NATIONAL ENDOWMENT FOR THE HUMANITIES

NOTICE OF FUNDING OPPORTUNITY

Division of Preservation and Access

Funding Opportunity Title: Sustaining Cultural Heritage Collections

Funding Opportunity Number: 20200130-PF

Funding Opportunity Type(s): New

Federal Assistance Listing Number: 45.149

Application Due Date: January 30, 2020

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

Division of Preservation and Access
Telephone: (202) 606-8570
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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 support institutional resilience: the ability to anticipate and respond to disasters resulting from natural or human activity.

Funding Opportunity Title:	Sustaining Cultural Heritage Collections
Funding Opportunity Number:	20200130-PF
Federal Assistance Listing Number (CFDA):	45.149
Application Due Date:	11:59 p.m. Eastern Time January 30, 2020
Anticipated Announcement	August 2020
Anticipated Total Annual Available FY 20 Funding:	$1,800,000
Estimated Number and Type of Awards:	15 grants
Funding Range:	Up to $50,000 for Planning Up to $350,000 for Implementation
Cost Sharing/Match Required:	No
Period of Performance (Award Period):	Up to two years for Planning Up to five years for Implementation All projects have a start date of October 1, 2020
Eligible Applicants:	U.S. nonprofit organizations with 501(c)(3) tax-exempt status, accredited institutions of higher education, state and local governmental agencies, and federally recognized Native American tribal governments. See Section C of this Notice of Funding Opportunity for additional information.
Program Resource Page:	https://www.neh.gov/grants/preservation/sustaining-cultural-heritage-collections

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A. Program Description

1. Purpose
This notice solicits applications for the Sustaining Cultural Heritage Collections program.

The Sustaining Cultural Heritage Collections (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 support institutional resilience: 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 Sustaining Cultural Heritage Collections 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

- considering the potential effects of changes in average weather conditions, natural disasters, and/or emergencies resulting from human activity on cultural property

- 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

- consideration of mechanical systems and upgrades only after investigating and implementing passive approaches for achieving and managing desired conditions

- 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 NEH 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 new facility 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

Sustaining Cultural Heritage Collections offers two levels of funding: Planning Grants and Implementation Grants.

Planning Grants

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

Planning Grants support 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 Grants 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.

Planning Grants are intended to address complex preservation challenges, which only an interdisciplinary team can solve. Therefore, an applicant for a planning grant must have completed its 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 SCHC.

Planning Grants 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 Grants 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 Grants

Implementation Grants help institutions implement preventive conservation projects. These awards are up to $350,000 for a period of performance of up to five years.

Implementation Grants to preserve humanities collections 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 Grants 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. Grants 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.

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](#).

2. Background

This program is authorized by 20 USC §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."

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.

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

To learn more about the National Endowment for the Humanities, visit https://www.neh.gov/about.

B. Federal Award Information

1. Type of Application and Award

Type(s) of applications sought: new.

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. Applicants for Planning Grants apply for a ceiling amount of up to $50,000. Applicants for Implementation Grants may apply for a ceiling of up to $350,000.

The actual amount available will not be determined until enactment of the final FY 2020 federal budget. This program notice is subject to the appropriation of funds, and is a contingency action taken to ensure that, should funds become available for this purpose, applications can be processed and funds awarded in a timely manner.

The period of performance is up to two years for Planning Grants and up to five years for Implementation Grants. All projects have a start date of October 1, 2020.

Successful applicants will be awarded outright funds, matching funds, or a combination of the two, depending on the applicant's preference and the availability of funds. Outright funds awarded by NEH are not contingent on additional funding from other sources. When federal matching funds are requested, the recipient must raise cash contributions from nonfederal third parties and have them certified by NEH before the funds are released (see NEH's Federal Matching Funds Guidelines). The full amount of federal matching funds may not be available for release in the first year of a multi-year period of performance. Federal matching funds are typically distributed on an annual basis over the life of the award. Funds raised to satisfy a match count toward an institution's required cost share for a project (see C2. Cost Sharing).

C. Eligibility Information

1. Eligible Applicants

Eligible applicants include U.S. nonprofit organizations with 501(c)(3) tax-exempt status, 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.

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

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

Recipients are responsible for maintaining auditable records 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. Project directors may not submit applications for two different projects under this announcement.

If for any reason an application is submitted more than once prior to the application due date (including submitting to the wrong funding opportunity number or making corrections/updates), NEH will only accept your **last** validated online submission, under the correct funding opportunity number, prior to the Grants.gov application due date as the final and only acceptable application.

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

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

All application materials must be received by the application deadline. Late, incomplete, or ineligible applications will not be considered for funding under this notice.

D. Application and Submission Information

1. Application Package

You are required to apply online through Grants.gov Workspace using the Standard Form 424 (SF-424) application package associated with the funding opportunity and following the instructions provided by Grants.gov unless otherwise noted below.

The Sustaining Cultural Heritage funding opportunity 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, budget justification, 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.

For Planning Grants, limit the narrative to twelve single-spaced pages; for Implementation Grants, limit the narrative to fifteen 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 7: 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 natural emergencies and emergencies resulting from human activity. 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. Address the potential impact that the proposed environmental improvements would have on the structure or building envelope, particularly if the building is a historic structure. As relevant, also explain how the project would be guided by the [Secretary of the Interior's Standards for the Treatment of Historic Properties.](#)

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](#))

Present the steps of the planning or implementation project and discuss how each will be carried out. Indicate who is responsible for each activity. Include a schedule indicating what will be accomplished during each stage of the project.

Project team (corresponds to [Review Criterion 7](#))

Provide the names, qualifications, and expected contributions to the project 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](#)

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ii. Budget

Using the instructions below, complete the budget form (MS Excel format) or a format of your own that includes all the required information. The budget form and a sample budget are available on the [program resource page](#).

All of the items listed, whether supported by NEH funds or cost sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of [2 CFR 200 Subpart E - Cost Principles](#), auditable, and incurred during the period of performance. See the property and procurement standards set forth in [2 CFR 200 Subpart D](#). See section [D6. Funding Restrictions](#) for a list of unallowable costs. All costs are subject to audit, record retention and other requirements set forth in [2 CFR 200 Subpart F](#).

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

If you are requesting federal matching funds, include required cost sharing in your application budget.

1. Salaries and Wages

Staff costs should include the position title, name (if possible), percent of full-time equivalent or total number of hours charged to the project. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary charge for work done outside the academic year. All salaries and wages claimed must be in compliance with 2 CFR §§200.430 and 466.

2. Fringe Benefits

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. All fringe benefits claimed must be in compliance with 2 CFR §200.431. List each rate and salary base.

3. Consultant Fees

Include payments for professional and technical consultants and honoraria. All consultant fees claimed must be in compliance with 2 CFR §200.459.

4. Travel Costs

List travel costs for local and long-distance travel. For local travel, outline the mileage rate, number of miles, reason for travel and staff member/consumers completing the travel. The budget should also reflect the total travel expenses (for example, airfare, lodging, parking, per diem, etc.) for each person and trip associated with participating in meetings and other proposed trainings or workshops. Name the traveler(s) if possible, describe the purpose of the travel, and provide the number of trips involved, the destinations, and the number of individuals for whom funds are requested. 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. All travel costs claimed must be in compliance with 2 CFR §200.474, and foreign travel must comply with article 10 of the General Terms and Conditions for Awards to Organizations.

Travel to regularly occurring professional meetings is not supported with NEH funds, unless attending to disseminate project-related findings. **All trips—both foreign and domestic— must be listed individually.**

5. Supplies and Materials

Include supplies and materials 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.

6. Subawards

The costs of project activities to be undertaken by a third-party subrecipient should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be provided in the budget justification. If there is more than one subrecipient, each must be listed separately in the budget and justified in the budget justification. See 2 CFR §§200.330 and 331 for additional information.

7. Other Costs

If applicable, include participant stipends and room and board, equipment rental or purchases, duplication, printing, long distance telephone calls, and other items not previously listed under

other budget categories or in the indirect cost pool. Note that "miscellaneous" and "contingency" are not acceptable budget categories.

List equipment costs and provide a justification for the need to purchase the equipment to carry out the program's goals.

Permanent equipment may be purchased for a project if an analysis demonstrates that purchasing is more economical and practical than leasing. Permanent equipment is defined as nonexpendable personal property costing $5,000 or more and having a useful life of more than one year. (See 2 CFR §§200.313 Equipment and 439 Equipment and other capital expenditures.)

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

If a budget includes compensation for the use of equipment or facilities owned by an applicant and allocable to the project, the applicant must 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, 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.

NEH funds must be used only for activities and equipment required to provide appropriate environmental conditions for humanities collections. In multi-use facilities, costs for conditioning non-collection spaces should be excluded from the project's budget.

8. Total Direct Costs per year
Total the sum of items 1-7.

9 a.- c. Indirect Costs (Facilities and Administration or "F&A")
Indirect costs 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 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 negotiate multiple rates—for example, "Research," "Instruction," and "Other Sponsored Activities." With rare exceptions, your institution's "Research" rate will <u>not</u> 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.

If your institution has a current federally negotiated indirect cost rate, indicate on the budget form the appropriate rate, the base, the name of the agency with which you negotiated, and the date of that agreement.

Note: Except as provided in paragraph (c)(1) of 2 CFR §200.414 Indirect (F&A) costs, 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 Indirect (F&A) costs, when an educational institution does not have a negotiated rate with the federal government at the time of an award (because the educational institution is a new recipient or the parties cannot reach agreement on a rate), the provisional rate used at the time of the award must be adjusted once a rate is negotiated and approved by the cognizant agency for indirect costs. If the recipient fails to negotiate an indirect cost rate applicable to the period of performance within the period of performance, indirect costs may be disallowed.

Organizations that wish to include indirect (F&A) charges in the budget but have **never** had a federally negotiated indirect cost rate may choose one of the following options:

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

Per 2 CFR §200.68, modified total direct costs are all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each subaward (regardless of the period of performance of the subawards under the award). Modified total direct costs excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $25,000. If you choose one of these three options, indicate on the budget form which option you are choosing.

10. Total Project Costs
The sum of items 8 and 9.

11. Project Funding
11a Requested from NEH: Indicate the amount of outright and/or federal matching funds that is requested from NEH.

11b Cost sharing: Indicate the amount of cash contributions that will be made by the applicant and cash and in-kind contributions made by third parties to support project expenses that appear in the budget. Cash gifts that will be raised to release federal matching funds should be included under "Third-party contributions." When a project will generate income that will be used during the period of performance to support expenses listed in the budget, indicate the

amount of income that will be expended on budgeted project activities. Indicate funding received from other federal agencies.

12. Total Project Funding

The sum of 11.a. and 11.b.

iii. Budget justification

Provide a budget justification that explains the amounts requested for each line object class category of the budget (such as salaries, fringes, consultant fees, travel, supplies, subawards, other). The budget justification should specifically describe how each item will support the achievement of proposed objectives. Be very careful to justify each item in the "Other Costs" category. For subsequent budget years, the justification should highlight the changes from year 1 or clearly indicate that there are no substantive budget changes during the period of performance. Do not use the budget justification to expand the project narrative.

iv. Application Components

In addition to the standard forms included in the Grants.gov application package, your application also consists of a narrative, budget, budget justification, 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.

Application component	Naming convention	Page limits	Notes
SF-424 Application for Federal Assistance – Short Organizational	Not applicable (Grants.gov form)		Required
NEH Supplemental Cover Sheet	Not applicable (Grants.gov form)		Required
Project/Performance Site Location Form	Not applicable (Grants.gov form)		Required
Attachments Form	Not applicable (Grants.gov form)		Required
Attachment 1: Narrative	narrative.pdf	15	Required
Attachment 2: Budget	budget.pdf		Required
Attachment 3: Budget justification	justification.pdf		Required
Attachment 4: List of personnel	personnel.pdf		Required
Attachment 5: Résumés and job descriptions	resumes.pdf		Required
Attachment 6: History of awards	history.pdf		Optional
Attachment 7: Assessments and studies	assessments.pdf		Optional
Attachment 8: Technical specifications	specifications.pdf		Optional
Attachment 9: Letters of commitment and support	letters.pdf		Optional
Attachment 10: Impact determination	determination.pdf		Conditionally required
Attachment 11: SF-429 a	SF429A.pdf		Conditionally required
Attachment 12: Federally negotiated indirect cost rate agreement	agreement.pdf		Conditionally required

Attachment 13: Certificate regarding lobbying	certification.pdf		Conditionally required
Attachment 14: 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, e-mail address, and telephone and fax numbers for the project director. The project director is responsible for the programmatic aspects and day-to-day management of the proposed project. Because the project director's involvement in the proposed project is critical to its success, applicants must notify NEH immediately if the project director listed in the application changes.

8. Primary Contact/Grants Administrator

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

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

9. Authorized Representative

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

Supplementary Cover Sheet for NEH Grant Programs

Provide the following information:

1. Project Director

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

2. Institutional Information

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

3. Project Funding

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

4. Application Information

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

For Type of Application, check "new."

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

Project/Performance Site Location(s) Form

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

Attachments Form

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

Your attachments must be in Portable Document Format (.pdf). Make sure that all files in formats other than PDF (images, Word or Excel files, etc.) have been properly saved as PDF files. Do not simply rename your non-PDF files with PDF extensions. If an attachment contains multiple documents, you must merge those documents into a single PDF. Do not attach a zip file containing multiple PDFs.

Visit Grants.gov's Adobe Software Compatibility page to verify the compatibility of your current software or to download the appropriate version. Even if you choose to complete the online webforms in Workspace, you will need to convert the files that you will attach (to the Attachments Form) into PDFs. If you have a problem installing Adobe Reader, it may be because you do not have permission to install a new program on your computer. Many organizations have rules about installing new programs. If you encounter a problem, contact your system administrator.

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

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

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

v. 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 prior instructions on preparing your narrative. Name the file narrative.pdf.

Attachment 2: Budget (required)

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

Attachment 3: Budget justification (required)

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

Attachment 4: 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 5: 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 6: 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 7: 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 8: 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 9: 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.

Applicants whose projects involve alterations, renovation, repair, rehabilitation, or ground or visual disturbances should also include a copy of the request submitted or to be submitted to the State Historic Preservation Officer (SHPO) and/or Tribal Historic Preservation Officer (THPO) for a written determination on the project's impact, together with all supporting materials.

Name the file letters.pdf.

Attachment 10: Impact determination (conditionally required)

Applicants whose projects involve alterations, renovation, repair, rehabilitation, or ground or visual disturbances should also include a copy of the request submitted or to be submitted to the State Historic Preservation Officer (SHPO) and/or Tribal Historic Preservation Officer (THPO) for a written determination on the project's impact, together with all supporting materials.

Name the file determination.pdf.

Attachment 11: 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 <u>may not start construction</u> until NEH has completed its environmental and historic preservation compliance reviews required by NEPA and Section 106 of the NHPA. 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 NEPA and Section 106 reviews. We recommend that you consult with NEH staff about any specific activities you plan to undertake before NEH completes its NEPA and Section 106 reviews.

Name the file SF-429-a.pdf.

Attachment 12: Federally negotiated indirect cost rate agreement (conditionally required)

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

Attachment 13: Certification Regarding Lobbying (conditionally required)

Applicants requesting awards greater than $100,000 must complete and submit the Certification Regarding Lobbying. If nonfederal funds have been or will be used for lobbying, also complete and submit Standard Form-LLL, Disclosure of Lobbying Activities. See 2 CFR §200.450 Lobbying for additional information.

These forms are available on the program resource page. Submit the signed and completed document(s) as a PDF. Name the file certification.pdf.

Attachment 14: Explanation of delinquent federal debt (conditionally required)

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

Name the file delinquentdebt.pdf.

3. Unique Entity Identifier and System for Award Management

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

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

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

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

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

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

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

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

4. Submission Dates and Times

Program officers will review draft proposals submitted by December 20, 2019. NEH cannot guarantee that staff will respond to drafts submitted after this deadline. Although this optional preliminary review is not part of the formal review process and has no bearing on the final outcome of the proposal, previous applicants have found it helpful in strengthening their applications. If you choose to submit a draft proposal, send it as an attachment to preservation@neh.gov.

The due date for applications under this announcement is January 30, 2020 at 11:59 p.m. Eastern Time.

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

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

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

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

5. Intergovernmental Review

This funding opportunity is not subject to intergovernmental review under Executive Order 12373.

6. Funding Restrictions

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

- 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 (including the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; and empirically based social science research or policy studies)

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 rank and review applications in the Sustaining Cultural Heritage Collections 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 Attachment 2. Budget and Attachment 3. Budget justification

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 §200.205](#)).

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

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

4. Anticipated Announcement and Award Dates

Applicants will be notified of funding decisions by e-mail in August 2020. For successful applicants, this notification is not an authorization to begin performance or incur related costs. Applicants may request evaluations of their applications by emailing preservation@neh.gov.

F. Federal Award Administration Information

1. Federal Award Notices

Institutional grant administrators and project directors of successful applications will receive award documents from the NEH Office of Grant Management by e-mail in September 2020.

2. Administrative and National Policy Requirements

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

National Environmental Policy Act of 1969

NEH supported projects involving construction or expansion (including demolition), alteration, renovation, repair, rehabilitation, or ground disturbance, must be reviewed under the National Environmental Policy Act of 1969 (NEPA), [42 U.S.C. §4321 *et seq*](#), its implementing regulations at [40 CFR Parts 1500 – 1508](#), and , and NEH's National Environmental Policy Act Implementing Procedures ([84 FR 23805](#)).

While most projects are categorically excluded from further review under NEPA, proposed projects with the potential to have a significant environmental impact will require an Environmental Assessment (EA). NEH will work with recipients to prepare an EA for public review and comment. NEH will then either prepare a Finding of No Significant Impact (FONSI)

or determine that additional review is required. An EA takes on average three to six months to complete once initiated.

NEPA reviews also include consideration of other potential laws such as the Native American Graves Protection and Repatriation Act, Executive Order 11988 on Floodplain Management, and the Coastal Zone Management Act. Compliance with these laws will occur concurrently as part of the NEPA and Section 106 process.

A NEPA compliant EA may be necessary when the proposed project involves:

- construction of new buildings or expansion of existing buildings, including supporting facilities (parking, etc.) exceeding 12,000 SF footprint
- 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.

National Historic Preservation Act

Section 106 of the National Historic Preservation Act of 1966 (Section 106), 16 USC §470f, and its implementing regulations, 36 CFR Part 800, requires an assessment of the potential effects of a proposed project on historic properties (which include any prehistoric or historic district, site, building, structure, or object), that are eligible for listing or are listed on the National Register of Historic Places (NRHP). While most Section 106 reviews are completed within one month once they are initiated, projects involving historic buildings and site, and national landmarks may take longer.

Section 106 reviews are initiated when the proposed project involves:

- 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)

If historic properties listed in or eligible for the National Register of Historic Places are identified within a project area, the applicant must consult with the State Historic Preservation Officer on behalf of NEH to determine if the project will have an effect on the historic properties and if the effect is adverse. If a finding of adverse effect is made, the applicant must continue the consultation process to mitigate the adverse effect. Under these circumstances, NEH will enter into the consultation process and assist the applicant in developing a Memorandum of Agreement (MOA) that outlines the agreed upon mitigation measures with the other consulting parties.

If NEH funds your project, you may not start construction until NEH has completed its environmental and historic preservation compliance reviews required by NEPA and Section 106 of the NHPA. 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 NEPA and Section 106 reviews. We recommend that you consult with NEH staff about any specific activities you plan to undertake before NEH completes its NEPA and Section 106 reviews.

Davis-Bacon Act

Recipients whose projects include construction or renovation are subject to the requirements of the Davis-Bacon Act, and must take into account the effect of the Davis-Bacon Act on all project costs. Applicants for construction projects should affirm in the proposal that they will meet the requirements of the Davis-Bacon Act.

Native American Graves Protection and Repatriation Act

Applications to preserve Native American collections should discuss the institution's compliance with the Native American Graves Protection and Repatriation Act and other relevant national and local statutes and regulations.

Americans with Disabilities Act (ADA)

Recipients and subrecipients must adhere to the Americans with Disabilities Act of 1990 (ADA). Title III of the ADA covers places of public accommodation (such as museums, libraries, and educational institutions) and includes a specific section regarding new construction and alterations in public accommodations.

Debarment, Suspension, Ineligibility, and Voluntary Exclusion Certification

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

1) The prospective recipient certifies, by submission of this application, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
2) Failure to make required disclosures can result in any of the remedies described in 2 CFR §200.338, including suspension or debarment. (See also 2 CFR parts 180 and 3369).
3) Where the prospective recipient is unable to attest to the statements in this certification, an explanation must be included in Attachment 14: 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 produced, 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 following reporting and review activities:

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

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

3.) **Final Reports**. Recipients must submit a final financial report and a final performance report within 90 calendar days after the period of performance ends. The final performance report collects information relevant to program specific goals and progress on strategies; impact of the overall project; the degree to which the recipient achieved the mission, goal and strategies outlined in the approved application; recipient objectives and accomplishments; barriers encountered; and responses to summary questions regarding the recipient's overall experiences during the entire period of performance. The final reports must be submitted online in eGMS Reach. Further information will be provided in the Notice of Action.

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

5.) **White Paper**. Recipients must submit a white paper 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.

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

G. Agency Contacts

If you have questions about the program, contact:

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

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

The Federal Service Desk: FSD.gov
U.S. calls: 866-606-8220
International calls: +1 334-206-7828

For assistance in registering with or submitting your application through Grants.gov, contact, 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

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.