NATIONAL ENDOWMENT FOR THE HUMANITIES

NOTICE OF FUNDING OPPORTUNITY

Funding Opportunity Title:
Sustaining Cultural Heritage Collections

Funding Opportunity Number: 20210114-PF

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.149

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

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

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

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

Executive Summary

The National Endowment for the Humanities (NEH) Division of Preservation and Access is accepting applications for the Sustaining Cultural Heritage Collections program. The purpose of this program is to help cultural institutions meet the complex challenge of preserving large and diverse holdings of humanities materials for future generations by supporting sustainable conservation measures that mitigate deterioration, prolong the useful life of collections, and strengthen institutional resilience (i.e., the ability to anticipate and respond to disasters resulting from natural or human activity.)

Funding Opportunity Title:	Sustaining Cultural Heritage Collections
Funding Opportunity Number:	20210114-PF
Federal Assistance Listing Number (CFDA):	45.149
Application Due Date:	January 14, 2021, 11:59 p.m. Eastern Time January 13, 2022, 11:59 p.m. Eastern Time
Anticipated Announcement:	August 2021 (for proposals submitted for the January 14, 2021 deadline or August 2022 (for proposals submitted for the January 13, 2022 deadline)
Anticipated Total Annual Available FY Funding:	Approximately $1,800,000 per deadline
Estimated Number and Type of Awards:	Approximately 15 grants per deadline
Funding Range:	Planning: up to $50,000 Implementation: up to $350,000
Cost Sharing/Match Required:	No
Period of Performance:	Planning: up to two years Implementation: up to three years All projects start as early as October 1, 2021 (for proposals submitted for the January 14, 2021 deadline) or as early as October 1, 2022 (for proposals submitted for the January 13, 2022 deadline).
Eligible Applicants:	U.S. nonprofit organizations with 501(c)(3) tax-exempt status, public and 501(c)(3) accredited institutions of higher education, state and local governmental agencies, and federally recognized Native American tribal governments. See Section C for additional information.
Program Resource Page:	https://www.neh.gov/grants/preservation/sustaining-cultural-heritage-collections
Pre-Application Webinar	December 3, 2020 at 1:00 p.m. Eastern Time Access the webinar

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A. Program Description

1. Purpose

This notice solicits applications for Sustaining Cultural Heritage Collections (SCHC) program from the NEH Division of Preservation and Access.

The SCHC program helps cultural institutions meet the complex challenge of preserving large and diverse holdings of humanities materials for future generations by supporting sustainable conservation measures that mitigate deterioration, prolong the useful life of collections, and strengthen institutional resilience (i.e., the ability to anticipate and respond to disasters resulting from natural or human activity).

Cultural institutions, including libraries, archives, museums, and historical organizations, face an enormous challenge: to preserve humanities collections that facilitate research, strengthen teaching, and provide opportunities for lifelong learning. To ensure the preservation of books and manuscripts, photographs, sound recordings and moving images, archaeological and ethnographic artifacts, art, and historical objects, cultural institutions must implement measures that slow deterioration and prevent catastrophic loss from emergencies resulting from natural or human activity. They can accomplish this work most effectively through preventive conservation. Preventive conservation encompasses managing relative humidity, temperature, light, and pollutants in collection spaces; providing protective storage enclosures and systems for collections; and safeguarding collections from theft, fire, floods, and other disasters.

As museums, libraries, archives, and other collecting institutions strive to be effective stewards of humanities collections, they must find ways to implement preventive conservation measures that are sustainable. This program helps cultural repositories plan and implement preservation strategies that pragmatically balance effectiveness, cost, and environmental impact. Sustainable approaches to preservation can contribute to an institution's financial health, reduce its use of fossil fuels, and benefit its green initiatives, while ensuring that collections are well cared for and available for use in humanities programming, education, and research. Sustainable preventive conservation measures may also aim to prepare and plan for, absorb, respond to, recover from, and more successfully protect collections in the event of emergencies resulting from natural or human activity.

Effective and sustainable preservation strategies must be informed by the nature of an institution and its collections. Applicants should have completed the process of basic preservation planning and environmental monitoring, which might include a general preservation plan, collection inventory, emergency plan, and/or basic assessments of building and storage environments. Using priorities established through this basic planning process, applicants to SCHC should consider how to address long-term collection care needs. Sustainable preservation strategies can take many forms, depending on collection materials, the building envelope, and the local climate. However, interdisciplinary collaboration during planning and implementation of these strategies is essential. In SCHC projects, such teams typically consist of consultants and members of the institution's staff and can include architects, building engineers, conservation scientists, conservators, curators, archivists, and facilities managers, among others.

Applications to the SCHC program should incorporate best practices in sustainable and resilient collection care. Such practices may include:

- defining preservation requirements based on an understanding of your collections, their conditions, **and the particular risks that they face**, rather than relying on prescriptive targets

- understanding the characteristics and performance of the building in which your collections are housed, its envelope and its systems, and their role in moderating interior environmental conditions

- considering the impact of the local climate on establishing relative humidity and temperature setpoints and managing interior environmental conditions

- evaluating risks to collections associated with changes in average weather conditions, natural disasters, and/or other emergencies

- weighing initial and ongoing energy use, costs, and environmental impacts of potential preservation strategies

- prioritizing passive and nonmechanical ways to improve and manage collection environments and risks

- developing solutions tailored to the capabilities of the organization and its staff

- evaluating and measuring the effectiveness of a project's results through the collection of data on conditions, energy use, and costs

NEH will require a white paper on lessons learned, which will be posted on the agency's website (see F3. Reporting). NEH also encourages additional dissemination of information about projects through such activities as blogs, conference presentations, or publications.

All NEH-funded projects involving construction or expansion (including demolition), alteration, renovation, repair, rehabilitation, or ground disturbance, must comply with the following laws, as applicable:

- National Environmental Policy Act of 1969 (NEPA)
- Section 106 of the National Historic Preservation Act (NHPA)
- Davis-Bacon Act
- Americans with Disabilities Act (ADA)
- Executive Order 13788 (Buy American and Hire American)

Applicants should build sufficient time into their project plans to account for a potentially lengthy review period if NEH decides to fund their applications. See section F2 Administrative and National Policy Requirements for additional details.

Unallowable activities are described in section D6. Funding Restrictions.

Funding categories

The SCHC program offers two levels of funding: Planning and Implementation.

Planning

The Planning category provides funding for institutions to develop and assess sustainable preventive conservation strategies. These awards are up to $50,000 for a two-year period of performance.

The Planning category supports activities such as on-site consultation, risk assessments, planning sessions, ongoing environmental monitoring programs, testing, modeling, project-specific research, and preliminary designs for implementation projects. Planning proposals must be informed by an existing preservation or collection management plan and must focus on exploring sustainable preventive conservation or resiliency strategies. They also must involve an interdisciplinary team appropriate to the goals of the project. The team may consist of consultants and members of the institution's staff and might include architects, building engineers, conservation scientists, conservators, curators, and facilities managers, among others. **A preservation/conservation professional who works with collections must be included on the planning team.** All members of the team must be identified in the application, and they should all work collaboratively throughout the planning process.

The Planning category is intended to address complex preservation challenges, which only an interdisciplinary team can solve. Therefore, Planning applicants must have completed basic preservation planning and identified any preservation challenges and priorities. Such basic activities as completing general preservation/conservation assessments and establishing environmental monitoring programs are not eligible for support through the SCHC program.

Planning proposals might be used to:

- reevaluate environmental parameters for collections and establish realistic and achievable targets
- study the performance characteristics of buildings and building envelopes to understand how they might be used to moderate collection environments
- examine passive (nonmechanical) and low-energy alternatives to conventional energy sources and energy-intensive mechanized systems for managing environmental conditions
- analyze and optimize existing climate control systems to enable improved operation, effectiveness, and energy efficiency
- explore the potential of actively managed mechanical systems to achieve desired conditions along with energy and cost savings
- conduct a risk assessment to improve institutional resilience in the face of disasters resulting from natural or human activity
- examine options and develop strategies for lighting collection spaces in ways that protect collections while achieving improved energy efficiency
- evaluate the effectiveness of preventive conservation strategies previously implemented, including energy-efficient upgrades to existing systems and performance upgrades to buildings and building envelopes
- perform a building reserve study or reinvestment plan for infrastructure and systems associated with collection storage and display

Planning proposals may also be used to perform various kinds of testing, modeling, or project-specific research to help applicants better understand conditions and formulate sustainable preservation strategies. Testing, modeling, or project-specific research might include:

- measuring energy consumption

- thermal imaging of buildings
- testing building performance during extended power outages or other emergency situations
- using blower door tests to identify air leaks in buildings
- creating mock-ups of lighting options
- testing natural ventilation methods
- testing the effect of buffered storage enclosures on moderating fluctuating environmental conditions
- recommissioning or tuning small-scale climate control systems
- adjusting the operating protocols for climate control systems

Implementation

The Implementation category provides funding for institutions to implement preventive conservation projects. These awards are up to $350,000 for a period of performance of up to three years.

Implementation proposals might be used to:

- manage interior relative humidity and temperature by passive methods (such as creating buffered spaces and housing, controlling moisture at its sources, or improving the thermal and moisture performance of a building envelope)
- upgrade a building automation system to enable more active management of a heating, ventilating, and air conditioning system
- recommission or install heating, ventilating, and air conditioning systems
- reorganize collections by material type, locating more vulnerable collections in spaces that are more naturally stable
- install storage systems and rehouse collections to reduce risk
- improve security and the protection of collections from fire, floods, and other disasters
- upgrade lighting systems and controls, to achieve energy efficiency and levels suitable for collections

Implementation projects may cover costs associated with minor building alterations and renovation required to implement sustainable preventive conservation measures. Because SCHC grants may **not** fund new construction, the costs of installing climate control, security, storage equipment, and fire protection systems in a building under construction are not eligible. Awards may support the rehousing and movement of collections into a new building, *if* the primary purpose of the move advances institutional sustainability and/or resilience. Implementation projects must be at a stage of schematic design when the application is submitted.

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 $1,800,000 is expected to be available to fund 15 recipients per deadline. Planning applicants may apply for a ceiling amount of up to $50,000. Implementation applicants may apply for a ceiling of up to $350,000.

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

The period of performance is up to two years for Planning awards and up to three years for Implementation awards.

The period of performance start date for applications submitted for the January 14, 2021 deadline is no earlier than October 1, 2021.

The period of performance start date for applications submitted for the January 13, 2022 deadline is no earlier than October 1, 2022.

C. Eligibility Information

1. Eligible Applicants

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

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. An individual may only serve as project director on a single proposal.

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

An institution whose project has received NEH support may apply for a new or subsequent stage of that project. These proposals receive no special consideration and will be judged by the same criteria as others in the current competition. In addition, these proposals must be substantially updated and must include a description of the new activities and a justification of the new budget.

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

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

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

D. Application and Submission Information

1. Application Package

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

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

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

2. Content and Form of Application Submission

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

i. Project Narrative

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

Planning applicants must limit the narrative to ten single-spaced pages. Implementation applicants must limit the narrative to twelve single-spaced pages. All pages should have one-inch margins and the font size should be no smaller than eleven point.

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.

Introduction (corresponds to Review Criteria 1, 2, and 3)

Provide an overview of your project and request to NEH, and explain how they fit into the institution's strategic plan and preservation priorities. Include a brief statement explaining how your project addresses sustainable preventive conservation strategies.

Provide a brief profile of your organization, including its collections, institutional history and mission, physical facilities (specify whether the facilities are owned or leased), number of staff, operating budget, and number of users or visitors annually. Discuss the collections' relevance to the institution's mission. Identify plans or policies that guide the collections' development.

Significance of collections (corresponds to Review Criterion 1)

Describe in detail the nature, size, and intellectual content of the collections that are the focus of the project. Discuss the collections' current, past, or potential use in support of the humanities, and describe the various audiences that your institution serves. Include examples of specific exhibitions, educational programs, research projects, and publications to illustrate the ways in which the collections have been used to examine humanistic themes and ideas. In addition, discuss the relation of the collections to similar holdings in other repositories.

Current conditions and preservation challenges (corresponds to Review Criterion 3)

Describe the present condition of the collections and define the preservation challenges that the project would address.

In addition, provide a brief overview of preventive conservation practices and policies at your institution. For example, identify policies, practices, and systems that are in place to manage environmental conditions, provide appropriate storage, and protect collections from fire, theft, pests, and disasters. Consider including visual documentation in Attachment 6: Assessments and Studies to illustrate the preservation problems described in the proposal.

Describe the current level of administrative and intellectual control of the collections. If the project involves the movement or relocation of collections, explain how the current levels of control prepare for successful implementation of the project.

History of the project (corresponds to Review Criteria 2 and 6)

Discuss previous preservation actions and the findings of research or studies (such as general preservation or conservation assessments, risk assessments, environmental monitoring, and specialized consultations) that lay a foundation for the proposed project. Explain how the proposed project relates to any sustainability initiatives at your institution and to your strategic plan or other long-range planning efforts. Provide the rationale for undertaking the proposed planning or implementation activities, along with the expected outcomes.

Methods and standards (corresponds to [Review Criteria 2 and 4])

For both planning and implementation projects, explain and justify the proposed methods and procedures. Discuss how your project will explore or employ sustainable preservation strategies and how research, standards, and practices provide a basis for the project. Describe how data will be collected and evaluated to assess the effectiveness of the sustainable preservation strategies implemented (e.g., conditions, energy use, cost).

For Planning projects

Discuss the kinds of knowledge and skills that the planning team needs, and explain how the team has been assembled. Show how the project's framework and methods are related to the expected outcomes. Describe the nature of any testing, modeling, or project-specific research that is planned, and explain how such activities could help you identify sustainable preservation strategies.

If you are not following or are modifying the recommendations of assessors and specialists, explain why. Discuss any measures that will be taken to ensure that the collections are professionally maintained and protected during the project.

For Implementation projects to rehouse and improve storage of collections

Describe the methods and materials used to rehouse the collections and discuss the development of the storage plan. Explain how the proposed work plan will support long-term institutional resilience in the face of emergencies resulting from human activity and natural disasters. As applicable, refer to institutional, regional, and/or national disaster plans and/or networks.

For Implementation projects to improve and manage environmental conditions

Provide a detailed description of steps that will be taken to improve conditions for humanities collections and define expected conditions. As relevant, describe the primary design features of passive measures, mechanized systems, and equipment proposed for managing or controlling conditions. Discuss your institution's capacity, including policies, procedures, and staffing, for operating and maintaining systems that manage environmental conditions. Discuss plans for ongoing monitoring of conditions, energy consumption, and system performance.

For Implementation projects to install or improve security, fire protection, or lighting

Describe the primary design features and explain how the proposed equipment would work in conjunction with institutional policies, procedures, and staffing to protect collections. Explain how the proposed work plan will support long-term institutional resilience in the face of emergencies resulting from natural or human activity.

Work plan (corresponds to [Review Criterion 5])

Provide a brief summary of your workplan, including key dates and activities, in the narrative.

Provide a detailed work plan, including the steps of the project, who is responsible for each activity, project deliverables, and a timeline must be submitted in [Attachment 2].

Project team (corresponds to [Review Criterion 7])

Provide the names, qualifications, and expected contributions of each member of the project team, including consultants as well as staff members.

Project results and dissemination (corresponds to Review Criteria 2 and 9)

Summarize the project's expected outcomes. For Planning projects, describe expected next steps. For Implementation projects, explain how the preservation improvements could strengthen your institution's work in the humanities.

All recipients should collect and report data on conditions, energy use, and costs, which can help inform the cultural heritage community about the effectiveness of sustainable preservation strategies.

NARRATIVE GUIDANCE To ensure that you fully address the review criteria, this table provides a crosswalk between the narrative language and where each section falls within the review criteria.	
Narrative Section	**Review Criteria**
Introduction	1, 2, 3
Significance of collections	1
Current conditions and preservation challenges	3
History of the project	2. 6
Methods and standards	2, 4
Work plan	5
Project team	7
Project results and dissemination	2, 9

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 funds must submit a budget reflecting total project costs that include the one-to-one required cost share for the federal matching funds. As an example, an applicant requesting $100,000 in outright funds and $20,000 in federal matching funds must submit a budget that includes $140,000 in total project costs.

All of the items listed, whether supported by NEH funds or required cost sharing contributions (if applicable), 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.

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

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

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

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

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

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

Section B. Other Personnel

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

Post-doctoral associates, graduate students, and undergraduate students

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

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

Secretarial/Clerical

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

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

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

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

Other Project Roles

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

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

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

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

Section C. Equipment Description

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

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

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

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

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

Section D. Travel

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

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

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

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

Section E. Participant/Trainee Support Costs

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

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

Justify participant 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/Trainee 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.

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. Include supporting information in Section L. Budget Justification.

3. Consultant Services

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

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

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

4. Automated Data Processing (ADP)/Computer Services

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

5. Subawards/Consortium/Contractual Costs

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

Per 2 CFR §§200.1 and 331(a), s*ubaward* means an award provided by a pass-through entity (the recipient) to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor (as defined in 2 CFR §200.1) or payments to an individual that is a beneficiary of a federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract. In determining whether an agreement between a pass-through entity and another non-federal entity casts the latter as a subrecipient or a contractor, the substance of the relationship is more important than the form of the agreement. See 2 CFR §200.331(c).

This line item should include both direct and indirect costs for all subrecipients. If a subrecipient is claiming indirect costs, include their federally negotiated indirect cost rate agreement as part of Attachment 10: Federally negotiated indirect cost rate agreement.

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

6. Equipment or Facility Rental/User Fees

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

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

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

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

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

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

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

7. Alterations and Renovations

List the total funds requested for alterations and renovations. In Section L. Budget Justification, itemize by category and justify the costs of alterations and renovations (e.g., installation of permanent exhibitions, HVAC, creation or expansion of storage facilities, etc.). Where applicable, provide the square footage and costs. Per 2 CFR §200.462, costs incurred for ordinary and normal rearrangement and alteration of facilities are allowable as indirect costs.

Any construction or renovation contracts in excess of $2,000 awarded by recipients or subrecipients funded by federal funds, in whole or in part, are subject in their entirety to the Davis-Bacon Act, as amended, and must include Davis-Bacon wage reporting. When relevant, ensure that all quotes for services reflect Davis-Bacon compliant contracts.

8-10. Other

Include items not previously listed under other budget categories or in the indirect cost pool in lines 8-10. Use Section L. Budget Justification to further itemize and justify. “Miscellaneous” and “contingency” are not acceptable budget categories.

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

Section G. Total Direct Costs

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

Section H. Indirect Costs

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

Indirect costs are not allowed for the construction, restoration, or renovation of facilities and historical landscapes.

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

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

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

Organizations that wish to include indirect costs in the budget but do not have a federally negotiated indirect cost rate may choose one of the following options:

- direct cost all expenses;
- submit an indirect cost proposal to their cognizant federal agency to negotiate a rate with the federal government within three months of the effective date (period of performance start date) of the award (subrecipients may negotiate a rate with the recipient consistent with the requirements outlined in 2 CFR §200.414); or
- per 2 CFR §200.414(f), the applicant may charge a de minimis rate of 10 percent of modified total direct costs (MTDC).

Per 2 CFR §200.1, MTDC are all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC exclude equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of $25,000. If you choose one of these three options, indicate on the budget form which option you are choosing.

If you are claiming indirect costs, include a copy of your federally negotiated indirect cost rate agreement as Attachment 10: 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 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	Grants.gov form		Required
Supplementary Cover Sheet for NEH Grant Programs	Grants.gov form		Required
Project/Performance Site(s) Location Form	Grants.gov form		Required
Research and Related Budget	Grants.gov form		Required
Attachments Form	Grants.gov form		Required
Certification Regarding Lobbying	Grants.gov form		Conditionally required
Standard Form-LLL, "Disclosure of Lobbying Activities"	Grants.gov form		Conditionally required
Attachment 1: Narrative	narrative.pdf	10/12. See narrative instructions.	Required
Attachment 2: Work plan	workplan.pdf		Required
Attachment 3: List of personnel	personnel.pdf		Required
Attachment 4: Résumés and job descriptions	resumes.pdf		Required
Attachment 5: History of awards	history.pdf		Optional
Attachment 6: Assessments and studies	assessments.pdf		Optional

Attachment 7: Technical specifications	specifications.pdf		Optional
Attachment 8: Letters of commitment and support	letters.pdf		Optional
Attachment 9: SF-429 a	SF-429-a.pdf		Conditionally required
Attachment 10: Federally negotiated indirect cost rate agreement	agreement.pdf		Conditionally required
Attachment 11: Explanation of delinquent federal debt	delinquentdebt.pdf		Conditionally required

SF-424 Application for Federal Assistance – Short Organizational

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

5. Applicant Information

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

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

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

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

6. Project Information

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

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

c. List the starting and ending dates for your project. All 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 grants administrator, who functions as the representative of the recipient organization with authority to act on the organization's behalf in matters related to the administration of the award. All financial reports and prior approval requests such as budget revisions, extensions of the period of performance, and changes in key personnel must be signed or countersigned by the institutional grants administrator. Similarly, official correspondence from NEH to a recipient (for example, an offer letter, the award document, an extension, a supplement or amendment) is addressed to the institutional grants administrator and copied to the project director.

9. Authorized Representative

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

Supplementary Cover Sheet for NEH Grant Programs

Provide the following information:

1. Project Director

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

2. Institutional Information

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

3. Project Funding

Enter your project funding information. Learn more about different funding types.

4. Application Information

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

For Type of Application, check "new."

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

Project/Performance Site Location(s) Form

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

Refer to the prior instructions on preparing your narrative. Name the file narrative.pdf.

Attachment 2: Work plan (required)

Provide a detailed work plan, including the steps of the project, who is responsible for each activity, project deliverables, and a timeline. Name the file workplan.pdf.

Attachment 3: List of personnel (required)

List in alphabetical order, surnames first, all project participants and collaborators and their institutional affiliations. When relevant, this list should include advisory board members, consultants, and authors of letters of commitment and letters of support. Because these individuals may not participate in the review process, this list is used to ensure that prospective evaluators have no conflict of interest with the proposals that they will assess. Name the file personnel.pdf.

Attachment 4: Résumés and job descriptions (required)

Include brief résumés (no longer than two pages) for staff with major responsibilities for the project's implementation and for consultants to the project. Include job descriptions for any additional staff who will be hired specifically to work on the project. Name the file resumes.pdf.

Attachment 5: History of awards (optional)

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

Attachment 6: Assessments and studies (optional)

Include assessments or specialized studies that are directly relevant to the proposed project (for example, a study of current environmental conditions, a preliminary design report that provides a description of the systems to be installed to protect the collections, or an analysis of storage conditions and requirements). For more general studies, we suggest that you submit summaries rather than full reports. You may also include in the narrative hyperlinks to online versions of such studies.

Include institutional plans and policies that directly support your proposed project; when possible, present only summaries or excerpts, so as to avoid submitting lengthy attachments.

Name the file assessments.pdf.

Attachment 7: Technical specifications (optional)

Include technical specifications for building envelope improvements, equipment, or systems. Attach product data and specifications for proposed materials, equipment, and systems. For projects involving the renovation or repurposing of existing space, include floor plans of the area in which work will occur, indicating square footage and the layout of cabinets and shelving. Name the file specifications.pdf.

Attachment 8: Letters of commitment and support (optional)

Include letters of commitment from key participants or partners, both within and outside the applicant institution.

Include letters of support (preferably no more than three) from experts in the project's subject area, the proposed methodology, or the technical plan.

Name the file letters.pdf.

Attachment 9: SF-429-a (conditionally required)

If your proposed project involves alteration, renovation, repair, rehabilitation, or ground disturbance you must submit this attachment to provide information on anticipated environmental and historic preservation impacts as part of their applications for NEH review. Complete the form using the NEH specific instructions, both of which are available on the program resource page.

If NEH funds your project, you may not start construction until NEH has completed its environmental and historic preservation compliance reviews required by Section 106 of the NHPA and NEPA. You may be able to conduct some work under the award in advance, such as purchasing moveable equipment, engaging architectural or engineering services, environmental or historic preservation consultants, or acquiring necessary licenses, permits and other approvals for the project, but NEH cannot release funds until it completes its Section 106 and NEPA reviews. We recommend that you consult with NEH staff about any specific activities you plan to undertake before NEH completes its Section 106 and NEPA reviews.

After completing this form, save it, and then print it to PDF, using either the Adobe PDF print driver or the Microsoft print-to-PDF driver in Microsoft Office. Name the file SF-429-a.pdf.

Attachment 10: 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 11: Explanation of delinquent federal debt (conditionally required)

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

Name the file delinquentdebt.pdf.

3. Unique Entity Identifier and System for Award Management

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

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

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

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

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

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

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

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

4. Submission Dates and Times

Program officers will review draft proposals submitted by December 10, 2020 (for the January 14, 2021 deadline) or December 9, 2021 (for proposals submitted for the January 13, 2022 deadline). Program officers cannot review drafts submitted after this deadline. Although this optional preliminary review is not part of the formal review process and has no bearing on the final outcome of the proposal, previous applicants have found it helpful in strengthening their applications. If you choose to submit a draft proposal, send it as an attachment to preservation@neh.gov.

There will be two application due dates under this announcement:

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

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

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

NEH will assign a tracking number beginning with PF- to your application when it has been received by the agency. The assignment of a tracking number does not guarantee that the application is free of technical problems (such as missing attachments or failure to convert attachments to PDFs). If NEH's system detects a technical problem with your application after retrieving it from Grants.gov, NEH will send you an email notification.

Once an applicant formally submits an application, NEH will not comment on its status except with respect to issues of completeness and eligibility.

5. Intergovernmental Review

This funding opportunity is not subject to intergovernmental review under Executive Order 12372.

6. Funding Restrictions

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

- general conservation/ preservation assessments, establishing initial environmental monitoring programs, and other basic preservation projects that could be supported through Preservation Assistance Grants for Smaller Institutions
- the preservation of materials that are the responsibility of an agency of the federal government, are privately held, or are not generally accessible for research
- the installation of climate control, security, lighting, storage equipment, and fire protection systems as a component of a project to construct a new building
- the preservation of the built or natural environment
- the renovation or restoration of historic structures, except insofar as that activity is needed to preserve humanities collections that such structures house
- the stabilization of archaeological sites
- asbestos abatement
- new construction and major renovation resulting in an expanded building footprint or addition of floors/stories
- alterations and repairs that are considered routine operations and maintenance expense
- the purchase of buildings or land
- promotion of a particular political, religious, or ideological point of view
- advocacy of a particular program of social or political action
- support of specific public policies or legislation
- lobbying

- projects that fall outside of the humanities and the humanistic social sciences (including the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; and quantitative social science research or policy studies)

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

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

E. Application Review Information

1. Review Criteria

Peer reviewers will use the following criteria to review applications in the SCHC program:

1. the significance of the collections for the humanities and the potential impact of the project on the humanities (corresponds with narrative section"Introduction" and "Significance of collections")
2. the attention to exploring and implementing sustainable preservation strategies (corresponds with narrative section "Introduction," "History of the project," "Methods and standards," and "Project results and dissemination")
3. the attention to identifying risks to collections (for example, fire, flooding, theft, or temperature fluctuations) and implementing effective preventive conservation measures (corresponds with narrative section "Current conditions and preservation challenges")
4. the project's methodological soundness (corresponds with narrative section "Methods and standards")
5. the likely viability, efficiency, and productivity of the project, as demonstrated by the work plan (corresponds with narrative section "Work plan")
6. for implementation projects, the thoroughness of the planning that has informed the project (corresponds with narrative section "History of the project")
7. the experience and appropriateness of the project's interdisciplinary team in relation to the activities for which support is requested (corresponds with narrative section "Project team")
8. the reasonableness of the proposed budget in relation to anticipated results (corresponds with the Research and Related Budget)
9. the project's proposed outcomes including dissemination plan (corresponds with narrative section "Project results and dissemination")

2. Review and Selection Process

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

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

3. Assessment of Risk and Other Pre-Award Activities

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

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

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

4. Anticipated Announcement and Award Dates

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

F. Federal Award Administration Information

1. Federal Award Notices

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

2. Administrative and National Policy Requirements

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

Section 106 of the National Historic Preservation Act of 1966 and National Environmental Policy Act of 1969

SCHC projects must be reviewed under Section 106 of the National Historic Preservation Act of 1966 (NHPA) (54 U.S.C. §306108) and the National Environmental Policy Act of 1969 (NEPA) (42 U.S.C. §4321, *et seq*) when the proposed project involves any of the following:

- new construction and expansion projects (including demolition)
- alteration/renovation/repair projects where exterior changes to the building façade or surroundings may be made (including roof, windows)
- interior renovations to a building that is over fifty (50) years old, or is historically, architecturally, or culturally significant
- ground disturbing activities (including parking lots)
- a change in land use that is significant (such as the project is an integral part of a larger redevelopment project)
- an impact within or to a flood plain or wetland
- a determination of an adverse effect that cannot be mitigated on a property eligible for inclusion the National Register of Historic Places
- an extraordinary circumstance, such as public controversy or extensive site contamination

If NEH funds your project, you may not start physical work (demolition, construction, or renovation) until NEH has completed its historic preservation and environmental compliance reviews required by NEPA and Section 106 of the NHPA.

Applicants should review the NEH's Section 106 and NEPA guidance to familiarize themselves with the Section 106 process.

Other requirements for projects involving construction, renovation, repair, rehabilitation, and ground and visual disturbances

SCHC projects must comply with all applicable government-wide laws and requirements. Any construction or renovation contracts in excess of $2,000 awarded by recipients or subrecipients funded by federal funds, in whole or in part, are subject in their entirety to the Davis-Bacon Act as amended, (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, "Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction"). See articles 25 through 32 of the General Terms and Conditions for Awards to Organizations (for grants and cooperative agreements issued December 26, 2014 or later). Also see 2 CFR Part 200 Appendix 2 —Contract Provisions for Non-Federal Entity Contracts Under Federal Awards.

Debarment, suspension, ineligibility, and voluntary exclusion certification

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

1) The prospective recipient certifies, by submission of this application, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
2) Failure to make required disclosures can result in any of the remedies described in 2 CFR §200.339, including suspension or debarment. (See also 2 CFR parts 180 and 3369).
3) Where the prospective recipient is unable to attest to the statements in this certification, an explanation must be included in Attachment 11: Explanation of delinquent federal debt.

Providing access to NEH-funded products

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

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

Copyright information

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

Acknowledging NEH support

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

Eliminate waste, fraud, and abuse

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

3. Reporting

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

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

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

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

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

5.) **White Paper**. Recipients must submit a white paper documenting lessons learned from their project, so that others can learn more about sustainable preventive conservation strategies. Recipients should report data in their white papers that enable comparison of conditions, energy use, and costs before and after the implementation of preventive conservation measures. White papers will be posted on the NEH website. Further information will be provided in the Notice of Action.

Learn more about Performance Reporting Requirements and Financial Reporting Requirements.

G. Agency Contacts

If you have questions about the program, contact:

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

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

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

If you have questions about NEPA and NHPA, contact:

Office of Grant Management
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
hpe@neh.gov

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

Federal Service Desk: 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

Applicants seeking support for general assessments and initial environmental monitoring programs should consider NEH's Preservation Assistance Grants for Smaller Institutions.

Applicants seeking support to catalog, document, or digitize humanities collections should consider the Humanities Collections and Reference Resources program.

Applicants seeking to serve the field by advancing best practices and standards for preserving and enhancing access to humanities collections should consider NEH's Research and Development program.

Applicants seeking support to carry out construction and/or major alteration and renovation projects should seek support through Infrastructure and Capacity Building Challenge Grants.

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.