



NATIONAL ENDOWMENT FOR THE HUMANITIES

NOTICE OF FUNDING OPPORTUNITY

**Funding Opportunity Title:
Scholarly Editions and Scholarly Translations**

Funding Opportunity Number: 20201202-RQ

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.161

**Application Due Dates:
December 2, 2020
December 1, 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 Research Programs
Telephone: 202-606-8200
Email: editions@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 Research Programs is accepting applications for the Scholarly Editions and Scholarly Translations program. The purpose of this program is to support collaborative teams who are editing, annotating, and translating foundational humanities texts that are vital to learning and research but are currently inaccessible or are available only in inadequate editions or translations. Typically, the texts are significant literary, philosophical, and historical materials, but other types of work, such as musical notation, may also be the subject of an edition.

Funding Opportunity Title:	Scholarly Editions and Scholarly Translations
Funding Opportunity Number:	20201202-RQ
Federal Assistance Listing Number (CFDA):	45.161
Application Due Date:	December 2, 2020, 11:59 p.m. Eastern Time December 1, 2021, 11:59 p.m. Eastern Time
Anticipated Announcement:	August 2021 (for proposals submitted for the 2020 deadline) or August 2022 (for proposals submitted for the 2021 deadline)
Anticipated Total Annual Funding:	Approximately \$4,000,000 per deadline
Estimated Number and Type of Awards:	Approximately 20 grants per deadline
Funding Range:	All applicants may request up to \$300,000. <i>Applicants whose projects respond to “A More Perfect Union”: NEH Special Initiative Advancing Civic Education and Celebrating the Nation’s 250th Anniversary may request up to an additional \$150,000 in federal matching funds.</i> See Section B for additional information.
Cost Sharing/Match Required:	No, unless federal matching funds are requested.
Period of Performance:	One to three years with a start date as early as October 1, 2021, and as late as September 1, 2022 (for proposals submitted for the 2020 deadline) or as early as October 1, 2022 and as late as September 1, 2023 (for proposals submitted for the 2021 deadline).
Eligible Applicants:	U.S. nonprofit organizations with 501(c)(3) tax-exempt status, public and 501(c)(3) accredited institutions of higher education, state and local governmental agencies, and federally recognized Native American tribal governments. See Section C for additional information.
Program Resource Page:	https://www.neh.gov/grants/research/scholarly-editions-and-translations-grants
Pre-Application Webinar	A prerecorded webinar for applicants will be posted to the program resource page on October 9, 2020.

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A. Program Description

1. Purpose

The Scholarly Editions and Scholarly Translations program provides grants to organizations to support collaborative teams who are editing, annotating, and translating foundational humanities texts that are vital to learning and research but are currently inaccessible or are available only in inadequate editions or translations. Typically, the texts are significant literary, philosophical, and historical materials, but other types of work, such as musical notation, may also be the subject of an edition.

The program supports continuous full-time or part-time activities during the periods of performance of one to three years. Projects must be undertaken by at least two scholars working collaboratively. While international collaboration is permitted, projects must maintain an equitable balance between scholars at U.S. institutions and scholars at non-U.S. institutions (see [Section C3 Other Eligibility Information](#)). In addition to supporting long-term editorial projects, the program also encourages applications for short-term projects and for projects that are at a planning stage.

Projects should embody the best practices recommended by the [Association for Documentary Editing](#) (ADE) or the [Modern Language Association \(MLA\) Committee on Scholarly Editions](#). Editions and translations produced with NEH support must contain scholarly apparatus appropriate to their subject matter and format, including introductions and annotations that explain form, transmission, and its historical and intellectual contexts. Translation projects must also explain the theory and method of translation adopted for the proposed work.

In addition to English-language texts, organizations may submit proposals for editions of foreign language texts in the original language or the translations of foreign language texts into English but not for translations into any other language than English.

The dissemination of edited materials may be in print or digital formats, or a combination of both. NEH expects recipients to provide broad access to all NEH-funded products, insofar as the condition of the materials and intellectual property rights allow. NEH strongly encourages projects that offer free public access to digital materials (see [Providing access to NEH-funded products](#)).

NEH encourages applications from Historically Black Colleges and Universities, Hispanic-Serving Institutions, and Tribal Colleges and Universities.

Unallowable activities are described in section [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.

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 \$4,000,000 is expected to be available to fund approximately 20 recipients per deadline.

Applicants may apply for awards up to \$300,000 in outright funds or federal matching funds, not to exceed \$100,000 per year.

In addition, applicants submitting proposals that respond to “[A More Perfect Union](#)”: *NEH Special Initiative Advancing Civic Education and Celebrating the Nation’s 250th Anniversary* may request up to an additional \$150,000 in federal matching funds not to exceed \$50,000 per year.

Applicants must submit a budget reflecting total project costs. For example, an applicant requesting \$300,000 in outright funds and \$150,000 in federal matching funds would submit a

budget totaling \$600,000 (\$300,000 in outright funds, \$150,000 in federal matching funds, and \$150,000 in required cost share for the federal matching funds).

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

The period of performance for all projects is one to three years. Applicants whose periods of performance include partial years must prorate their requests by month. For example, an applicant whose proposed period of performance is 18 months could request up to \$150,000.

Applicants whose projects are at a planning stage are encouraged to apply for one or two years of support and for \$75,000 per year or less.

Projects submitted for the 2020 deadline may have a start date as early as October 1, 2021, and as late as September 1, 2022.

Projects submitted for the 2021 deadline may have a start date as early as October 1, 2022, and as late as September 1, 2023.

C. Eligibility Information

1. Eligible Applicants

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

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 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.

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 §200.92](#) 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.

Scholarly Editions and Scholarly Translations recipients are prohibited from doing business with any organization or person (as a subrecipient, contractor, collaborating scholar or key employee) if they have been debarred or suspended by any federal department or agency. For further information, refer to Article 29 Debarment and Suspension of the [General Terms and Conditions for Awards](#).

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](#).

Designating project directors and co-directors

- Project directors must be scholars. Applicant institutions typically designate an affiliated scholar as the project director and collaborating scholars that may or may not be affiliated with the applicant institution as co-directors. Applicant institutions may, however, designate a project director affiliated with another institution if that person is a leading scholar in a relevant field of study.
- All projects must include at least one other collaborating scholar in addition to the project director, who must be a scholar. An administrator or press representative may be a co-director on a project but not the project director.
- Project directors must devote significant time to continuous full-time or part-time work on the project during the period of performance.
- Project personnel (including the project director) need not be U.S. citizens or U.S. residents, so long as the applicant institution is eligible.
- Degree candidates may not be project directors, co-directors, or the only other collaborating scholar. If an individual on the project team is the project director, co-

director, or the only other collaborating scholar, and has satisfied all the requirements for a degree and is awaiting its conferral, the application must include a letter from the dean of the conferring school attesting to the individual's having completed all degree requirements by the application deadline in [Attachment 7: Appendices](#).

- An individual may only serve as the project director on a single application to the Scholarly Editions and Scholarly Translations program per deadline.
- Current recipients may submit another Scholarly Editions and Scholarly Translations proposal with the same project director while they have an open award, but the open award and pending proposal may not include overlapping periods of performance.
- Project directors and collaborating scholars of funded applications may not hold concurrent full-time awards from the NEH Division of Research Programs—for example an NEH Fellowship.
- NEH must approve any change in the project director(s) and collaborating scholar(s).

D. Application and Submission Information

1. Application Package

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

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

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

2. Content and Form of Application Submission

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

i. Project Narrative

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

Narratives are limited to **twelve, single-spaced pages**. All pages must have one-inch margins, and the font size must be Times New Roman eleven point.

The narrative must be introduced with the same project title included on the [SF-424 Application for Federal Assistance – Short Organizational](#). This title may become public if an award is made.

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.

Significance and impact (approximately two pages)

Provide a clear, concise statement about the intellectual significance of the work to be edited or translated; its value to scholars and general audiences in the humanities; its potential to stimulate new research; and its relationship to larger themes or questions in the humanities. If a previous edition or translation exists, discuss the reasons for undertaking a new one. Explain the problems or inadequacies of the earlier editions or translations and how your project would solve the problems or remedy the inadequacies. If your proposal responds to [*"A More Perfect Union": NEH Special Initiative Advancing Civic Education and Celebrating the Nation's 250th Anniversary*](#), describe how it focuses on the writings of American figures and topics and furthers the goals of this initiative. Include a bibliographical essay that situates the project within the existing relevant literature and explain its contribution to advancing research, teaching, or both. Explain how the contribution promotes engagement with the relevant scholarly literature on the topic, encourages understanding of the material for students or general audiences in the humanities, or does both. For example: How will the edition advance current research questions concerning the author's intent or meaning? Or how will a new translation meet a need for modern language or historical context for researcher or students? Include a bibliography of relevant primary (including previous editions) and secondary sources of the existing relevant literature as [Attachment 5](#).

History of the project and productivity (approximately two pages)

Provide a history of the project to date. Explain how the project began, its progress, and its estimated date of completion. Provide specific information on how collaborators have selected materials for the edition or translation and how they gained access to them. If gaining access to the materials requires permissions or poses other challenges, explain how the collaborators are addressing these issues.

For applicants whose projects are at a planning stage, describe how NEH support will advance the project toward collecting materials for editing and translating, developing its editorial policies, establishing its collaborative team, determining a dissemination media, and, in the case of projects with online dissemination, developing a plan for digital sustainability.

For applicants whose projects have received previous NEH support, report on the progress of the work, including work supported by other NEH grant programs, if applicable. Discuss the project's general history of productivity, specifying progress in collecting materials, editing or translating, and preparing for publication.

If the application requests support for only part of a larger editorial project, describe the overall design of the whole project and clearly delineate the specific part intended for NEH funding through this application.

If work on the larger project will continue after the proposed period of performance, applicants must describe the work that will remain (including a realistic date of completion of the entire project) and all probable sources of financial support for that work. For long-term projects, provide a provisional plan for overall completion, including milestones with dates. Also address how the project will address succession in project leadership.

All applications must include:

- a list of proposed publications and, for projects that have received previous NEH support, all project products to date, print or digital (if any), with print runs or usage statistics
- an active URL for the project (all applicants must establish a fixed URL for their projects if one does not already exist)

- the projected number of volumes or, in the case of digital editions, some measurable unit of the total number of texts, documents, or words, to be edited or translated
- an estimated date of completion for the entire project

Applications for projects that have previously received NEH funding must:

- be substantially updated, including a description of the new activities and a justification of the new budget request
- list key goals (such as the specific volumes or total number of documents) of previous NEH funding; discuss whether the previously funded project met, or did not meet, its goals according to the original or (if appropriate) revised work plan; explain the reasons for not meeting previous goals and the plan to complete those goals during the next period of performance
- include a table that provides in detail the stated goals of the work plan with accomplishments during the period of the two most recent NEH awards (up to six years), and listing all changes or incomplete tasks as [Attachment 8](#)

Collaborators (approximately two pages)

- Describe the qualifications of the project director and all collaborators who would work on the project during the proposed period of performance (those named in [Attachment 4](#)), regardless of whether NEH funds are requested to support their participation.
- State anticipated commitments of time, in percentage of time or hours per week for the project director and each collaborator.
- If the project includes international collaboration, describe the balance between scholars at U.S. institutions and scholars at non-U.S. institutions.
- For all new personnel to be hired with NEH funds during the period of performance, describe the qualifications, skill, and abilities that will be required for candidates for that position. Their duties must be described in [Attachment 3: Work plan](#).
- For collaborators providing technical services, explain how their activities are important for achieving the project's goals.
- For collaborators working remotely, discuss methods of collaboration, such as the use of virtual meetings and the advantages of remote staffing.
- For projects using student workers or unpaid volunteers, discuss the qualifications, skills, and abilities that will be required of those collaborators and why their involvement is necessary to achieve project goals.

Methods and execution (approximately two pages)

Describe how best practices recommended by the [Association for Documentary Editing \(ADE\)](#) or the [Modern Language Association \(MLA\) Committee on Scholarly Editions](#) will be employed by the project. Discuss how the translation or edition will contain scholarly apparatus appropriate to its subject matter and format, including introductions and annotations that explain form, transmission, and its historical and intellectual contexts.

- Explain how the edition or translation goals correspond to the proposed methodology.
- Describe in detail the tasks to be undertaken and the technology to be employed, indicating what resources will be required, as well as the experience of the collaborators with the technology and its application to humanities scholarship.
- Describe in detail the organization of the texts.
- Describe the corpus — the total number of primary and secondary sources used to produce the edition or translation and the reasons for selecting these sources. Explain the methods of analyzing, transcribing, verifying, and presenting the texts.
- Explain how errors and variant readings in existing editions will be resolved.

- Describe the guidelines for annotation, introductions, indexes, and other scholarly apparatus. State whether the edition follows MLA or ADE standards. If it does not, provide a rationale for departing from these standards.
- Describe how introductions and explanatory annotations will establish the historical and intellectual contexts of the work or works and will contribute to a better understanding of the source texts.
- For projects at a planning stage, discuss how any undetermined methodology or standards for the project will be decided during the period of performance.

For applicants proposing a translation:

- Explain the criteria for selecting the text or texts that will serve as the source text for the translation.
- Explain the theory and methods of the translation.
- Explain how challenges posed by a translation (including the degree of difficulty of the text) will be resolved.

For applicants employing digital technology:

- Describe the organization and contents of the site on which they would appear, providing screenshots or mock-ups (with URLs, when possible) in [Attachment 6: Samples](#). Explain the reasons for and advantages of employing digital methods.
- Identify the digital platforms to be used and how those platforms will facilitate the project goals for the identified audience. Where appropriate, provide information on pertinent technical standards and employing best practices, such as Text Encoding Initiative (TEI)-conformant markup, data management, and digital preservation infrastructure and policies.
- Describe the digital partners who will participate in the project and their activities. Discuss the methods for enhancing discoverability of the digital resource or content to aid the project's dissemination.
- For projects at a planning stage, if a digital partner for long-term sustainability has not been identified, discuss the criteria and process that will be used to determine a partner. Also, projects must discuss the criteria and process for determining the platforms for the digital management software and online dissemination.
- Describe how the project's digital results will be maintained, supported, and made available beyond the period of performance. Discuss a realistic timeframe of digital sustainability and how it will be achieved. Provide information on the ability and commitment of the hosting institution to ensure sustained access to collections or digital materials, as well as the project's financial sustainability.
- For projects at a planning stage, explain the process that led to decisions about platforms, software, and sustainability, or how these decisions will be made during the term of the award.

Work plan (approximately one page)

- Discuss the roles of each collaborator involved in the project, including general time commitments, such as full-time or part-time.
- Outline the broad goals for the period of performance with a focus on tangible outcomes during the period of performance such as books, volumes or parts of volumes, total numbers of documents, or total words count for transcription or translation.
- Ensure that the work described is consistent with the work described in the ["Collaborators"](#) and ["Methods and execution"](#) sections of the narrative and [Attachment 3: Work plan](#), and the associated costs requested in the budget. For projects at a

planning stage, describe planning activities that will advance the project toward the implementation stage of an editorial project.

Final product and dissemination (approximately two pages)

- Discuss publication arrangements, publicity plans, estimated prices, and user costs for both print and digital publication. If the project involves materials under copyright, indicate your plans for securing the necessary permission to publish. Pertinent correspondence with a print or digital publisher and or other supporting documents should also be included in [Attachment 7: Appendices](#).
- Discuss both the media chosen for the final product (printed books, digital materials, or some combination) and the reasons for this choice.
- Applicants whose projects are at a planning stage must describe steps they have taken or plan to take to make decisions about dissemination and, if print-only products are planned, discuss why digital dissemination has not been pursued.
- Applicants proposing print volumes must describe the organization and contents of the volumes that explain the basis for regular publication intervals. Applicants proposing digital projects must discuss the content and pacing of digital content releases for each six-month or annual period in the absence of print volumes.

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.	
<u>Narrative Section</u>	<u>Review Criteria</u>
Significance and impact	1. Significance
History of the project and productivity	4. Work plan and productivity
Collaborators	3. Collaborators
Methods and execution	2. Methods and execution
Work plan	4. Work plan and productivity
Final product and dissemination	5. Publication goals

ii. Research and Related Budget

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

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

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

Applicants requesting federal matching fund must submit a budget reflecting total project costs that include the one-to-one required cost share for the federal matching funds. For example, an applicant requesting \$300,000 in outright funds and \$150,000 in federal matching funds would submit a budget totaling \$600,000 (\$300,000 in outright funds, \$150,000 in federal matching funds, and \$150,000 in required cost share for the federal matching funds).

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

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

When indirect costs are charged to the project, ensure that expenses included in the organization's indirect cost pool are not charged to the project as direct costs. For further information, see [Section H. Indirect Costs](#).

Introductory Fields

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

Section A. Senior/Key Person

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

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

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

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

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

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

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

Section B. Other Personnel

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

Post-doctoral associates, graduate students, and undergraduate students

For all post-doctoral associates, graduate students, and undergraduate students, individually list names (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 (see [Section H. Indirect Costs](#)). However, examples of situations where direct charging of administrative or clerical staff salaries may be appropriate may be found at [2 CFR §200.413 \(c\)](#).

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

1. Administrative or clerical services are 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 [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

As a matter of programmatic policy, the purchase of equipment is not allowable in this program.

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.

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

Section E. Participant/Trainee Support Costs

As a matter of programmatic policy, professional development or training are not supported in the Scholarly Editions and Scholarly Translations program.

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 (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 [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 stipends.

3. Travel

List the total funds requested for participant 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 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 costs described.

Number of Participants/Trainees

List the total number of proposed participants. 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](#).

As a matter of programmatic policy, the purchase of computers and peripherals is not allowable in this program.

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 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. As a matter of programmatic policy, press subventions are not supported in this program. Include supporting information in [Section L. Budget Justification](#).

3. Consultant Services

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

- each consultant, the services he/she will perform, total number of days, travel costs, and the total estimated costs; and

- persons who are confirmed to serve on external advisory committees to the project. Describe the services they will perform.

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

4. Automated Data Processing (ADP)/Computer Services

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

5. Subawards/Consortium/Contractual Costs

List the total funds requested for project activities to be undertaken by third-party subrecipients. This includes subawards and other contractual costs proposed for the project. A complete itemization of the cost comprising the charge should be provided in [Section L. Budget Justification](#) organized using the same categories present on the Research and Related budget. If there is more than one subrecipient, each must be justified separately in the budget justification. See [2 CFR §§200.330 and 331](#) for additional information.

Per [2 CFR §§200.92](#) and [330\(a\)](#), *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 §200.23](#)) 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 must include both direct and indirect costs for all subrecipients. If a subrecipient is claiming indirect costs, include their federally negotiated indirect cost rate agreement as part of [Attachment 9: Federally negotiated indirect cost rate agreement](#).

Contractual costs as defined in [2 CFR §§200.22](#) 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.

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

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

- hard-wired, single-station smoke detectors in each guestroom in accordance with the National Fire Protection Association (NFPA) standard 72;

- an automatic sprinkler system, with a sprinkler head in each guest room in compliance with NFPA standards 13 or 13R. Properties three stories or lower in height are exempt from the sprinkler requirement.

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

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

7. Alterations and Renovations

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

8-10. Other

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

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

Section G. Total Direct Costs

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

Section H. Indirect Costs

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

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

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

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

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

If you are claiming indirect costs, include a copy of your federally negotiated indirect cost rate agreement as [Attachment 9: Federally negotiated indirect cost rate agreement](#).

Indirect Cost Type

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

Indirect Cost Rate (%)

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

Indirect Cost Base (\$)

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

Funds Requested (\$)

Enter the funds requested for each indirect cost type.

Total Indirect Costs

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

Cognizant Federal Agency

Enter the name of the cognizant federal agency.

Section I. Total Direct and Indirect Costs

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

Section J. Fee

Do not include any expenses under this section.

Section K. Total Costs and Fee

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

Section L. Budget Justification

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

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

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

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

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.

iii. Application Components

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

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

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

Application component	Naming convention	Page limits	Notes
SF-424 Application for Federal Assistance - Short Organizational	Included in the Grants.gov application package		Required
Supplementary Cover Sheet for NEH Grant Programs	Included in the Grants.gov application package		Required
Project/Performance Site(s) Location Form	Included in the Grants.gov application package		Required
Research and Related Budget	Included in the Grants.gov application package		Required
Attachments Form	Included in the Grants.gov application package		Required
Certification Regarding Lobbying	Included in the Grants.gov application package		Conditionally required
Standard Form-LLL, "Disclosure of Lobbying Activities"	Included in the Grants.gov application package		Conditionally required
Attachment 1: List of key personnel	personnel.pdf		Required
Attachment 2: Narrative	narrative.pdf	12	Required
Attachment 3: Work plan	workplan.pdf	2	Required
Attachment 4: Résumés for key personnel	resumes.pdf	2 pages per résumé	Required
Attachment 5: Bibliography	bibliography.pdf	5	Required
Attachment 6: Samples	samples.pdf		Required
Attachment 7: Appendices	appendices.pdf	35	Conditionally required
Attachment 8: Table of past productivity	productivity.pdf	2	Conditionally required
Attachment 9: Federally negotiated indirect cost rate	agreement.pdf		Conditionally required
Attachment 10: Explanation of delinquent federal debt	delinquentdebt.pdf		Conditionally required

SF-424 Application for Federal Assistance – Short Organizational

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

5. Applicant Information

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

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

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

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

6. Project Information

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

b. Provide a brief (no more than one thousand characters) description of your project. The description should be written for a nonspecialist audience and clearly state the importance of the proposed work and its relation to larger issues in the humanities. Indicate whether your project is a scholarly edition, translation, or both. If the project has received prior NEH support, state how many print volumes or how much digital content has been published, how many (or much) remains to be published, and the expected date of completion for the entire project. Provide the project URL. If you are responding to the [*"A More Perfect Union": NEH Special Initiative Advancing Civic Education and Celebrating the Nation's 250th Anniversary*](#), initiative, indicate that.

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 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. Once selected, this form will autofill based upon information provided on the [SF-424 Application for Federal Assistance - Short Organizational](#).

Standard Form-LLL, “Disclosure of Lobbying Activities”

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

Attachments Form

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

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

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

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

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

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

iv. Attachments

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

Attachment 1: List of key personnel (required)

Provide a list, in alphabetical order, surnames first, of all collaborators, designating the project director and when applicable co-director(s). Include institutional affiliations for all listed personnel. For those not affiliated with a nonprofit educational institution, provide occupation and employer; if none, list city and state of residence.

The names on this list must match the names mentioned in the [Collaborators](#) section of the narrative, as well as those included in the budget. After you list the key personnel, provide a separate list of advisors, if any.

Attachment 2: Narrative (required)

Refer to the prior instructions on preparing your [narrative](#).

The narrative must not exceed 12 pages. Name the file narrative.pdf.

Attachment 3: Work plan (required)

- List the specific activities to be accomplished by each collaborator during each six-month period, including approximate time commitments in percentages or days.
- Indicate specific goals—such as the number of documents to be edited, words to be translated, introductions to write, annotations to be created—as measures of proposed productivity for each six-month period.
- You may format the work plan as Gantt chart, table or other format.

The work plan must not exceed two pages. Name the file workplan.pdf.

Attachment 4: Résumés for key personnel (required)

Include brief two-page résumés for each key personnel (such as, directors, co-directors, collaborating scholars, editors, research assistants, and digital specialists), with mailing addresses and e-mail addresses, and listings of the highest degree earned, the name of the institution awarding the degree, professional positions held, institutional affiliations, and major publications.

Name the file resumes.pdf.

Attachment 5: Bibliography (required)

The bibliography should consist of primary and secondary sources that relate directly to the project. It should include also all previously published editions of the text to be edited or previous translations into English of the text to be translated for this application submission. Include works that pertain to both the project's substance and its theoretical or methodological approaches, particularly those that make the case for the need for a new edition or translation of a text or those that have benefitted from editions already completed with NEH funds. Reviewers will use the bibliography to assess your knowledge of the subject area.

The bibliography must not exceed five pages; any standard citation format is acceptable. Name the file bibliography.pdf.

Attachment 6: Samples (required)

All samples must illustrate the significance of the materials to be edited, show the degree of difficulty of the text, illustrate the annotation policy, and be carefully checked for accuracy.

Two kinds of samples are required for all projects for evaluation purposes:

1. **Samples of the original materials to be edited or translated during the proposed period of performance.** These may be photocopies or digital scans of the original texts saved as PDFs or documents that form the basis of the new edition or translation. In the case of translation projects, in addition to facsimiles of the original text, a legible transcription of the text must be provided in the original language to allow for comparison to the translation sample provided.
2. **Samples of the final, edited material to be produced during the period of performance.** These must include examples of edited transcriptions with representative footnotes or endnotes and annotations that represent the final print or digital product. In the case of a translation project, samples of a completed translation must be included. For editions of texts in the original language that will not be translated into English for the project, in addition to the sample of the final edited text with example annotation, the sample must include a brief English-language summary (about one paragraph) of the content of the material provided.

Samples of each kind must be at least two pages but no more than five pages in length, single-spaced. They should present, at a minimum, what would be found on two-facing pages of a final print volume.

Samples must be taken from the work for which funding is requested, not from work already submitted to a publisher or from a previous application whose plan of work has already been completed.

Projects that involve the creation of digital content must provide samples of that work in addition to embedded links to live content when available. Applicants that have received previous support from NEH for their project must provide screenshots of their digital editions. All screenshots of actual content should include embedded URLs that will be available for online review during the period of review. Applicants whose projects have not been previously supported by NEH or projects at the planning stage may provide website mocks-ups or design plans that indicate the current status of digital design. Samples for early stage projects may include links to live web content when possible.

Name the file samples.pdf.

Attachment 7: Appendices (conditionally required)

When applicable, include the following:

- permissions allowing the applicant to publish the work being proposed, unless it is in the public domain
- permissions or letters of support from archives or other research venues
- contracts or letters of interest from print or digital publishers
- published reviews of previously published materials funded with NEH support
- for project teams that include an individual who is awaiting the conferral of a degree and is serving as director, co-director, or the only other collaborating scholar on the project, a letter from the dean of the conferring school attesting to the individual's having completed all degree requirements by the application deadline

This attachment must not exceed 35 pages. Do not include letters of recommendation or assessments of previous applications.

Name the file appendices.pdf.

Attachment 8: Table of past productivity (conditionally required)

For projects that have received previous NEH support for this edition or translation as part of a longer, multi-year project, provide a table for each six-month period of the most recent NEH award (or two more recent awards, if applicable, up to six years) comparing in detail the stated goals of the work plan in the application or the revised work plan with actual accomplishments during the periods of performance.

- The first column of the table must contain an accurate description of the proposed goals and tasks from the original or revised work plan, including any stated goals in terms of volumes, number documents, or word counts.
- The second column of the table must indicate whether the task or goal was completed on time or, in any cases where changes were made or proposed tasks were not completed on time, when goals or tasks were or will be completed.

This attachment must not exceed two pages. Name the file productivity.pdf.

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

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

Name the file agreement.pdf.

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

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

Name the file delinquentdebt.pdf.

3. Unique Entity Identifier and System for Award Management

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

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

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

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

that is exempted from those requirements under [2 CFR §25.110\(b\) or \(c\)](#), or has an exception approved by the agency under [2 CFR §25.110\(d\)](#).

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

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

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

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

4. Submission Dates and Times

Draft proposal deadlines

Program officers will review draft proposals submitted by October 15, 2020 (for proposals submitted for the December 2, 2020 deadline) or October 15, 2021 (for proposals submitted for the December 1, 2021 deadline). Program officers cannot review drafts submitted after these deadlines. 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, email it as an attachment to editions@neh.gov

Draft proposals are especially encouraged for new or previously unsuccessful projects. Draft proposals must be no more than six, single-space pages and must highlight these key aspects of the project:

- Discuss the significance of the text to be edited or translated and the proposed audience of scholars and the public.
- List and discuss the qualifications of key personnel and their roles on the project.
- Describe the format of the edition with its proposed selection, editorial, and annotation policies.
- Provide a justification for the proposed dissemination plan, whether print or digital, with a discussion of sustainability plans for digital editions.
- Projects that were previously submitted for NEH review—including funded projects—must provide a cover letter explaining the changes that were made in response to the reviewers' comments from the most recently submitted application. Drafts from such projects without this cover letter will not be reviewed.

Only one draft will be reviewed for each project and drafts will be reviewed in the order that they are received. Draft budgets will not be reviewed.

Application Due Dates

There will be two application due dates under this announcement:

December 2, 2020, 11:59 p.m. Eastern Time

December 1, 2021, 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 RQ- 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 undertaken by individuals without collaboration
- development of tools, including digital tools, or any materials analysis whose primary goal is refinement of a method, unless the development contributes to the larger editorial goals of the project and coincides with research activities
- work on recurrent publications such as magazines or scholarly journals
- digitization of pre-existing texts or previously published materials without the addition of a new scholarly apparatus
- translation of a text into a language other than English
- translations of existing editions without the addition of a new scholarly apparatus
- preparation or publication of textbooks, bibliographies, descriptive catalogs, dictionaries, encyclopedias, or databases
- professional development or training
- the creation of original works of fiction, poetry, drama, or music
- purchase of computers and peripherals
- equipment
- press subventions
- attendance at regularly-occurring professional meetings
- 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)

Applications for nonresponsive proposals will not be reviewed.

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 Scholarly Editions and Scholarly Translations program:

1. Significance

The intellectual merits of the proposed work, including its value to humanities scholars, general audiences, or both; its potential to stimulate new research; its relationship to larger themes or questions in the humanities; and the significance of the material on which the project is based.

2. Methods and execution

The application's clarity of expression; the appropriateness of the selection criteria for the materials to be included in the edition or translation, research methods, editorial policies, and scholarly apparatus; the content, accuracy, and quality of the samples; and the clarity and relevance of annotations. For translation projects, the accuracy and quality of the translation; the soundness of the theory and methods of translation. For projects at the planning stage, the plan to develop its methodology.

3. Collaborators

The qualifications, expertise, and levels of commitment of the project director and collaborators.

4. Work plan and productivity

The thoroughness and feasibility of the work plan; the likelihood that the proposed project will be successfully completed within the stated time frame; and the reasonableness of the budget in relation to the proposed activities and plan of work. For previously funded projects, the project's productivity in relation to stated goals of the work plan and actual accomplishments during the period of performance. For organizations at a planning stage, the likelihood that the project will advance to implementation.

5. Publication goals

The soundness of the dissemination and access plans, including benefit to the audience identified in the proposal; the strength of the case for producing print volumes, a digital format, or a combination of media; the appropriateness of the technology to be used; and the

sustainability of the print and/or digital dissemination. For projects at a planning stage, the plan to develop its dissemination and sustainability strategies.

Each review criteria corresponds to specific sections of the narrative and the other application components. See [Section D2 Content and Form of Application Submission](#) for additional information.

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.

NEH is required to review and consider any information about your organization that is in the [Federal Awardee Performance and Integrity Information System \(FAPIS\)](#). You may review and comment on any information about your organization that a federal awarding agency previously entered. NEH will consider any of your comments, in addition to other information in [FAPIS](#) in making a judgment about your organization's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed as described in [2 CFR §200.205](#). A determination that an applicant is not qualified will be reported by NEH to FAPIS ([2 CFR §200.212](#)).

4. Anticipated Announcement and Award Dates

Applicants will be notified of funding decisions by email in August 2021 (for proposals submitted for the 2020 deadline) or August 2022 (for proposals submitted for the 2021 deadline). For successful applicants, this notification is not an authorization to begin

performance or incur related costs. Applicants may request evaluations of their applications by emailing editions@neh.gov.

F. Federal Award Administration Information

1. Federal Award Notices

Institutional grant administrators and project directors of successful applications will receive award documents from the NEH Office of Grant Management by email starting in September 2021 (for proposals submitted for the 2020 deadline) or September 2022 (for proposals submitted for the 2021 deadline).

2. Administrative and National Policy Requirements

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

Debarment, suspension, ineligibility, and voluntary exclusion certification

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

- 1) The prospective recipient certifies, by submission of this application, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- 2) Failure to make required disclosures can result in any of the remedies described in [2 CFR §200.338](#), 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 10: Explanation of delinquent federal debt](#).

Providing access to NEH-funded products

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

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

Copyright information

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

Acknowledging NEH support

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

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

- 1.) **Federal Financial Report(s).** Recipients must submit the Federal Financial Report (SF-425) on an **annual** basis. Further information will be provided in the Notice of Action.
- 2.) **Performance Progress Report(s).** Recipients must submit a performance progress report to NEH on an **annual** basis. Further information will be provided in the Notice of Action.
- 3.) **Final Reports.** Recipients must submit a final financial report and a final performance report within 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. Further information will be provided in the Notice of Action.

Recipients are encouraged to send copies of books resulting from research supported by NEH awards to the address below.

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

G. Agency Contacts

If you have questions about the program, contact:

Division of Research Programs
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
202-606-8200
editions@neh.gov

For questions about administrative requirements or allowable costs, contact:

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

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

Federal Service Desk: [FSD.gov](https://www.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

Scholars seeking individual support should apply to the [Public Scholar, Fellowships, NEH-Mellon Fellowships for Digital Publications](#), or [Summer Stipends](#) programs. Applicants who propose to develop digital tools should consult with the NEH Office of Digital Humanities at odh@neh.gov. Proposals for editions and translations should be submitted to [Scholarly Editions and Scholarly Translations](#). Proposals for preparing bibliographies, descriptive catalogs, dictionaries, encyclopedias, databases, or other research tools or reference works should be submitted to the [Humanities Collections and Reference Resources](#) program in the NEH Division of Preservation and Access. Applicants planning exhibitions should apply to the [Public Humanities Projects](#) program in the NEH Division of Public Programs. Applicants planning documentary films should apply to the [Media Projects: Development Grants](#) program or the [Media Projects: Production Grants](#) program in the NEH Division of Public Programs.

The [National Historical Publications and Records Commission \(NHPRC\)](#), National Archives, Washington, D.C., 20408, provides support for editions of American historical documents and records. Applicants may request support from both NEH and NHPRC.

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.