best to evaluate the overall project.

Applications responding to this initiative must incorporate consultation and planning activities for the 250th anniversary of American independence, but may also include other allowable activities.

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 $600,000 is expected to be available to fund 55 recipients per deadline.

Applicants may request up to $10,000. Applicants whose projects respond to "A More Perfect Union": NEH Special Initiative Advancing Civic Education and Commemorating the Nation's 250th Anniversary may request up to $15,000 for planning activities; up to $10,000 of that request may be for other allowable activities.

NEH will not determine the amount available until Congress has enacted the final FY 2021 and FY 2022 budgets. This program notice is subject to the appropriation of funds, and is a contingency action taken to ensure that, should funds become available for this purpose, applications can be processed and funds awarded in a timely manner.

The period of performance is up to 18 months, with a start date no earlier than September 1, 2021 (for proposals submitted for the January 14, 2021 deadline) and September 1, 2022 (for proposal submitted for the January 13, 2022 deadline.)

Successful applicants will be awarded outright funds.

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

An applicant may not submit multiple applications under this announcement.

Distinct collecting entities of a larger organization may apply under this announcement, such as the library and museum of a university or two historic sites within a historical society.

Applicants must demonstrate that they:

- care for and have custody of and/or responsibility for the humanities collections that are the focus of the application;
- have at least one staff member or the full-time equivalent, whether paid or unpaid; and
- make their collections open and available for the purpose of education, research, and/or public programming.

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](#).

D. Application and Submission Information

1. Application Package

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

This funding opportunity has two application packages available in Grants.gov. Select the appropriate package based upon the deadline for which you are applying.

PG12021: January 14, 2021 deadline
PG12022: January 13, 2022 deadline

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 [preservation@neh.gov](#). Applicants who are deaf or hard of hearing (TTY users) can contact NEH via Federal Relay at 800-877-8399.

2. Content and Form of Application Submission

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

i. Project Narrative

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

Your narrative must be limited to five single-spaced pages (six single-spaced pages if the request is for [disaster-related activities](#)), with one-inch margins and a font size no smaller than eleven points.

NEH has aligned each section of the narrative with a corresponding review criterion. Refer to [Section E1. Review Criteria](#) for full descriptions.

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

A. What activity (or activities) would the grant support? (corresponds to [Review Criterion 2](#))

State the specific activity or activities that the grant would support and the goals of the proposed project. If you are applying for support in response to [“A More Perfect Union”: NEH Special Initiative Advancing Civic Education and Commemorating the Nation's 250th Anniversary](#), declare this both here and in the Project Description (item 6.b. of the [SF-424 Application for Federal Assistance – Short Organizational](#)).

B. What are the content and size of the humanities collections that are the focus of the project? (corresponds to [Review Criterion 2](#))

Describe the collections that are the focus of the project, emphasizing their significance to the humanities (keeping in mind that projects funded by NEH should promote public confidence that taxpayer funds in support of the humanities are well spent). The description should be at least one page. It should identify the categories of materials and indicate, where pertinent, the date ranges, quantities, and intellectual content. Highlight specific examples of important items in the collections.

For example, a description of an archival collection might begin by stating that the collection comprises two hundred letters written by prominent political figures between 1870 and 1885; twenty-four linear feet of records documenting the environmental impact of a regional coal mining company active from 1940 through 1970; fifty-two maps documenting the history and development of the local transportation system; twelve volumes of birth and death records for local residents from 1860 to 1950; and nine hundred photographs depicting community life during the 1930s and 1940s.

A description of a museum collection might begin by stating that there are ten thousand objects from the early 1800s to the present, including approximately one thousand costumes and items of personal adornment, five hundred Native American baskets, four hundred agricultural implements, and hundreds of household products and furnishings.

The description should then discuss in detail the content of these materials and their significance to the humanities. For example, an applicant might highlight specific examples to explore topics such as the social, political, or economic development of a community, showing how the collections could illuminate these broader humanities themes in American history and culture.

If the project focuses only on a portion of an institution's collections, briefly describe the overall collections and then provide a detailed account of the portion on which the project focuses.

If you are applying for support in response to the [“A More Perfect Union”](#) special initiative, explain how your collections help to illuminate the themes noted in the description of this initiative.

C. How are these humanities collections used? (corresponds to [Review Criterion 1](#))

Explain in detail the use of the collections on which the project focuses and provide evidence of how the collections are or might be used in scholarly publications, educational activities, exhibitions, or public programming. For example, explain how the collections have been or could be used to illuminate specific humanities themes in an exhibition, or how they have been or could be used in educational programs and classroom instructional materials.

If the collections are used for research, describe the range of subjects that have been (or could be) explored and show how these materials could contribute to new interpretations of national

or regional history. Provide examples of research projects conducted by students, scholars, or genealogists.

By discussing the use of collections and the ways in which they can increase the understanding of broad humanities themes, you will help evaluators understand their importance to the humanities and to the institution's mission. This section of the application should be at least one page.

D. What is the nature and mission of your institution or institutional unit? (corresponds to Review Criteria 1 and 2)

Describe the mission of the institution and discuss specific budget or staffing considerations that characterize it as a small or mid-sized institution. Demonstrate your institutional commitment to making your collection accessible for education, research, and public programming in the humanities, as evidenced by the following information:

- the number of full-time, part-time, and volunteer staff
- the number of days per year on which the institution is open to the public
- the size of the institutional or unit budget

Libraries, archives, or museums that are part of a larger organization, such as a college or university, should provide this information for their institutional unit.

E. Has your institution ever had a preservation or conservation assessment or consultation? (corresponds to Review Criterion 2)

If yes, provide the date of the assessment, the name(s) of the assessor(s), and, if applicable, explain how any previous assessments or consultations relate to the proposed project activity.

If your institution has previously engaged a preservation consultant for purposes other than a general preservation or conservation assessment, briefly elaborate.

F. What is the importance of this project to your institution or institutional unit? (corresponds to Review Criterion 2)

Discuss how this project fits into the institution's overall preservation needs or plans. Describe the current condition of collections and the environment in which they are stored. Explain how the proposed activities build on previous preservation efforts and how the project fits into future preservation plans. In addition, explain how the project would increase your institution's ability to improve collection care beyond the period of performance. For projects involving preservation assessments or consultations, explain how the findings will be disseminated within your institution.

Applicants proposing to attend workshops or training courses should describe their content and explain how the knowledge gained would be used to improve preservation and/or access practices at the institution. Workshops must be attended during the period of performance. If a regularly offered workshop has not been scheduled at the time of application, contact the workshop's provider to confirm that it will be offered. In an attachment, provide information about the workshop (for example, a description, announcement, or program) obtained from the provider.

Applicants applying for support in response to "A More Perfect Union": NEH Special Initiative Advancing Civic Education and Commemorating the Nation's 250th Anniversary should briefly describe how the project activities contribute to planning for further preservation of and access to collections for use in activities that would address themes of "A More Perfect Union." In addition, discuss the likely "next steps" that would follow from planning or pilot work.

G. What are the names and qualifications of the consultant(s) and staff involved in the project? (corresponds to **Review Criterion 3**)

Using short paragraphs, provide the name(s) and qualifications of the consultant(s) selected for the project, as well as the names and relevant experiences of the participating staff. Applicants requesting training in the care and preservation of humanities collections must seek a consultant specifically knowledgeable about the collection type or types on which the project focuses. For preservation training projects, identify the staff member(s) who will attend the training and state their positions and responsibilities.

Consultants are required to submit letters of commitment—stating the costs of their services—that guarantee their participation in the project and describe their plan of work. These letters should be included in Attachment 5, along with the consultants' résumés. Consultants should indicate in their letter of commitment if they will work on any of the proposed activities with an advanced student or recent graduate—and if they are requesting funds to cover the costs associated with his or her participation in the project.

H. Additional information for applicants in federally declared disaster areas (corresponds to **Review Criterion 2**)

Applicants in federally declared disaster areas should also provide the following information in their narratives (up to one additional page is permitted for this information):

- Discuss how the disaster (hurricane, wildfire, mudslide, etc.) affected your institution and the steps that you have taken toward recovery.

- If your collections were placed at risk or damaged, describe the risks or the extent of the damage and any steps that you have taken to salvage and protect collections. A few photographs may be included in Attachment 8.

- If you are requesting support for disaster planning, response, recovery, or mitigation (or education and training related to these activities), describe the current status of your planning or response, the steps that would be taken to create a plan or to train staff, and the name(s) and qualifications of any consultant(s) selected to assist you in developing a plan or training staff. Provide in Attachment 5 a letter (or letters) of commitment and résumé(s) of the consultant(s).

- If you are requesting support for conservation treatment, provide in Attachment 8 a treatment proposal with cost estimates that have been prepared by a qualified conservator. Include images of the items or a representative selection. If you are proposing treatment of a group of items of similar material and condition, you may submit a conservator's proposal for the group of items. Include the résumé(s) of the conservator(s) who will perform the treatments.

- If you are requesting support for the temporary relocation and storage of collections, describe the temporary facility, its environment, and the manner in which collections are or will be housed. Discuss your longer-term plans for housing the collection and providing access to it. Include in Attachment 8 any further information, such as quotes.

- If you are requesting support for reformatting, demonstrate that reformatting is an accepted preservation methodology for the materials and that, your project would adhere to existing best practices and standards.

Institutions affected by natural disasters may wish to consult the resources included in Section H. Other Information.

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. What activity (or activities) would the grant support?	(2) Proposed activities, adequacy of plan of work, and the justification of their importance to the institution
B. What are the content and size of the humanities collections that are the focus of the project?	(1) Collections and their use in education, research, or public programming in the humanities
C. How are these humanities collections used?	(1) Collections and their use in education, research, or public programming in the humanities
D. What is the nature and mission of your institution?	(1) Collections and their use in education, research, or public programming in the humanities (2) Proposed activities, adequacy of plan of work, and the justification of their importance to the institution
E. Has your institution ever had a preservation or conservation assessment or consultation?	(2) Proposed activities, adequacy of plan of work, and the justification of their importance to the institution
F. What is the importance of this project to your institution?	(2) Proposed activities, adequacy of plan of work, and the justification of their importance to the institution
G. What are the names and qualifications of the consultant(s) and staff involved in the project?	(3) Appropriateness of the experience and the qualifications of consultants and staff
H. Additional information for applicants in federally declared disaster areas	(2) Proposed activities, adequacy of plan of work, and the justification of their importance to the institution

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 Section H. Indirect Costs.

Introductory Fields

If not pre-populated, indicate your organization's D-U-N-S® number, the name of your organization, and the period of performance start and end dates. The period of performance start and end dates should be the same as your SF-424 Application for Federal Assistance - Short Organizational. Check "Project" for budget type.

Section A. Senior/Key Person

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

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

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

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

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

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

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

Section B. Other Personnel

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

Post-doctoral associates, graduate students, and undergraduate students

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

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

Secretarial/Clerical

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

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

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

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

Other Project Roles

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

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

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

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

Section C. Equipment Description

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

Equipment may be purchased for a project if an analysis demonstrates that purchasing is more economical and practical than leasing (equipment rental/user fees should be included in the budget in Section F. Other Direct Costs). Equipment is defined as nonexpendable personal property costing $5,000 or more and having a service life of more than one year (unless the organization has established a lower level). See 2 CFR §§200.313 and 439.

Consistent with 2CFR §200.322 and Executive Order 13788 ("Buy American and Hire American"), recipients and subrecipients who purchase equipment and products costing $10,000 or more per unit with grant funds should purchase only American-made equipment and products. This encouragement does not apply to commercial information technology.

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

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

Section D. Travel

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

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

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

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

Section E. Participant/Trainee Support Costs

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

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

Justify participant/trainee support costs in Section L. Budget Justification.

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

1. Tuition/Fees/Health Insurance
Leave this field blank.

2. Stipends
List the total funds requested for Participant/Trainee stipends.

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

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

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

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

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

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

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

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

As a matter of programmatic policy, the following materials and supplies are not allowed in this program:

- the purchase of furniture and display cases intended for rotating and temporary displays of collection items
- development or purchase of software, including but not limited to content and digital asset management systems, except for software related to monitoring the preservation environment
- purchase of computers

2. Publication Costs

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

3. Consultant Services

List the total funds requested for all consultant services. Identify the following items in Section L. Budget Justification, as applicable:

- each consultant, the services he/she will perform, total number of days, travel costs, and the total estimated costs; and
- persons who are confirmed to serve on external advisory committees to the project. Describe the services they will perform.

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

4. Automated Data Processing (ADP)/Computer Services

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

5. Subawards/Consortium/Contractual Costs

List the total funds requested for project activities to be undertaken by third-party subrecipients. This includes subawards and other contractual costs proposed for the project. A complete itemization of the cost comprising the charge should be provided in Section L. Budget Justification organized using the same categories present on the Research and Related budget. If there is more than one subrecipient, each must be justified separately in the budget justification. See 2 CFR §§200.331 and 332 for additional information.

Per 2 CFR §§200.1 and 331(a), *subaward* means an award provided by a pass-through entity (the recipient) to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor (as defined in 2 CFR §200.1) or payments to an individual that is a beneficiary of a federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

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

Contractual costs as defined in 2 CFR §§200.1 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 Section L. Budget Justification.

6. Equipment or Facility Rental/User Fees

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

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

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

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

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

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

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

7. Alterations and Renovations

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

8-10. Other

Include items not previously listed under other budget categories or in the indirect cost pool in lines 8-10. "Other" project-specific costs may include promotion, acquisition fees, rights, evaluation and assessment fees, and access accommodations (e.g., audio description, sign-language interpretation, closed or open captioning, large-print brochures/labeling). Use Section L. Budget Justification to further itemize and justify. "Miscellaneous" and "contingency" are not acceptable budget categories.

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

Section G. Total Direct Costs

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

Section H. Indirect Costs

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

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

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

Note: Except as provided in paragraph (c)(1) of 2 CFR §200.414, federal agencies must use the negotiated rates in effect at the time of the initial award throughout the life of the federal award. Award levels may not be adjusted in future years as a result of changes in negotiated rates. Except as provided in 2 CFR §200.414, when an educational institution does not have a negotiated rate with the federal government at the time of an award (because the educational institution is a new recipient or the parties cannot reach agreement on a rate), the provisional rate used at the time of the award must be adjusted once a rate is negotiated and approved by the cognizant agency for indirect costs. If the recipient fails to negotiate an indirect cost rate applicable to the period of performance within the period of performance, indirect costs may be disallowed. 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 9: Federally negotiated indirect cost rate agreement](#).

Indirect Cost Type

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

Indirect Cost Rate (%)

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

Indirect Cost Base ($)

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

Funds Requested ($)

Enter the funds requested for each indirect cost type.

Total Indirect Costs

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

Cognizant Federal Agency

Enter the name of the cognizant federal agency.

Section I. Total Direct and Indirect Costs

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

Section J. Fee

Do not include any expenses under this section.

Section K. Total Costs and Fee

This total will be automatically calculated from the sum of Total Direct Costs and Fee (from sections "I. Total Direct and Indirect Costs" and "J. Fee"). Since there is no fee, this should be the same amount as in [Section I. Total Direct and Indirect Costs](#).

Section L. Budget Justification

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

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

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

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

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

iii. Application Components

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

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

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

Application component	Naming convention	Page limits	Notes
SF-424 Application for Federal Assistance - Short Organizational	Not applicable (Grants.gov form)		Required
Supplementary Cover Sheet for NEH Grant Programs	Not applicable (Grants.gov form)		Required
Project/Performance Site(s) Location Form	Not applicable (Grants.gov form)		Required
Research and Related Budget	Not applicable (Grants.gov form)		Required
Institutional Profile Form	Not applicable (Grants.gov form)		Required
Attachments Form	Not applicable (Grants.gov form)		Required
Attachment 1: Project Narrative	narrative.pdf	5 pages; 6 pages for disaster-related activities	Required
Attachment 2: Work plan	workplan.pdf		Required
Attachment 3: Résumés	resumes.pdf	2 pages per résumé	Required
Attachment 4: Letters of commitment from consultants	consultants.pdf		Encouraged
Attachment 5: Previous conservation assessment or executive summary for purchase of furniture & supplies	assessment.pdf		Encouraged
Attachment 6: Workshop descriptions for training projects	workshop.pdf		Encouraged

Attachment 7: Supporting materials for disaster-related activities	disaster.pdf		Encouraged
Attachment 8: Other supporting documentation	other.pdf	10 pages	Optional
Attachment 9: Federally negotiated indirect cost rate agreement, if applicable	indirect.pdf		Conditionally required
Attachment 10: Explanation of delinquent federal debt	delinquentdebt.pdf		Conditionally required

SF-424 Application for Federal Assistance – Short Organizational

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

5. Applicant Information

Provide your organization's legal name, address, employer/taxpayer identification number (EIN/TIN), D-U-N-S® number, website address, and congressional district of the institution.

If your institution is located, for example, in the 5th Congressional District of your state, put a "5." If your institution doesn't have a congressional district (for example, it is in a state or U.S. territory that doesn't have districts, or is in a foreign country), put a "0" (zero).

Also choose the "type" that best describes your institution (you only need to select one).

All institutions applying to federal programs are required to provide a D-U-N-S® number, issued by Dun & Bradstreet, as part of their application. Project directors should contact their institution's grants administrator or chief financial officer to obtain their institution's D-U-N-S® number.

6. Project Information

a. Provide the title of your project. Your title should be brief (no more than 125 characters, including spaces), descriptive, and substantive. Successful applications will typically have titles that are descriptive of the project, substantive, and free of specialized language. Most importantly, your title should be easily understood by the general public. NEH reserves the right to retitle funded projects for clarity when announcing its funding decisions and in its own reports and communications, but recipients are permitted to use their preferred title for any award products.

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

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

7. Project Director

Provide the name, title, mailing address, email address, and telephone and fax numbers for the project director. The project director is responsible for the programmatic aspects and day-to-day management of the proposed project. Because the project director's involvement in the

proposed project is critical to its success, applicants must notify the NEH Office of Grant Management immediately if the project director listed in the application changes.

8. Primary Contact/Grants Administrator

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

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

9. Authorized Representative

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

Supplementary Cover Sheet for NEH Grant Programs

Provide the following information:

1. Project Director

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

2. Institutional Information

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

3. Project Funding

Enter your project funding information. [Learn more about different funding types.](#)

4. Application Information

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

For Type of Application, check "new."

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

Project/Performance Site Location(s) Form

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

Institutional Profile Form

Select the appropriate response to each of the six questions on the form.

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: Work plan (required)

Outline the steps of the project, the sequence in which they will occur, the amount of time they will take, and indicate who is responsible for which activities. **You may format this as you see fit, though a table or chart is used most often.**

Name the file workplan.pdf.

Attachment 3: Résumés (required)

Include brief résumés (no longer than two pages) for the project director and other key staff. Name the file resumes.pdf.

Attachment 4: Letters of commitment from consultants (encouraged)

For projects that involve hiring a consultant, attach a two-page résumé for and letter of commitment from the consultant(s). The letter of commitment should describe the proposed activity or activities; a detailed plan of work and budget; and, if relevant, a preliminary list of supplies that the consultant recommends for purchase. The letter also should indicate what the consultant would provide to the applicant, such as training, an assessment, or a planning report. If the consultant is working with an advanced student or recent graduate, the letter should identify the academic program from which the student or graduate would be selected and discuss the practical experience that the student or graduate would gain from the project. Name the file consultants.pdf.

Attachment 5: Previous conservation assessment or executive summary for purchase of furniture & supplies (encouraged)

For projects based on a previous preservation assessment, attach a copy of the executive summary of the assessment and the relevant sections of the report. Name the file assessment.pdf.

Attachment 6: Workshop descriptions for training projects (encouraged)

For preservation training projects, attach workshop descriptions, announcements, or programs. Name the file workshop.pdf.

Attachment 7: Supporting materials for disaster-related activities (encouraged)

For projects that involve disaster-related activities, see the bulleted list in Section I of the narrative instructions for the necessary supporting documentation. Depending on the proposed activities, this could include images, treatment proposals, and quotes for storage. Name the file disaster.pdf.

Attachment 8: Other supporting documentation (optional)

This optional attachment may include information not relevant in the previous categories that helps to illustrate the applicant's purposes and preparedness for the grant project. Examples include quotes for supplies and equipment, images, details on collections that are the focus of a project, planning documents, or other information that supports points made in the narrative. Limit this attachment to 10 pages. Name this file other.pdf.

Attachment 9: Federally negotiated indirect cost rate agreement (conditionally required)

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

Attachment 10: Explanation of delinquent federal debt (conditionally required)

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

Name the file delinquentdebt.pdf.

3. Unique Entity Identifier and System for Award Management

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

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

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

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

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

NEH may not make an award to an applicant until the applicant has complied with all applicable D-U-N-S® and SAM requirements and, if an applicant has not fully complied with the requirements by the time NEH is ready to make an award, NEH may determine that the

applicant is not qualified to receive an award and use that determination as the basis for making an award to another applicant.

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

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

4. Submission Dates and Times

There will be two application due dates under this announcement:

January 14, 2021 at 11:59 p.m. Eastern Time
January 13, 2022 at 11:59 p.m. Eastern Time

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

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

NEH will assign a tracking number beginning with PG- 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 focusing on collections or materials that are the responsibility of an agency of the federal government
- appraisals of collections to determine their financial value
- courses leading to a degree, including graduate-level conservation training or training related to advanced conservation treatment
- attendance at regular meetings of museum, library, archives, or preservation organizations
- projects that focus on preserving or restoring buildings or other structures
- capital improvements to buildings and building systems, including the purchase of equipment such as air conditioning systems, lighting systems, and security and fire protection systems
- the purchase of furniture and display cases intended for rotating and temporary displays of collection items

- development or purchase of software, including but not limited to content and digital asset management systems, except for software related to monitoring the preservation environment
- the purchase of equipment for reformatting (for example, computers, scanners, digital cameras, cassette decks, and CD-ROM drives)
- consultations that focus solely on preparing exhibits or other interpretive products
- 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)

The following activities are unallowable for all applications, except those proposing planning and pilot activities in response to "A More Perfect Union": NEH Special Initiative Advancing Civic Education and Commemorating the Nation's 250th Anniversary:

- cataloging, indexing, arranging, and describing collections
- reformatting of collections (for example, digitizing, photocopying, microfilming, or copying to another medium)

The following activities are unallowable for all applications, except those from applicants located in federally declared disaster areas:

- reformatting of collections (for example, digitizing, photocopying, microfilming, or copying to another medium) or the purchase of equipment for reformatting (for example, computers, scanners, digital cameras, cassette decks, and CD-ROM drives)
- conservation or restoration treatments, or the purchase of conservation or restoration treatment equipment and supplies (for example, mending tape, erasers, and cleaning supplies)

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

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

E. Application Review Information

1. Review Criteria

Peer reviewers will use the following criteria to review applications in the Preservation Assistance Grants for Smaller Institutions program:

1. The significance of the collections and their use in education, research, or public programming in the humanities (corresponds to narrative sections B, C, and D)

- The humanities significance of the content and use of collections <u>that are the focus of the project</u>.

- The extent to which the applicant demonstrates a sufficient commitment to making its collections accessible for education, research, or public programming in the humanities, as evidenced by the number of days on which the institution is open to the public, the institutional capacity to support access and use, and the availability of staff for this purpose.
- For projects that address the special encouragement for [“A More Perfect Union”: NEH Special Initiative Advancing Civic Education and Commemorating the Nation's 250th Anniversary](#), the extent to which the applicant has described the relevance of the collections to the special initiative.

2. The strength of the proposed activities, the adequacy of the plan of work, and the justification of their importance to the institution (corresponds to narrative sections [A](#), [D](#),[E](#), [F](#), and [H](#))

- The extent to which the project contributes to the institution's capacity to preserve its collections and make them accessible.
- The feasibility and strength of the plan of work, timetable, and budget.
- If applicable, the extent to which the proposed supplies and equipment meet preservation standards.
- If applicable, the appropriateness of the workshop topics in relation to the applicant's needs.

3. The appropriateness of the experience and the qualifications of consultants and staff (corresponds to narrative section [G](#))

- The extent to which the roles of the consultants and staff are well explained.
- The extent to which the experience and qualifications of the consultants and staff are appropriate to the project's goals and implementation.
- For projects that address the special encouragement for [“A More Perfect Union”: NEH Special Initiative Advancing Civic Education and Commemorating the Nation's 250th Anniversary](#), the extent to which the experience and qualifications of the consultants are appropriate to the proposed planning activities

2. Review and Selection Process

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

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

3. Assessment of Risk and Other Pre-Award Activities

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

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

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

4. Anticipated Announcement and Award Dates

Applicants will be notified of funding decisions by email in August 2021 (for proposals submitted for the January 14, 2021 deadline) or August 2022 (for proposals submitted for the January 13, 2022 deadline). For successful applicants, this notification is not an authorization to begin performance or incur related costs. Applicants may request evaluations of their applications by emailing preservation@neh.gov.

F. Federal Award Administration Information

1. Federal Award Notices

Institutional grant administrators and project directors of successful applications will receive award documents from the NEH Office of Grant Management by email in August 2021 (for proposals submitted for the January 14, 2021 deadline) or August 2022 (for proposals submitted for the January 13, 2022 deadline).

2. Administrative and National Policy Requirements

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

Debarment, suspension, ineligibility, and voluntary exclusion certification

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

1) The prospective recipient certifies, by submission of this application, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
2) Failure to make required disclosures can result in any of the remedies described in 2 CFR §200.339, including suspension or debarment. (See also 2 CFR parts 180 and 3369).
3) Where the prospective recipient is unable to attest to the statements in this certification, an explanation must be included in Attachment 10: Explanation of delinquent federal debt.

Providing access to NEH-funded products

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

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

Copyright information

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

Acknowledging NEH support

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

Eliminate waste, fraud, and abuse

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

3. Reporting

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

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

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

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

questions regarding the recipient's overall experiences during the entire period of performance. Further information will be provided in the Notice of Action.

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

G. Agency Contacts

If you have questions about the program, contact:

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

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

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

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

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

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

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

Always obtain a case number when calling for support.

H. Other Information

Applicant resources

It is important to match the skills and experience of the consultant to the nature of the collections and the project's activities. The links below may provide information that assists in your search for an appropriate consultant.

- The American Institute for Conservation (AIC), the national membership organization of conservation professionals, offers a free guide to conservation services on its website. Visit AIC's website at www.culturalheritage.org.
- AIC also offers a Wiki and a website with conservation resources entitled CoOL (Conservation Online). The Foundation for Advancement in Conservation offers free preservation webinars through Connecting to Collections Care.
- The Regional Alliance for Preservation (RAP) is composed of regional conservation and preservation centers that offer preservation information, workshops, and assessments to libraries, archives, museums, and historical organizations. The staff at these organizations can offer advice or referrals. Visit RAP's website at www.rap-arcc.org.
- The Association for Library Collections & Technical Services (ALCTS), which is a division of the American Library Association, offers learning resources for managing and preserving library collections at http://www.ala.org/alcts/about.
- The American Alliance of Museums offers resources on standards and best practices for museum operations (including preservation) at https://www.aam-us.org/programs/ethics-standards-and-professional-practices/.
- The Academy of Certified Archivists promotes fundamental standards of professional archival practice and maintains an archival consultant referral service. Visit the academy's website at www.certifiedarchivists.org.

Institutions affected by natural disasters may wish to consult the following online resources, though this is not an exhaustive list.

Heritage Emergency National Task Force: https://www.fema.gov/media-collection/heritage-emergency-national-task-force

Alliance for Response: https://www.culturalheritage.org/resources/emergencies/alliance-for-response

General Resources:
https://culturalheritage.org/resources/emergencies/disaster-response-recovery
https://ccaha.org/emergency-planning-response
https://www.nedcc.org/free-resources/disaster-assistance/emergency-phone-assistance

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.