NATIONAL ENDOWMENT FOR THE HUMANITIES

NOTICE OF FUNDING OPPORTUNITY

Funding Opportunity Title: Research and Development

Funding Opportunity Number: 20200515-PR

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.149

Application Due Date: May 15, 2020

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

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 Research and Development program. The purpose of this program is to support projects that address major challenges in preserving or providing access to humanities collections and resources. Research and Development offers two funding tiers in order to address projects at all stages of development and implementation.

Funding Opportunity Title:	Research and Development
Funding Opportunity Number:	20200515-PR
Federal Assistance Listing Number (CFDA):	45.149
Application Due Date:	May 15, 2020, 11:59 p.m. Eastern Time
Anticipated Announcement:	December 2020
Anticipated Total Annual Available FY 21 Funding:	$1,200,000
Estimated Number and Type of Award(s):	Up to 6 grants
Funding Range:	Tier I: up to $75,000 Tier II: up to $350,000
Cost Sharing/Match Required:	No
Period of Performance:	Tier I: up to two years Tier II: up to three years All projects start March 1, 2021.
Eligible Applicants:	Eligible applicants include U.S. nonprofit organizations with 501(c)(3) tax-exempt status, accredited public and 501(c)(3) 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/research-and-development
Pre-Application Webinar:	April 1, 2020 2:00-3:00 pm Eastern Time https://register.gotowebinar.com/register/1472710468990843661

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A. Program Description

1. Purpose

This notice solicits applications for the National Endowment for the Humanities (NEH) Division of Preservation and Access Research and Development program.

The Research and Development program supports projects that address major challenges in preserving or providing access to humanities collections and resources. These challenges include the need to find better ways to preserve materials of critical importance to the nation's cultural heritage—from fragile artifacts and manuscripts to analog recordings and digital assets subject to technological obsolescence—and to develop advanced modes of organizing, searching, discovering, and using such materials.

This program supports projects at all stages of development, from early planning and stand-alone studies, to advanced implementation. Research and Development projects contribute to the evolving and expanding body of knowledge for heritage practitioners, and for that reason, outcomes may take many forms. Projects may produce any combination of laboratory datasets, guidelines for standards, open access software tools, workflow and equipment specifications, widely used metadata schema, or other products.

Research and Development supports work on the entire range of humanities collection types including, but not limited to, moving image and sound recordings, archaeological artifacts, born digital and time-based media, rare books and manuscripts, material culture, and art. Applicants must demonstrate how advances in preservation and access through a Research and Development project would benefit the cultural heritage community by supporting humanities research, teaching, or public programming.

Research and Development projects are encouraged to address one or more of the following areas of special interest:

- **Preserving our audiovisual and digital heritage.** Research and Development supports ongoing work to address the needs of collection formats most at risk of obsolescence. Projects may consider addressing issues such as format degradation, preservation work at scale, algorithmic and machine learning methodologies, storage, data appraisal, and curation.
- **Conserving our material past.** Research and Development supports the scientific work to improve the conservation treatment and preventive care of cultural heritage.
- **Protecting our cultural heritage.** Research and Development supports the development of tools, methods, technologies, or workflows for documenting, sharing, visualizing, and presenting lost or imperiled cultural heritage materials. Learn more about [Protecting our Cultural Heritage](#).
- **Reaching under-represented communities.** Research and Development supports work in making preservation and access activities more accessible, sustainable, and manageable for institutions with limited capacities and access to humanities collections, including persons with disabilities. NEH especially encourages projects that address and/or include as lead applicants and project partners institutions representing minority and indigenous communities.

Given the complexities of preserving and providing access to humanities collections, this program recognizes the importance of forming interdisciplinary project teams by bringing together participants with expertise in the humanities, preservation, information and computer science, and natural science. The exact mix of specialists will depend on the nature of the project. Your project team should embody a well-defined humanities perspective that can frame your objectives and guide the project to successful completion. Such a perspective may be provided by members of an advisory committee, consultant(s), a project co-director, or another participant.

Award recipients are expected to communicate the results of their work to appropriate scholarly and public audiences. Recipients must also submit a white paper documenting lessons learned in the course of their projects, so that others can benefit from their experiences. White papers will be posted on the NEH website.

Unallowable activities are described in section D6. Funding Restrictions.

Funding categories

Research and Development offers two funding tiers in order to address projects at all stages of development and implementation.

Tier I: Planning, Basic Research, or Adaptation

Tier I provides awards of up to $75,000 for a period of performance of up to two years. This tier supports the following activities:

- Planning and preliminary work for large-scale research and development projects. Proposals must identify one or more project deliverables, such as the creation of an action agenda, work plan, published report, draft standard, or software prototype, that prepares the project team for subsequent stages of work.
- Discrete research projects such as case studies or laboratory experiments.
- Refinements to established standards, models, and tools.
- Adaptation or application of new or recently updated standards, methodologies, tools and equipment, or workflows for targeted institution types and audiences, helping to ensure broad adoption by the field. Activities may take many forms and may include, but are not limited to, any combination of: workshops, symposia, forums, documentation, user testing, public demonstrations, online resources and tutorials, websites, or publications.

Tier I projects may be stand-alone studies that do not involve planning or preliminary research for a larger project. Nevertheless, they must address research issues or problems in the cultural heritage field.

Tier II: Advanced Implementation

Tier II provides awards of up to $350,000 for a period of performance of up to three years. This level supports projects at a more advanced stage of implementation for the following activities:

- Development of standards, practices, methodologies, or workflows for preserving and creating access to humanities collections.
- Applied research addressing preservation and access issues concerning humanities collections.

Tier II projects must demonstrate significant planning and preliminary research in one or more relevant fields. Support for that planning might come from NEH, from other federal or foundation awards, or from an institution's own funds.

Successful completion of a Tier I project is not a prerequisite for applying for a Tier II award.

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 the National Endowment for the Humanities, 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.

B. Federal Award Information

1. Type of Application and Award

Type of applications sought: new.

NEH will provide funding in the form of grants.

2. Summary of Funding

Approximately $1,200,000 is expected to be available to fund up to six recipients. You may apply for a ceiling amount of up to $75,000 for Tier I awards and $350,000 for Tier II awards.

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

The period of performance is up to two years for Tier I awards and up to three years for Tier II awards. All awards will have a start date of March 1, 2021.

C. Eligibility Information

1. Eligible Applicants

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

Foreign and for-profit entities and individuals 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 nonfederal third parties, without charge, to the recipient of the federal award.

When federal matching funds are requested, the recipient must raise cash contributions from nonfederal third parties and have them certified by NEH before the funds are released (see NEH's Federal Matching Funds 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 for additional information.

3. Other Eligibility Information

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

An institution whose project has received NEH support may apply for a grant for a new or subsequent stage of that project. Such proposals receive no special consideration and will be judged by the same criteria as others in the competition. The applicant institution must describe how the previously funded project met its goals.

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

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

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 §200.92 and 2 CFR §200.330(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, 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 Research and Development 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. 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. Individuals with a variety of professional backgrounds will read these applications and advise NEH on their merits. Project narratives should therefore be written with a minimum of technical jargon. Narratives should be succinct, self-explanatory, and well organized.

Limit the narrative for Tier I projects to ten single-spaced pages. Limit the narrative for Tier II projects to fifteen single-spaced pages.

All pages should have one-inch margins, and the font size should be no smaller than eleven point. Use attachments to provide supplementary material.

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.

1. Significance to the humanities (corresponds to Review Criterion 1)

Explain the preservation and access research challenge to be addressed and how the cultural heritage field would benefit from the proposed solutions. Consider which types of humanities collections or resources, as well as institutions, would benefit from improvements to preservation and access practices. Clearly identify the project outcomes and describe how those outcomes would support enhancements to conducting humanities research, education, or public programming. Indicate, if possible, how project outcomes might serve the humanities needs of under-represented communities.

2. Preservation and access research impact (corresponds to Review Criterion 1)

Discuss how your project relates to other work in the preservation field and how your proposed outcomes would contribute to advancing specific theories or practices. Discuss the intended practitioner audience that would benefit most from project outcomes and your plans to disseminate project results to that audience. Explain the anticipated adoption or integration of project outcomes by targeted practitioners. For projects requesting funding for extensive audience engagement to ensure successful impact, you may include a detailed dissemination plan in Attachment 10: Additional supporting documentation. You will provide a bibliography and environmental scan in Attachment 4: Bibliography and environmental scan.

3. Project history, scope, and duration (corresponds to Review Criteria 1 and 3)

Provide a concise history of the project, including information about previous research or planning. Indicate what has been accomplished in previous phases of the project and the degree to which it has met its established goals. Any publications, in print or electronic form, that have already been produced should be listed in Attachment 4: Bibliography and environmental scan. In the case of online projects, include a Web address and metrics that would demonstrate the project's significance to its field.

If funding is requested for a component of a larger project that will not be completed in its entirety during the requested period of performance, describe the scope and duration of the entire project and distinguish how accomplishments or products intended for this phase would contribute to the overall effort.

4. Methodology (corresponds to Review Criterion 2)

Discuss the procedures and standards that will be followed in carrying out the project.

In discussing your methodology, consider the following:

- **Developmental or Experimental Methodology:** Discuss the methodological approach that you will employ to accomplish project objectives. Indicate any programming languages, platforms, software, or other applications you will employ to assist you with executing your project methodology.
- **Collections Handling:** For projects working directly with a humanities collection as a test bed, discuss efforts to ensure proper handling and, if applicable, preservation.
- **Data Capture:** Describe which instruments and tools will be used to capture or generate data and efforts to ensure data integrity.
- **Intellectual Property and Privacy:** Discuss the management of intellectual property or privacy permissions necessary to ensure the availability of the project's results—for example, proprietary technologies or licensed software. You must already have obtained permissions in matters concerning intellectual property, and you must provide any pertinent documentation in Attachment 10: Additional supporting documentation.

5. Work plan (corresponds to Review Criteria 2, 3, and 6)

Summarize your work plan, including a high-level schedule indicating what will be accomplished during each stage of the project. Provide a detailed version of your work plan in Attachment 6: Work plan.

6. Institutional profile and project staff (corresponds to Review Criteria 5 and 6)

Explain the applicant institution's capabilities for conducting the project, including its possession of the necessary technical infrastructure and scientific facilities. Describe the institution's experience in areas related to the project. Discuss the capabilities of any collaborating institutions or organizations.

Discuss the disciplinary and professional makeup of the project team as it pertains to project objectives and proposed activities.

Describe the staff members' duties and their qualifications for those duties. Indicate the amount of time that the principal members of the project's staff will devote to the project.

If the project has an advisory board, please explain the board's function and identify the responsibilities of key members. Please provide the names and affiliations of all project personnel, advisory board members, and consultants in Attachment 2: List of project personnel.

Explain how community perspectives and representation would be incorporated in the proposed activities and decision-making process. In the case of Native American groups, indicate how your staffing plan (and other project components) will facilitate adherence to the NEH Code of Ethics Relating to Native Americans.

7. Evaluation and sustainability (corresponds to Review Criteria 4 and 6)

Provide a detailed plan for evaluating the outcomes of the project. If you plan on conducting quantitative or scientific analysis or a survey, explain in general terms the methods that you will use to implement and evaluate your results.

Describe your plan for the long-term preservation of project deliverables.

Discuss measures to ensure appropriate storage, retrieval, and preservation for data generated in the course of your project. Provide information about personnel training, storage systems, data standards, migration plans, and infrastructural capacity as needed. For data intensive projects, you may find it helpful to format your discussion of sustainability as a data management plan. You can find information about the data management plans required by the NEH Office of Digital Humanities for some of its grant programs here. Include a data management plan in Attachment 10: Additional supporting documentation.

If you are requesting complete or partial funding for the development, acquisition, preservation, or enhancement of geospatial data, products, or services, you must comply with Article 34 of the General Terms and Conditions for Awards.

In cases in which further research or development is anticipated, describe plans for additional project phases, as well as plans to secure outside support or community participation.

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
1. Significance to the humanities	#1
2. Preservation and access research impact	#1
3. Project history, scope, and duration	#1, 3
4. Methodology	#2
5. Work plan	#2, 3, 6
6. Institutional profile and project staff	#5, 6
7. Evaluation and sustainability	#4, 6

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. If no funds are requested for a required field, enter "0." 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 employed by the applicant organization who are involved in the project.

Indicate the name and project role of each senior/key person. 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 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 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 automatically calculate 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. 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 (if known), 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 (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 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. Enter the information in a separate file and attach it as a PDF. List 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 §200.474, 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 unless the purpose of attending is to disseminate project-related findings.

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

Section E. Participant/Trainee Support Costs

Per 2 CFR §200.75, 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 whose primary purpose 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, and staff on ships).

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.

2. Publication Costs

List the total funds requested for publication costs. The proposal 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 to be performed.

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 §§200.330 and 331 for additional information.

Per 2 CFR §§200.92 and 330(a), s*ubaward* means an award provided by a pass-through entity (the recipient) to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor (as defined in 2 CFR §200.23) 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 7: Federally Negotiated Indirect Cost Rate Agreement.

Contractual costs as defined in 2 CFR §§200.22 and 330(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.

Other considerations for projects that include facility rental for conferences

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: 'place of public accommodation affecting commerce' means any inn, hotel, or other establishment 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. 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.

Organizations that wish to include indirect costs in the budget but have **never** had 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 §200.68, modified total direct costs 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). Modified total direct costs excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $25,000. If you choose one of these three options, indicate on the budget form which option you are choosing.

If you are claiming indirect costs, include a copy of your federally negotiated indirect cost rate agreement as Attachment 7: Federally Negotiated Indirect Cost Rate Agreement.

Indirect Cost Type

Enter the type of indirect cost (e.g., Other Sponsored Activities (OSA), All Programs, Instruction, 10% de minimis, etc.) and base (e.g., Salaries, Salaries & Fringe, MTDC, etc.) and whether the activity and rate are offsite 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 in Section H. Indirect Costs.

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 Section J. Fee.

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 should 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 F&A 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.

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 Short Organizational	Not applicable (Grants.gov form)		Required
NEH Supplemental Cover Sheet	Not applicable (Grants.gov form)		Required
Project/Performance Site Location(s) Form	Not applicable (Grants.gov form)		Required
Research and Related Budget	Not applicable (Grants.gov form)		Required
Certification Regarding Lobbying	Not applicable (Grants.gov form)		Conditionally required
Standard Form-LLL, Disclosure of Lobbying Activities	Not applicable (Grants.gov form)		Conditionally required
Attachments Form	Not applicable (Grants.gov form)		Required
Attachment 1: Narrative	narrative.pdf	Tier I: 10 Tier II: 15	Required
Attachment 2: List of project personnel	personnel.pdf		Required
Attachment 3: Résumés for key personnel	resumes.pdf	2 pages each	Required
Attachment 4: Bibliography and environmental scan	bibliography.pdf		Required
Attachment5: Work plan	workplan.pdf		Required
Attachment6: History of support	history.pdf		Conditionally required
Attachment 7: Federally negotiated indirect cost rate agreement	agreement.pdf		Conditionally required
Attachment 8: Explanation of delinquent federal debt	delinquentdebt.pdf		Conditionally required

Attachment 9: Letters of commitment and support	letters.pdf		Conditionally required
Attachment 10: Additional supporting documentation	documentation.pdf		Optional

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 start on March 1, 2021. All ending dates are on the last day of a month.

7. Project Director

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

Certification Regarding Lobbying

Applicants requesting awards greater than $100,000 must complete and submit the Certification Regarding Lobbying.

Standard Form-LLL, "Disclosure of Lobbying Activities"

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

Attachments Form

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

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.

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

Note the following Grants.gov file naming conventions: 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. This may result in NEH rejecting your application as incomplete. It is your responsibility to ensure that all required components are properly 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: List of project personnel (required)

List in alphabetical order, surnames first, all project participants, consultants, members of the project's advisory board (if there is one), and authors of letters of support; include the institutional affiliations of all of these individuals. The list is used to ensure that prospective reviewers have no conflict of interest with the projects that they will evaluate.

Name the file personnel.pdf.

Attachment 3: Résumés for key personnel (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.

Name the file resumes.pdf.

Attachment 4: Bibliography and environmental scan (required)

Include a brief bibliography of relevant sources, including publications produced in current or previous phases of the project, as well as an in-depth environmental scan (or a field or literature review). In the case of online projects, include a web address and metrics that would demonstrate the project's significance.

Name the file bibliography.pdf.

Attachment 5: Work plan (required)

Describe in detail the activities or steps that you will use during the period of performance to achieve each of the objectives proposed in the Methodology section. Use a timeline that includes each activity and identifies responsible staff. Separate complex procedures into a coherent set of activities. 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 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.

The the file history.pdf.

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

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

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

If you are delinquent in the repayment of any federal debt, provide explanatory information on a separate page or pages. 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 student loans, delinquent payroll or other taxes, audit disallowances, and benefit overpayments. See OMB Circular A-129.

Name the file delinquentdebt.pdf.

Attachment 9: 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. Letters of support should address the project's significance and should be written by experts in the project's subject area, proposed methodology, or technology. 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 letter writers.

Name the file letters.pdf.

Attachment 10: Additional supporting documentation (optional)

As relevant, you may include the following:

- a data management plan
- representative samples of the final or anticipated form of the work
- permissions in matters concerning intellectual property
- results from previous or preliminary work such as screenshots, reports, or collected data
- job descriptions for any additional staff who will be hired specifically to work on the project
- dissemination plan

Name the file documentation.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 e-mail address associated with their current SAM.gov user account. Using the same e-mail address allows SAM.gov to automatically migrate your roles. If a different e-mail address is provided, your roles will need to be reassigned. This could cause delays in renewing or updating your SAM.gov registration. As of February 2, 2019, you will be required to review and agree to the Financial Assistance Representations and Certifications when registering or renewing in SAM.gov. These are a common set of certifications and representations required by federal statutes or regulations in accordance with Title 2 of the Code of Federal Regulations. You can review your organization's SAM registration here.

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 10, 2020. Program staff cannot respond to 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.

The due date for applications under this announcement is May 15, 2020 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 "PR" 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 12373.

6. Funding Restrictions

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

- projects not focused on preservation and access activities for humanities collections
- projects involving digital technologies that do not focus on addressing major challenges to, and advancing standards and practices for, preserving and providing access to humanities collections and resources
- restoration of historic structures, the preservation of the built environment, or the stabilization of archaeological sites
- projects primarily directed at enhancing the preservation of and access to a specific collection or the holdings of a specific institution or projects intending solely to arrange and describe, digitize, or reformat a humanities collection (or to create a reference resource such as an encyclopedia or atlas)
- 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 (including the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; and empirically based social science research or policy studies)

Program Income

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 Research and Development program:

1: The **significance and potential impact** of the project for advancing preservation and access practices. The likely benefits of the project for humanities research, education, or public programming. Corresponds to narrative sections 1, 2, and 3.

2: The **soundness of the methodology**, including its adherence to accepted professional and technical standards of practice. Corresponds to narrative sections 4 and 5, Attachment 4: Bibliography and environmental scan, and Attachment 5: Work plan.

3: The **viability, efficiency, and productivity of the project**, as well as the proposed strategy for managing the project as indicated by the work plan. Corresponds to narrative sections 3 and 5 and Attachment 5: Work plan.

4: The **feasibility and effectiveness of plans for evaluating and sustaining project results**, the extent to which project results may be national in scope, and the degree to which the project activities are replicable. The sustainability of the program beyond the federal funding, including evaluating projects results and sustaining project outcomes. Corresponds to narrative section 7 and Attachment 5: Work plan.

5: The **qualifications and expertise** of the project's 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 6, Attachment 2: List of project personnel, and Attachment 3: Résumés for Key Personnel.

6: The **reasonableness of the proposed budget** in relation to the objectives, the complexity of the proposed activities, and the 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 5, 6, and 7.

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 §200.205).

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 e-mail in December 2020. 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 e-mail in January 2021.

2. Administrative and National Policy Requirements

Awards are subject to 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and the General Terms and Conditions for Awards to Organizations (for grants and cooperative agreements issued December 26, 2014 or later), and the specific terms and conditions in the Notice of 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 §200.338, 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 8: Explanation of delinquent federal debt.

Providing access to NEH-funded products

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

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

Copyright information

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

Acknowledging NEH support

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

NEH Research Misconduct Policy

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

Eliminate Waste, Fraud, and Abuse

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

3. Reporting

Recipients must comply with the following reporting and review activities:

1.) **Federal Financial Report**. Recipients must submit the Federal Financial Report (SF-425) on an **annual** basis. It must be completed online in eGMS Reach. 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. It must be completed online in eGMS Reach. 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 90 calendar days after the period of performance ends. The final performance report collects information relevant to program specific goals and progress on strategies; impact of the overall project; the degree to which the recipient achieved the mission, goal and strategies outlined in the approved application; recipient objectives and accomplishments; barriers encountered; and responses to summary questions regarding the recipient's overall experiences during the entire period of performance. The final reports must be submitted online in eGMS Reach. Further information will be provided in the Notice of Action.

4.) **Tangible Personal Property Report**. If applicable, recipients must submit the Tangible Personal Property Report (SF-428) and any related forms within 90 calendar days after the period of performance ends. Recipients are required to report all equipment with an acquisition cost of $5,000 or more per unit purchased with NEH funds. Tangible personal property reports must be submitted online through eGMS Reach. Further information will be included in the Notice of Action.

5.) **White Paper**. Recipients must submit a white paper within 90 calendar days after the period of performance ends. This white paper must document the project, including lessons learned, so that others can benefit. This white paper will be posted on the NEH website.

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 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:

The 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

Related Funding Opportunities

Projects primarily directed at enhancing the preservation of and access to a *specific* collection or the holdings of a specific institution **or** projects intending to arrange and describe, digitize, or reformat a humanities collection (or to create a reference resource such as an encyclopedia or atlas) should apply to the Humanities Collections and Reference Resources program.

Projects focused on preserving humanities collections by employing sustainable preventive conservation strategies should apply to the Sustaining Cultural Heritage Collections program.

Projects aimed at researching the restoration of historic structures, the preservation of the built environment, or the stabilization of archaeological sites should consider the Infrastructure and Capacity Building Challenge Grants program.

Projects involving digital technologies that do not focus on addressing major challenges to, and advancing standards and practices for, preserving and providing access to humanities collections and resources should consider the Digital Humanities Advancement Grants or the Humanities Collections and Reference Resources programs.

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.