



NATIONAL ENDOWMENT FOR THE HUMANITIES

## **NOTICE OF FUNDING OPPORTUNITY**

### **Funding Opportunity Title: Preservation and Access Education and Training**

Funding Opportunity Number: 20210518-PE

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.149

**Application Due Date: May 18, 2021**

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

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

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

## Executive Summary

The National Endowment for the Humanities (NEH) Division of Preservation and Access is accepting applications for the Preservation and Access Education and Training program. The purpose of this program is to support the development of knowledge and skills among professionals responsible for preserving and establishing access to humanities collections. Awards are made to organizations that offer national, regional, or statewide education and training programs that provide the staff of cultural institutions with the knowledge and skills needed to serve as effective stewards of humanities collections.

Funding Opportunity Title:	Preservation and Access Education and Training
Funding Opportunity Number:	20210518-PE
Federal Assistance Listing Number:	45.149
Application Due Date:	May 18, 2021, 11:59 p.m. Eastern Time
Anticipated Announcement:	December 2021
Anticipated Total Annual Available FY 22 Funding:	Approximately \$2,200,000
Estimated Number and Type of Awards:	Approximately 12 grants
Funding Range:	Up to \$350,000
Cost Sharing/Match Required:	See <a href="#">B2. Summary of Funding</a> and <a href="#">C2. Cost Sharing</a> .
Period of Performance:	Three to five years for programs that grant graduate degrees in art conservation.  Up to three years for all other applicants.  All projects have a period of performance start date no earlier than March 1, 2022 and no later than September 1, 2022.
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 <a href="#">C. Eligibility Information</a> .
Program Resource Page:	<a href="https://www.neh.gov/grants/preservation/preservation-and-access-education-and-training">https://www.neh.gov/grants/preservation/preservation-and-access-education-and-training</a>
Pre-Application Webinar	April 6, 2021, 1:00 p.m. Eastern Time <a href="#">Join the webinar</a>

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# **A. Program Description**

## **1. Purpose**

This notice solicits applications for the Preservation and Access Education and Training program from the NEH Division of Preservation and Access.

The Preservation and Access Education and Training program supports the development of knowledge and skills among professionals responsible for preserving and establishing access to humanities collections. Thousands of libraries, archives, museums, and historical organizations across the country maintain important collections of books and manuscripts, photographs, sound recordings and moving images, archaeological and ethnographic artifacts, art and material culture collections, electronic records, and digital objects. The challenge of preserving and making accessible such large and diverse holdings is enormous, and the need for knowledgeable staff is significant and ongoing.

NEH makes Preservation and Access Education and Training awards to organizations that offer national, regional, or statewide education and training programs across the pedagogical landscape and at all stages of development, from early curriculum development to advanced implementation. Awards help the staff of cultural institutions, large and small, obtain the knowledge and skills needed to serve as effective stewards of humanities collections. Awards support projects that prepare the next generation of preservation professionals, as well as projects that introduce heritage practitioners to new information and advances in preservation and access practices.

The Preservation and Access Education and Training program supports activities such as:

- training offered by preservation field services, networks, and consortia, especially programs and activities targeting the needs of preservation and access practitioners at smaller libraries, museums, archives, and other cultural organizations;
- in-person and online continuing education opportunities that provide specialized or extended training in current preservation or access topics for staff responsible for the care of humanities collections; opportunities may be in the format of workshops, webinars, technical training, instructional series, postgraduate fellowships, apprenticeships, mentorships, and/or residencies;
- preservation and access-related educational initiatives that might include partnerships between academic and non-academic institutions; student financial support beyond tuition; curriculum development; speaker series; travel; and fellowships or internships toward a master's degree, such as library science, museum studies, and archival administration; and
- educational initiatives for programs that grant graduate degrees in art conservation; student financial support beyond tuition; curriculum development; speaker series; travel; and fellowships or internships toward a master's degree in art conservation.

Education and Training projects may address any topic — fundamental or advanced — associated with the work of preserving and providing access to humanities collections. Projects should identify needs within a localized network of institutions at a state or regional level, or more broadly at a national level. Project topics may include, but are not limited to, current areas of special interest such as:

- emergency preparedness, response, mitigation, and recovery;

- culturally appropriate practices for collections from under-represented communities, including but not limited to Native American, First Nations, and Indigenous communities, and other activities that support the educational needs of preservation and access practitioners in diverse institutional, geographic, educational, and demographic settings;
- preventive conservation and sustainable preservation strategies; and
- preservation techniques and access solutions for audiovisual, digital, and time-based media.

Applicants for any of the programmatic activities listed above may apply for funds to provide a one-year postgraduate fellowship for emerging preservation professionals. These fellowships aim to bridge the gap between completion of graduate training and full-time employment by offering specialized training in preservation and access topics and must be undertaken as part of one of the programmatic activities listed above. Applicants may request funding for one fellowship each year of the period of performance. The maximum stipend for a one-year fellowship is \$45,000; the award ceiling may not exceed \$350,000.

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

## 2. Background

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

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

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

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

## NEH Areas of Interest

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

### **“A More Perfect Union”: NEH Special Initiative Advancing Civic Education and Commemorating the Nation’s 250th Anniversary**

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

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

## **Standing Together**

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

## **Protecting our Cultural Heritage**

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

## **Special encouragement for applicants in federally declared disaster areas**

Mindful of the importance of preserving cultural heritage threatened by natural disasters, and recognizing the importance of planning, mitigation, and long-term recovery efforts, NEH encourages applications from, and projects that support, cultural institutions in [federally designated disaster areas](#). Project activities may include training sessions related to recovery efforts, development of regional mutual aid consortia, and workshops focused on emergency planning and response.

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 \$2,200,000 is expected to be available to fund twelve recipients. You may apply for a ceiling amount of up to \$350,000.

Programs that grant graduate degrees in art conservation may apply for up to \$250,000 in outright funds and up to \$100,000 in federal matching funds for a period of performance of not less than three years and up to five years. Programs that grant graduate degrees in art conservation requesting the full \$350,000 must submit a budget reflecting total project costs of

at least \$450,000 (\$250,000 in outright, \$100,000 in federal matching funds, and \$100,000 in required cost share for the federal matching funds).

All other applicants may apply for up to \$350,000 in outright funds, or a combination of outright and matching funds, not to exceed \$350,000 for a period of performance of up to three years.

Applicants for any programmatic activity may apply for funds to provide a one-year postgraduate fellowship for emerging preservation professionals. These fellowships aim to bridge the gap between completion of graduate training and full-time employment by offering specialized training in preservation and access topics. The fellowship must be undertaken as part of one of the programmatic activities described in [A1. Purpose](#). Applicants may request funding for one fellowship each year of the period of performance. The maximum stipend for a one-year fellowship is \$45,000; the award ceiling may not exceed \$350,000.

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

The period of performance start date for all applicants may be no earlier than March 1, 2022 and no later than September 1, 2022.

## **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.

An eligible entity may apply on behalf of a consortium of collaborating organizations. The lead applicant would be programmatically, legally and fiscally responsible for the award.

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

### **2. Cost Sharing**

Cost sharing is not required in this program, unless federal matching funds are requested. Applicants may use voluntary cost sharing for projects in which the total costs exceed the amount awarded by NEH.

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

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

When federal matching funds are requested, the recipient must raise dollar-for-dollar cash contributions from nonfederal third parties and have them certified by NEH before the funds are released (see NEH's [Federal Matching Fund Guidelines](#)). The full amount of federal matching

funds may not be available for release in the first year of a multi-year period of performance. Federal matching funds are typically distributed on an annual basis over the life of the award.

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

### **3. Other Eligibility Information**

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

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 [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 application package associated with the funding opportunity, and follow the instructions provided by Grants.gov unless otherwise noted below. The Grants.gov registration process is described in [D3. Unique Entity Identifier and System for Award Management](#).

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

To request a paper copy of this announcement, please contact [preservation@neh.gov](mailto:preservation@neh.gov).

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



## 2. Content and Form of Application Submission

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

### 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.

You must limit the narrative to twelve numbered single-spaced pages with one-inch margins and a font size no smaller than eleven point.

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

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

#### **1. Project impact and the significance of the humanities collections to be served (corresponds to [review criterion a](#))**

Discuss how the proposed project will support efforts to preserve or improve access to humanities collections. Describe how it will address specific national, regional, or statewide needs, and the breadth of its impact on preservation and access practices. Identify the kinds of institutions and communities that will benefit from practitioners participating in the proposed activities. In addition, describe the significance of the humanities collections that will benefit. Explain how this project relates to others of a similar nature that currently exist or have existed in the past. Clarify the degree to which this project will build on past work or break new ground. Estimate approximately how many practitioners would benefit from the proposed educational programs and services. If your proposal includes a combination of different types of activities, explain how each activity, either on its own or in tandem, contributes to meeting broader needs in the field.

#### **2. Methodology and work plan (corresponds to [review criteria b and f](#))**

Describe the educational activities that the project would support. Discuss which pedagogical method(s) you plan to employ and why. Explain how you would adopt recognized curricular and accepted professional training approaches, unless you are developing new curricula. Provide a summary of your work plan for each educational activity that you are proposing. If your project includes a combination of programmatic activities, provide a detailed work plan for each activity.

Include the following, as appropriate.

#### **Projects to support emergency planning, response, mitigation, and recovery**

Explain how the proposed project would support recovery and mitigation efforts in a federally declared disaster area. Include information about the nature of the damage to cultural heritage, existing preparedness and response activities, and ongoing needs in the area. Applicants must demonstrate an ability to work with public and private partners in relief efforts.

**Projects to support training programs offered by preservation field services, networks, and consortia**

Explain how the service or network would promote the care of humanities collections or improve the knowledge, skills, and abilities of staff in cultural heritage organizations. Incorporate a detailed account of each type of activity that will be implemented during the period of performance, including staff, procedures, fees, and number of institutions or participants who would benefit.

**Projects to support one-year postgraduate fellowships**

Demonstrate institutional commitment to supporting the postgraduate fellowship. Describe how the fellow will be mentored and outline the proposed activities the fellow would undertake.

**Projects to satisfy educational needs and to support activities of master's degree programs**

Explain how the proposed project would meet evolving needs in the field by supporting the education of the next generation of cultural heritage professionals who will care for humanities collections. Include the proposed curriculum, learning outcomes, and the structure and duration of the program. Explain the appropriateness of the chosen methods and program structure, the number of students who would benefit, and the level of funding that would support the students. Outline strategies for monitoring and evaluating project outcomes. Provide course outlines and the structure of the program in [Attachment 7: Additional supporting documentation](#).

**Projects to offer continuing education opportunities**

Describe the importance of the topic, the content of the curriculum, the intended audience (including prerequisites for attending and the cost of attending), the time and location of the program, and the program's expected outcomes. Explain how the program's structure is appropriate for the topics in question and the educational needs or level of the attendees. List any outputs or outcomes of the activities, including specialized training materials. Explain strategies to monitor project outcomes and how you would evaluate its impact. Provide detailed outlines and the program curriculum in [Attachment 7: Additional supporting documentation](#).

**3. Participant recruitment and outreach (corresponds to [review criterion c](#))**

Describe the process for selecting participants or students for educational activities supported under your project. Discuss the outreach you would conduct to attract new participants and how your recruitment strategy addresses needs in the field. Explain the selection criteria you would apply to ensure that participation matches those needs. Projects planning to recruit from minority or traditionally underserved communities should address how outreach strategies will be customized to reach those communities.

**4. Evaluation (corresponds to [review criterion d](#))**

Discuss how the recipient and participants will evaluate programs. Describe how the evaluation will measure the longer-term impacts of training on collection care and access and the professional expertise of participants. You may include detailed descriptions of assessment strategies, including sample survey instruments or other tools in [Attachment 7: Additional supporting documentation](#). If your project has previously received support, describe the outcomes and impact of the previously funded activities. NEH encourages thorough assessment strategies that seek to measure the outcomes of education and training efforts on preservation and access practices.

## 5. Staff, faculty, and consultants (corresponds to [review criteria e and f](#))

List the name, relevant professional expertise, and a brief description of responsibilities in a short paragraph for each person responsible for creating and conducting the programs, courses, symposia, workshops, or events.

<b>NARRATIVE GUIDANCE</b>	
To ensure that you fully address the review criteria, this table provides a crosswalk between the narrative language and where each section falls within the review criteria.	
<b><u>Narrative Section</u></b>	<b><u>Review Criteria</u></b>
1. <a href="#">Project impact and the significance of the humanities collections to be served</a>	a) the national, regional, or statewide impact of the proposed activities for improving preservation and access practices for humanities collections, along with the significance of the humanities collections that would be served
2. <a href="#">Methodology and work plan</a>	b) the soundness of the methodology and the program's structure and activities  f) the reasonableness of the project's budget in relation to anticipated results
3. <a href="#">Participant recruitment and outreach</a>	c) the proposed plan for reaching, recruiting, and selecting participants for educational activities
4. <a href="#">Evaluation</a>	d) the proposed plans to evaluate project activities and outcomes in relation to anticipated project impact
5. <a href="#">Staff, faculty, and consultants</a>	e) the training and experience of the staff in relation to the activity for which support is requested  f) the reasonableness of the project's budget in relation to anticipated results

## Research and Related Budget

Applicants must submit a project budget using the Research and Related Budget Form included 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.

Applicants requesting federal matching funds must submit a budget reflecting total project costs that include the one-to-one required cost share for the federal matching funds. As an example, a program that grants graduate degrees in art conservation requesting \$350,000 must submit a budget reflecting total project costs of at least \$450,000 (\$250,000 in outright funds, \$100,000 in federal matching funds, and \$100,000 in required cost share for the federal matching funds).

All of the items listed, whether supported by NEH funds or required cost sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of [2 CFR 200](#)

[Subpart E - Cost Principles](#), auditable, and incurred during the period of performance. 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. See [H. Indirect Costs](#).

## **Introductory Fields**

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

### **A. Senior/Key Person**

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

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

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

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

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

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

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

## **B. Other Personnel**

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

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

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

As a matter of programmatic policy, tuition remission is not allowed in this program.

### **Secretarial/Clerical**

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

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

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

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

### **Other Project Roles**

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

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

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

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

## **C. Equipment Description**

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

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

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

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

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

#### **D. Travel**

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

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

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

Total travel costs will be automatically calculated based on domestic and foreign travel costs.

Travel to Canada and Mexico is considered foreign travel.

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

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

Per [2 CFR §200.432](#), a conference is defined as a meeting, retreat, seminar, symposium, workshop, or event, the primary purpose of which is the dissemination of technical information



beyond the non-federal entity and is necessary and reasonable for successful performance under the federal award.

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

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

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

Leave this field blank.

### **2. Stipends**

List the total funds requested for participant stipends.

### **3. Travel**

List the total funds requested for participant travel. In [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 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 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 support costs described.

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

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

### **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 [L. Budget Justification](#), indicate general categories, including an amount for each category. Categories with amounts less than \$1,000 are not required to be itemized.

#### **2. Publication Costs**

List the total funds requested for publication costs. The proposed budget may request funds for the costs of documenting, preparing, publishing, or otherwise making available to others, the

findings and products of the work conducted under the award. Include supporting information in [L. Budget Justification](#).

### **3. Consultant Services**

List the total funds requested for all consultant services. Include the following information in [L. Budget Justification](#), as applicable:

- each consultant, the services he/she will perform, total number of days, travel costs, and the total estimated costs; 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 [L. Budget Justification](#), include the established computer service rates at the proposing organization, if applicable. If such services are provided by a third-party, include them in [line 5 Subawards/Consortium/Contractual Costs](#).

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

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

Per [2 CFR §§200.1](#) and [331\(a\)](#), *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. In determining whether an agreement between a pass-through entity and another non-federal entity casts the latter as a subrecipient or a contractor, the substance of the relationship is more important than the form of the agreement. See [2 CFR §200.331\(c\)](#).

This line 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 8: Federally negotiated indirect cost rate agreement](#).

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

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

List the total funds requested for rental/user fees for equipment and/or facilities. In [L. Budget Justification](#), identify and justify each rental/user fee.

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



Per [2 CFR §200.432](#), allowable conference costs may include rental of facilities.

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

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

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

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

## **7. Alterations and Renovations**

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

## **8-10. Other**

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 [L. Budget Justification](#) to further itemize and justify. "Miscellaneous" and "contingency" are not acceptable budget categories.

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

## **G. Total Direct Costs**

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

## H. Indirect Costs

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

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

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.

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 of 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 8: Federally negotiated indirect cost rate agreement](#).

**Indirect Cost Type**

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

**Indirect Cost Rate (%)**

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

**Indirect Cost Base (\$)**

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

**Funds Requested (\$)**

Enter the funds requested for each indirect cost type.

**Total Indirect Costs**

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

**Cognizant Federal Agency**

Enter the name of the cognizant federal agency.

**I. Total Direct and Indirect Costs**

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

**J. Fee**

Leave this field blank,

**K. Total Costs and Fee**

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

**L. Budget Justification**

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

Provide the additional information requested in each budget category identified above and any other information you wish to submit to support the budget request. The budget justification must specifically describe how costs have been calculated and 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.

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.

If you are requesting federal matching funds, required cost share must be included on the Research and Related Budget form. Identify the activities to be covered by such funds in the budget justification, describe your contributions to the project here. The total federal matching funds and cost share should be equal to the amounts indicated on the [Supplementary Cover Sheet for NEH Grant Programs](#) in the “Federal Matching” and “Cost Sharing” fields.

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

## 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
<a href="#">SF-424 Application for Federal Assistance - Short Organizational</a>	Grants.gov form		Required
<a href="#">Supplementary Cover Sheet for NEH Grant Programs</a>	Grants.gov form		Required
<a href="#">Project/Performance Site(s) Location Form</a>	Grants.gov form		Required
<a href="#">Research and Related Budget</a>	Grants.gov form		Required
<a href="#">Attachments Form</a>	Grants.gov form		Required
<a href="#">Certification Regarding Lobbying</a>	Grants.gov form		Conditionally required
<a href="#">Standard Form-LLL “Disclosure of Lobbying Activities”</a>	Grants.gov form		Conditionally required
<a href="#">Attachment 1: Narrative</a>	narrative.pdf	12	Required
<a href="#">Attachment 2: List of project personnel</a>	personnel.pdf		Required
<a href="#">Attachment 3: Résumés and job descriptions</a>	resumes.pdf		Required
<a href="#">Attachment 4: Work plan</a>	workplan.pdf		Required
<a href="#">Attachment 5: Letters of commitment and support</a>	letters.pdf		Conditionally required
<a href="#">Attachment 6: History of support</a>	history.pdf		Conditionally required
<a href="#">Attachment 7: Additional supporting documentation</a>	documentation.pdf	40	Conditionally required

<a href="#">Attachment 8: Federally negotiated indirect cost rate agreement</a>	agreement.pdf		Conditionally required
<a href="#">Attachment 9: Explanation of delinquent federal debt</a>	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). 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 starting dates are on the first day of a month. All ending dates are on the last day of a month.

### **7. Project Director**

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

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

Provide the contact information for the official responsible for the administration of the NEH award (that is, negotiating the project budget and ensuring compliance with the terms and

conditions of the award). This person is often a grants administrator or sponsored programs official.

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

### **9. Authorized Representative**

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

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

Provide the following information:

### **1. Project Director**

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

### **2. Institutional Information**

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

### **3. Project Funding**

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

### **4. Application Information**

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

For Type of Application, check "new."

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

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

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



## **Certification Regarding Lobbying**

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

## **Standard Form-LLL, “Disclosure of Lobbying Activities”**

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

## **Attachments Form**

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

## **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: List of project personnel (required)**

List in alphabetical order, surnames first, all project personnel and collaborators and their institutional affiliations. This list should include advisory board members and authors of letters of support, if applicable.

Name the file personnel.pdf.

**Attachment 3: Résumés and job descriptions (required)**

Include résumés for persons occupying the key positions described in the budget, not to exceed two pages in length per person. In the event that a biographical sketch is included for an identified individual who is not yet hired, include a letter of commitment from that person with the biographical sketch. If you are hiring additional staff to work on the project, include a job description in this attachment. Name the file resumes.pdf.

**Attachment 4: Work plan (required)**

Describe the activities or steps that you will use during the period of performance to achieve each of the objectives proposed. Use a timeline that includes each activity and identifies responsible staff. Explain how outcomes from one activity will carry over into the next. For each activity, specify the project team members involved. For multi-institutional collaborative projects, discuss the distribution of responsibilities across each institution. As appropriate, identify meaningful support and collaboration with key stakeholders in planning, designing, and implementing all activities.

Name the file workplan.pdf.

**Attachment 5: Letters of commitment and support (conditionally required)**

If your project involves partner or service providers, provide letters of commitment. Letters of support are not required, but are highly recommended. They should address the project's significance and the program's review criteria, and should be written by experts in the project's subject area. Authors of letters of support will not participate in the NEH review process.

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

Name the file letters.pdf.

**Attachment 6: History of support (conditionally required)**

If the project has received support from any federal or nonfederal sources, including NEH, list on one page the sources, dates, and amounts of these awards. If the project has a long history of support, the sources and contributions may be grouped and summarized.

Name the file history.pdf.

**Attachment 7: Additional supporting documentation (optional)**

Applicants may include other relevant documents to support the application.

Consider including documents such as:

- course syllabi or outlines



- a profile or brief history of the applicant organization
- detailed descriptions of evaluation strategies and samples of assessment tools
- sample application forms for continuing education training or workshop participants
- relevant excerpts from strategic planning documentations
- a list of the expected knowledge, skills, and abilities required for a prospective one-year postgraduate fellow and the selection criteria for choosing the fellow

Documentation may not exceed 40 pages. Merge all relevant materials into a single document and name the file documentation.pdf.

### **Attachment 8: 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 9: Explanation of delinquent federal debt (conditionally required)**

If the applicant institution 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 registration 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. You will be required to review and agree to the Financial Assistance Representations and Certifications when registering or renewing in SAM.gov. These are a common set of certifications and representations required by federal statutes or regulations in accordance with Title 2 of the Code of Federal Regulations. You can review your organization's SAM registration [here](#).

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

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

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

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

Program officers will review draft proposals submitted by April 13, 2021. Program officers cannot review drafts submitted after this deadline. Although this optional preliminary review is not part of the formal review process and has no bearing on the final outcome of the proposal, previous applicants have found it helpful in strengthening their applications. If you choose to submit a draft proposal, send it as an attachment to [preservation@neh.gov](mailto:preservation@neh.gov).

The due date for applications under this announcement is May 18, 2021 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 PE- 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 intended primarily for audiences within a single institution or organization (museums, libraries, and archives that seek support to send their staff to preservation workshops should apply to [Preservation Assistance Grants for Smaller Institutions](#))
- projects on the care and management of collections that are the responsibility of an agency of the federal government or are not regularly accessible for research, education, or public programming
- projects about the preservation of buildings or the natural environment
- projects primarily pursuing research in the development of preservation standards or best practices (applicants seeking support to conduct this sort of research should apply to the [Research and Development](#) program)
- tuition remission or tuition for degree-granting programs
- doctoral programs
- the support of either full-time or permanent faculty positions in graduate programs
- promotion of a particular political, religious, or ideological point of view
- advocacy of a particular program of social or political action
- support of specific public policies or legislation
- lobbying
- projects that fall outside of the humanities and the humanistic social sciences (including the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; and quantitative social science research or policy studies)

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

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

## E. Application Review Information

### 1. Review Criteria

Peer reviewers will use the following criteria to review applications in the Preservation and Access Education and Training program:

- a) **The national, regional, or statewide impact** of the proposed activities for improving preservation and access practices for humanities collections, along with the significance of the humanities collections that would be served (corresponds to narrative section 1 “[Project impact and the significance of the humanities collections to be served](#)”)
- b) The **soundness of the methodology** and the program’s structure and activities (corresponds to narrative section 2 “[Methodology and work plan](#)”)
- c) The **proposed plan for reaching, recruiting, and selecting participants** for educational activities (corresponds to narrative section 3 “[Participant recruitment and outreach](#)”)
- d) The **proposed plans to evaluate project activities and outcomes** in relation to anticipated project impact (corresponds to narrative section 4 “[Evaluation](#)”)
- e) The **training and experience of the staff** in relation to the activities for which support is requested. The capabilities of the applicant organization and the quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project. (corresponds to narrative section 5 “[Staff, faculty, and consultants](#)”)

- f) The **reasonableness of the project's budget** in relation to the objectives and anticipated results. The extent to which costs, as outlined in the budget, are reasonable given the scope of work. The extent to which key personnel will devote an adequate amount of time to the project to achieve project objectives. (corresponds to narrative sections 2 and 5, "[Methodology and work plan](#)" and "[Staff, faculty, and consultants](#)," and the [Research and Related Budget](#))

## **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 comment on matters of fact or on significant issues that otherwise would be missing from peer reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at least twice annually to advise the NEH Chairman. The Chairman considers the advice provided by the review process and, by law, makes all funding decisions. [Learn more about 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 December 2021. For successful applicants, this notification is not an authorization to begin performance or incur related costs. Applicants may request evaluations of their applications by emailing [preservation@neh.gov](mailto:preservation@neh.gov).

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

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

Institutional grants administrators and project directors of successful applications will receive award documents from the NEH Office of Grant Management by email in January 2022.

## 2. Administrative and National Policy Requirements

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

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

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

- 1) The prospective recipient certifies, by submission of this application, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- 2) Failure to make required disclosures can result in any of the remedies described in [2 CFR §200.339](#) including suspension or debarment. (See also 2 CFR parts [180](#) and [3369](#)).
- 3) If the prospective recipient is unable to attest to the statements in this certification, an explanation must be included in [Attachment 9: Explanation of delinquent federal debt](#).

### Providing access to NEH-funded products

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

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

### Copyright information

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

### Acknowledging NEH support

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

### Principles of Civility

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

## Eliminate waste, fraud, and abuse

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

## Guidance from the Office of Management and Budget

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

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

## 3. Reporting

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

- 1.) **Federal Financial Report(s).** Recipients must submit the Federal Financial Report (SF-425) on an annual basis.
- 2.) **Performance Progress Report(s).** Recipients must submit a performance progress report to NEH on an annual basis.
- 3.) **Final Reports.** Recipients must submit a final 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.

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](mailto: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  
[grantmanagement@neh.gov](mailto: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, 8:00 a.m. to 8:00 p.m. Eastern Time, at:

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

For assistance in registering with or submitting your application through Grants.gov, 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](mailto:support@grants.gov)

Always obtain a case number when calling for support.

## **H. Other Information**

### **Privacy policy**

Information in this Notice of Funding Opportunity is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, [20 U.S.C. 956, et seq.](#) The principal purpose for which the information will be used is to process the application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.

## **Application completion time**

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

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