NATIONAL ENDOWMENT FOR THE HUMANITIES

DIVISION OF **PRESERVATION AND ACCESS**

RESEARCH AND DEVELOPMENT

Deadline: May 15 2019 (for projects beginning March 1, 2020)

Catalog of Federal Domestic Assistance (CFDA) Number: 45.149

Funding Opportunity Number: 20190515-PR

If after reading this document you have questions about this program, contact the staff of NEH's Division of Preservation and Access at preservation@neh.gov and 202-606-8570. Applicants who are deaf or hard of hearing can contact NEH via Federal Relay (TTY users) at 800-877-8399.

Contents

I. Program Description

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

This program recognizes that finding solutions to complex problems often requires forming interdisciplinary project teams, bringing together participants with expertise in the humanities; in preservation; and in information, computer, and natural science. The exact mix of specialists will depend on the particular nature of the project. Your project team should embody a well-defined humanities perspective that can frame your objectives and guide the project to successful completion. Such a perspective may be provided by members of an advisory committee, consultant(s), a project co-director, or another participant.

All projects must demonstrate how advances in preservation and access would benefit the cultural heritage community in supporting humanities research, teaching, or public programming. You can find on the program resource page a lengthy but not exhaustive list of potential research fields, topics, and humanities collection types that may be addressed by projects in Research and Development.

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).

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

Tier I: Planning and Basic Research

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

- planning and preliminary work for large-scale research and development projects; and
- stand-alone basic research projects, such as case studies, experiments, or the development of methods, models, and tools.

Proposals for planning work designed to culminate in large-scale projects must identify one or more project deliverables, such as the creation of an action agenda, work plan, published report, draft standard, or software prototype.

Proposals to conduct preliminary testing or stand-alone basic research must indicate how they will address research issues or problems in the cultural heritage field. When possible, grant recipients must make research data publicly accessible in a format inviting additional analysis or reuse.

Tier II: Advanced Implementation

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

- the development of standards, practices, methodologies, or workflows for preserving and creating access to humanities collections; and
- applied research addressing preservation and access issues concerning humanities collections.

Applications for Advanced Implementation must demonstrate significant planning or prior research in one or more relevant fields. Successful completion of a Tier I project is *not* a prerequisite for applying for a Tier II award.

Collaboration

Interdisciplinary collaboration is a hallmark of Research and Development projects at both the planning and implementation levels. NEH encourages project participation by cultural heritage professionals and specialists in preservation and other technical or scientific fields. Building community support for new standards and practices may also involve partnerships among several cultural institutions, both in the United States and abroad. Your project team should embody a well-defined humanities perspective that can frame your objectives and guide the project to successful completion.

All grant recipients are expected to communicate the results of their work to appropriate scholarly and public audiences (see below, beneath the "Providing access to NEH-funded products" heading and—in the instructions for the narrative—beneath the "Intended audience" heading). Grant recipients must also submit a white paper documenting lessons learned in the course of their projects, so that others can benefit from their experiences. White papers will be posted on the NEH website.

Protecting our cultural heritage

In response to the destruction of cultural heritage materials worldwide, NEH encourages applications for projects that study, document, or create digital representations of lost or imperiled cultural heritage materials. Proposed projects should be based on scholarly work and follow standards and best practices. Project teams must include appropriate methodological specialists and humanities scholars. Projects must demonstrate the capacity to be sustained and must be widely accessible to the public. For more information click here.

The Research and Development program is especially appropriate for projects related to the development of tools, methods, technologies, or workflows for documenting, sharing, visualizing, and presenting lost or imperiled cultural heritage materials.

All applications will be given equal consideration in accordance with the program's evaluation criteria.

Types of projects not supported

Research and Development award funds and required cost share (if applicable) may not be used for the following sorts of projects:

- Projects primarily directed at enhancing the preservation of and access to a *specific* collection or the holdings of a specific institution. Projects intending to arrange and describe, digitize, or reformat a humanities collection (or to create a reference resource such as an encyclopedia or atlas) should apply to the Humanities Collections and Reference Resources program. Likewise, projects focused on preserving humanities collections by employing sustainable preventive conservation strategies should apply to the Sustaining Cultural Heritage Collections program.

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

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

- Projects not focused on preservation and access activities for humanities collections.

- Projects that promote a particular political, religious, or ideological point of view.

- Projects that advocate for a particular program of social or political action.

- Projects that support specific public policies or legislation.

- Projects that fall outside of the humanities; the creation or performance of art; creative writing, memoirs, and creative nonfiction; and empirically based social science research or policy studies.

Previously funded projects

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

Overlapping project costs between two or more applications for federal funding and/or approved federal award budgets is not permitted.

Providing access to NEH-funded products

As a taxpayer-supported federal agency, NEH endeavors to make the products of its grants and cooperative agreements 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-funded products. For the Research and Development program, such products may include research data, digital tools, software, and additional forms of publication. All other considerations being equal, NEH gives preference to applications for projects that aim to provide the public with free access to NEH-funded products. See in particular below for the instructions for the section of the narrative entitled “Intended audience.”

NEH grant 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 here (PDF).

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.

Award information

For Planning and Basic Research (Tier I) projects, the maximum award is $75,000 for up to two years. For Advanced Implementation (Tier II) projects, the maximum award is $350,000 for up to three years. In the narrative applicants must specify which level of funding they seek.

Successful applicants will be awarded a grant in outright funds, federal matching funds, or a combination of the two, depending on the applicant’s preference and the availability of NEH funds. Matching funds are released when a grant recipient secures nonfederal gift funds from eligible third parties.

(Learn more about different types of grant funding.)

Cost sharing

Although cost sharing is not required, this program is rarely able to support the full costs of projects approved for funding.

Cost sharing consists of the cash contributions made to a project by nonfederal third parties raised to release federal matching funds. Voluntary cost sharing includes nonfederal cash contributions by the applicant and eligible third parties, as well as third-party in-kind contributions, such as donated services and goods.

Eligibility

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

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

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

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

NEH generally does not issue 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.

NEH will not review late, incomplete, or ineligible applications.

II. Preparing and Organizing your Application

Resources for preparing a strong application

To prepare a strong application, applicants are encouraged to take the following steps:

- read these **guidelines** carefully, noting what information needs to be provided in the application;
- review the **sample narratives**, which are available on the program resource page;
- consult the program's **review criteria**, which are listed immediately below;
- read the **Frequently Asked Questions**, which are available on the program resource page;
- contact the **program staff** (at 202-606-8570 or preservation@neh.gov) to discuss your project and raise any questions you may have about the application; and
- submit an optional **draft proposal** (at least six weeks before the deadline), to which program staff will respond with suggestions and advice.

Review criteria

Peer reviewers are asked to apply the following criteria in assessing applications:

- the significance and potential impact of the project for advancing preservation and access practices;

- the likely benefits of the project for humanities research, education, or public programming;
- the soundness of the methodology, including its adherence to accepted professional and technical standards of practice;
- the viability, efficiency, and productivity of the project, as indicated by the work plan;
- the feasibility and appropriateness of the dissemination plan;
- the qualifications and expertise of the project's staff in relation to the activities for which support is requested;
- the quality of the proposed strategy for managing the project, evaluating projects results, and sustaining project outcomes; and
- the reasonableness of the proposed budget in relation to anticipated results.

Application elements

SF-424 Application for Federal Domestic Assistance – Short Organizational

In section 6.a of the SF-424 Application for Federal Assistance – Short Organizational (part of the Grants.gov application package), include a project title not to exceed 125 characters (including spaces and punctuation). You can find information about this form in the instructions for submitting an application to Grants.gov. To access the instructions, go to the program resource page and click on the down arrow across from the words "Step 2."

Successful proposals 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. You can find guidance for creating a good title in the Frequently Asked Questions document, which is available on the program resource page.

Provide a one-paragraph description (up to one thousand characters, including spaces) written for a nonspecialist audience, clearly explaining the project's principal activities and its expected results. In the SF-424 form you should place the paragraph in section 6.B, Project Description. Do not attach the description to the Attachments Form, a form that is also explained in the instructions for submitting an application to Grants.gov.

In addition to the SF-424 Short Organizational form, your application should consist of the following parts.

1. **Abstract (Description of the project and its significance)**

   Provide a one-page abstract explaining the level for which you are applying (Tier I or Tier II), the project's importance to the humanities, its principal activities, and its expected results.

2. **Table of contents**

   List all parts of the application and, beginning with the narrative, number all pages consecutively.

3. **Narrative**

   Limit the narrative for Tier I projects to ten single-spaced pages and for Tier II projects to fifteen single-spaced pages. Begin the narrative by stating whether you are applying for a Tier I or a Tier II grant.

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

   Individuals with a variety of professional backgrounds will read these applications and advise NEH on their merits. Project narratives should therefore be written with a minimum of technical jargon.

   Keep the application review criteria (which are listed above) in mind when writing the narrative, which consists of the following sections:

   Significance

   Explain the preservation and access research issue or problem to be addressed and how the cultural heritage field would benefit from the proposed solutions. Clearly identify the project outcomes and describe how those outcomes would advance humanities research, education, or public programming. Discuss how your project relates to other work in the field and its contribution to solving the research problem. List relevant reference sources in a bibliography and provide an in-depth environmental scan (or a field or literature review) attached as appendices. (See below for the instructions for application element 5, Appendices.)

   Background of applicant

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

History, scope, and duration

Provide a concise history of the project, including information about preliminary research or planning, previous related work, financial support, publications produced, and resources or research facilities available.

Tier II applicants must demonstrate that they can carry out the proposed activities by pointing to significant planning and research that they have already undertaken, as well as expertise in relevant fields.

If funding is requested for a component of a larger project that will not be completed in its entirety during the requested period of performance, describe the scope and duration of the entire project as well as the specific accomplishments or products intended for the period for which funding is requested.

If the project has received previous NEH support, indicate what has been accomplished in the current or past phase of the project and the degree to which it has met its established goals. Any publications, in print or electronic form, that have already been produced should be listed in the bibliographic appendix. In the case of online projects, include a Web address and metrics that would demonstrate the project's significance to its field.

Methodology and standards

Discuss the procedures and standards that will be followed in carrying out the project. If the project will depart from accepted procedures and standards, explain how it will test the potential applicability of any innovative techniques and procedures that it is likely to develop.

In discussing your methodology, consider the following:

- For projects using or repurposing a dataset or collection as a test bed, describe its format, structure, and content in terms of how it supports the project's research and development objectives.

- Discuss the rationale and specifications for any programming languages, platforms, software, or other applications. Describe which technologies, instruments, and tools will be used to capture or generate data. Explain your choice of metadata standards that will be applied to the data for management and access purposes.

- For projects developing standards, practices, methodologies, or workflows, describe how advisers representing the relevant professions will guide the project and how any products will reflect the collective knowledge and judgment of experts in the field.

- Discuss the management of intellectual property or privacy permissions necessary to ensure the availability of the project's results—for example, proprietary technologies or licensed software. You must already have obtained permissions in matters concerning intellectual property, and you must provide any pertinent documentation in an appendix.

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

Work plan

Describe the work plan in detail, including a schedule indicating what will be accomplished during each stage of the project. Separate complex procedures into a coherent set of activities. Explain how outcomes from one activity will carry over into the next. For each activity, specify the project team members involved. For multi-institutional collaborative projects, discuss the distribution of responsibilities across each institution.

Staff

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

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

All people directly involved in the conduct of the project, whether paid for by NEH or by required cost sharing to raise federal matching funds, must be named in the budget, along with their anticipated commitments of time. Provide in an appendix two-page résumés for major project staff and all consultants.

If the project has an advisory board, please explain the board's function and identify the participation of key members. Please provide the names and affiliations of all board members, project participants, and consultants in element 6 of the application, Project participants, consultants, and advisers. (See below for the instructions for this application element.)

As relevant, explain how the perspectives of communities that are the subjects of projects would be incorporated in the proposed activities and decision-making process. In the case of Native American groups, indicate how your staffing plan (and other project components) will facilitate adherence to the NEH Code of Ethics Relating to Native Americans.

Evaluation and sustainability

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

Describe your plan for the long-term preservation of project deliverables and datasets, including scientific, statistical, or survey results. For projects working directly with a humanities collection as a test bed, discuss efforts to ensure its proper handling and, if applicable, preservation. All projects should also ensure to the extent possible the accessibility and replicability of tests and procedures. Explain any provisions made for the long-term maintenance of products and their interoperability with other resources. For projects involving scientific experiments, any data collected must be made accessible, in order to ensure that test results are replicable. In this case, you may find it helpful to format your discussion of sustainability as a data management plan. You can find information about the data management plans required by the NEH Office of Digital Humanities for some of its grant programs here. Include a data management plan, if applicable, as an appendix.

Describe, where applicable, any immediate and long-term institutional support in helping sustain your project. Include in your discussion personnel training, storage systems, data standards, migration plans, and infrastructural capacity as needed. Regardless of the nature of your project, NEH recommends coordinating with a preservation specialist, such as your institutional librarian or archivist or an outside consultant, in planning for sustainability.

For projects resulting in standards, practices, methodologies, and workflows, discuss plans for managing revisions or additions.

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

Intended audience

Discuss the intended audience that will benefit most from project outcomes. Consider the institutions, humanities discipline(s), and professional networks that would be most affected by the project's results.

For all projects seeking to advance standards, practices, methodologies, and workflows, provide evidence in the appendices in the form of letters of support, citations, excerpted publications, or research that project results would be readily adopted by an active community.

Specify how you will provide access to deliverables such as research data, reports, publications, tools, software, or guidelines.

Projects developing new software are encouraged to make it *freely available* in every sense of the term, including the use, copying, distribution, and modification of the software. Open source software or source code preferably should be made publicly available through an online repository such as GitHub. For products placed in an open repository, discuss plans to encourage active adoption through code sprints, training sessions, forum discussions, or other participatory models.

In addition to discussing intended audience and access to project deliverables and/or data, projects must also include a one- to two-page detailed dissemination plan as an appendix. Projects must allocate appropriate funds in their budgets to support dissemination activities that take place during the period of performance. (See below for the instructions for application element 9, Dissemination plan.)

4. **Budget**

Using the instructions and the sample budget, complete the budget form (MS Excel) or a format of your own that includes all the required information. You can find links to the budget form and sample budget on the program resource page.

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 too 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
If there will be long-distance travel for any project team members, the budget should name the travelers (if possible) or their positions; reflect the travel

expenses (for example, airfare, lodging, parking, per diem, etc.) for each person and trip; briefly describe the purpose of the travel; and list the destinations.

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. **All trips—both foreign and domestic—must be listed individually.**

5. Supplies and Materials
Include consumable supplies, 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.

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 an attachment. If there is more than one subrecipient, each must be budgeted separately on the NEH form and must have an attached itemization. See 2 CFR §§200.330 and 331 for additional information.

7. Other Costs

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. Please note that “miscellaneous” and “contingency” are not acceptable budget categories.

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. (Also see 2 CFR §§200.313 Equipment and 439 Equipment and other capital expenditures.)

Consistent with Executive Order 13788 (“Buy American and Hire American”), grantees and subrecipients who purchase equipment and products with grant funds should purchase only American-made equipment and products.

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. Please note: 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.

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 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: Please review carefully 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 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.

If your institution has a current federally negotiated indirect cost rate, please 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:

1) direct cost all expenses;

2) 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

3) per 2 CFR §200.414(f), the applicant may charge a de minimis rate of 10 percent of modified total direct costs (MTDC)

Per 2 CFR §200.68, MTDC means 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 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, please indicate on the budget form which option you are choosing.

While all items should be justified by the narrative, you may include further explanation in brief budget notes explaining projected expenses or other items listed in the budget. Please explain any voluntary cost share in your budget notes. The budget notes may be single-spaced and should be appended to the budget.

5. Appendices

Use appendices to provide the following:

- a brief bibliography of relevant sources, including publications produced in current or previous phases of the project. In the case of online projects, include a web address and metrics that would demonstrate the project's significance.
- an in-depth environmental scan (or a field or literature review); and
- résumés (no longer than two pages) for key project staff and project consultants, if applicable.

As relevant, include the following as well:

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

6. **Project participants, consultants, and advisers**

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

7. **History of support**

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.

8. **Letters of commitment and support**

Provide letters of commitment from consultants and participants from cooperating institutions; letters of support (no more than three); and citations, excerpted publications, or research demonstrating interest in the project's anticipated results. Letters of support should address the project's significance and should be written by experts in the project's subject area, proposed methodology, or technology. Authors of letters of support will not participate further in the NEH review process.

9. **Dissemination plan**

Prepare a dissemination plan for your project outcomes (not to exceed two pages). Possible activities may include, but are not limited to, one or more of the following activities: workshops to train practitioners, symposia, webinars, tutorials, multimedia productions, project websites, dedicated sessions at professional conferences (beyond delivery of a paper or poster), or academic or professional publications. Applicants proposing educational activities such as workshops or tutorials should provide information about their rationale, format, and venue. Who will conduct the dissemination activities? Who will the audience be?

10. **Federally negotiated indirect-cost rate agreement (if applicable)**

    If the applicant institution is claiming indirect costs using a current federally negotiated indirect-cost rate agreement, submit a copy of the agreement.

III. Submitting your Application

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)
3. Grants.gov (https://www.grants.gov/)

In order to apply through Grants.gov, the applicant organization must first have or obtain a valid Dun and Bradstreet Data Universal Numbering System (DUNS) number, and register (or have an active registration) in the System for Award Management (SAM). Note: If you are registering in SAM.gov for the first time, you must provide an original, signed notarized letter stating that you are the authorized Entity Administrator for the entity associated with the DUNS number. Read the SAM update and FAQs to learn more about this process change. **The initial SAM registration can take up to six weeks.**

Organizations must maintain active SAM registration with current information at all times during which they have an active federal award or an application or plan under consideration by a federal agency. You must therefore review and update your information at least annually after the initial registration, and more frequently if required by changes in information. Effective June 29, 2018, when you go to SAM.gov and log in, you will be asked to create a Login.gov user account. Your current SAM.gov username and password will **no longer work.** 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. **We strongly recommend that you verify the status of your SAM registration at least two weeks before the application deadline.**

Applicant organizations with a valid DUNS number and an active SAM registration must then register with Grants.gov. Visit Grants.gov at https://grants.gov/web/grants/applicants/organization-registration.html for complete registration information. **The initial Grants.gov registration process can take up to two weeks**.

If your organization has already registered with Grants.gov, you must verify that your registration is still active and that your Authorized Organization Representative (AOR) is current and has been approved. **We strongly recommend that you do this at least two weeks before the application deadline.** Note: Grants.gov passwords expire every 60 days. Accounts that have been inactive for one year or more result in removal of all account roles.

If you have problems registering or verifying your registration with Grants.gov, call the Grants.gov help desk at 1-800-518-4726 or email support@grants.gov.

Links to the Grants.gov application package and the NEH instructions for preparing and submitting the package can be found on the program resource page.

Be sure to read the document (PDF) that explains how to confirm that you successfully submitted your application. It is your responsibility as an applicant to confirm that Grants.gov and subsequently NEH have accepted your application.

Deadlines for submitting optional draft proposals and applications

You are welcome to contact the Division of Preservation and Access to seek advice about preparing the proposal. **Draft proposals are optional, but applicants are strongly encouraged to take advantage of this preliminary review.** Please send your draft to preservation@neh.gov, at least six weeks before the May 15 deadline for submitting applications. NEH staff may not be able to review drafts submitted after that date.

Staff comments on draft proposals are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants have found them helpful in strengthening their applications.

Applications must be received and validated by Grants.gov by 11:59 PM Eastern Time on May 15, 2019. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after that date will not be accepted.

IV. What Happens After the Submission of an Application

Review and selection process

Knowledgeable persons outside NEH will read each application and advise the agency about its merits. NEH staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH chairman. The chairman takes into account the advice provided by the review process and, by law, makes all funding decisions. More details about NEH's review process are available here.

Prior to making an award, NEH will conduct a risk assessment of successful applicants, consistent with the Uniform Administrative Requirements 2 CFR §200.205. (See below the next heading for more information about the Office of Management and Budget's Administrative

Requirements.) This assessment guards against the risk that federal financial assistance might be wasted, used fraudulently, or abused. Based on its risk assessment, NEH will include in the award documents specific conditions designed to mitigate the effects of the risk.

Information for all applicants and for successful applicants

Applicants will be notified of the decision by e-mail in December 2019. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail in January 2020. Award documents will identify the relevant terms, conditions, and administrative requirements that pertain to successful applications. The Grant Management section of the NEH website outlines all the responsibilities of award recipients, including anti-lobbying restrictions, in great detail. Applicants may obtain the evaluations of their applications by sending a letter to NEH, Division of Preservation and Access, 400 Seventh Street, S.W., Washington, D.C. 20506, or an e-mail message to preservation@neh.gov.

In December 2014 NEH adopted without exception 2 CFR Part 200: *UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS*. 2 CFR 200 applies to all NEH awards to organizations and is aimed at reducing the administrative burden on award recipients and improving accountability of federal financial assistance for tax payers. NEH will identify in each award document the relevant programmatic terms, conditions, and reporting requirements with which the grant recipient must comply.

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. You can find details on how to report such allegations and suspicions here.

V. Additional Information

Contact information for the program and Grants.gov

If you have questions about the program, contact:

Research and Development
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 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

If you need technical assistance in submitting your application to Grants.gov, contact Grants.gov 24 hours a day, seven days a week (excluding federal holidays).

Grants.gov: http://www.grants.gov
Grants.gov help desk: support@grants.gov
Grants.gov training resources and videos:
https://www.grants.gov/web/grants/applicants/applicant-training.html
Grants.gov support line: 1-800-518-GRANTS (4726)

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 grant 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 the average time to complete this application is fifteen hours per response. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed, and completing and reviewing the application.

Please 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 Guidelines Officer, at guidelines@neh.gov; the Office of Publications, National Endowment for the Humanities, Washington, DC 20506; and the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, DC 20503. 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.

APPLICATION CHECKLIST

- ☐ **Register your institution or verify its registration with the System for Award Management (SAM).** Begin a new registration at least six weeks before the deadline.
- ☐ **Register your institution or verify its registration with Grants.gov.** Begin a new registration at least two weeks before the deadline.

□ **Access the application package through Grants.gov Workspace.** The program resource page on NEH's website has a direct link to the package. You can also search Grants.gov for this program. The program resource page has a direct link to the NEH instructions for completing the package.

□ **Complete the following forms contained in the Grants.gov application package.**

1. Application for Federal Assistance - Short Organizational (in which you must include in the Project Information field (6.b.) a one-paragraph description—up to one thousand characters, including spaces—written for a nonspecialist audience, clearly explaining the project's principal activities and its expected results)

2. Supplementary Cover Sheet for NEH Grant Programs

3. Project/Performance Site Location(s) Form

4. Attachments Form—Using this form, attach the parts of your application as described in the guidelines:

   ATTACHMENT 1: Abstract – one-page description of the project and its significance (name the file "projectdescription.pdf")

   ATTACHMENT 2: Table of contents (name the file "contents.pdf")

   ATTACHMENT 3: Narrative (name the file "narrative.pdf")

   ATTACHMENT 4: Budget and budget notes (name the file "budget.pdf")

   ATTACHMENT 5: Appendices (name the file "appendices.pdf")

   ATTACHMENT 6: List of project participants, consultants, and advisers (name the file "participantslist.pdf")

   ATTACHMENT 7: History of grants (name the file "granthistory.pdf")

   ATTACHMENT 8: Letters of commitment and support (name the file "letters.pdf")

   ATTACHMENT 9: Dissemination plan (name the file "dissemination.pdf")

   ATTACHMENT 10: Federally negotiated indirect-cost rate agreement, if applicable (name the file "agreement.pdf")

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 PDFs, 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 at https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html**.** 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 and the Budget Narrative Attachment 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.

Upload your application to Grants.gov. NEH **strongly** suggests that you submit your application no later than noon Eastern Time on the day of the deadline. Doing so will leave you time to contact the Grants.gov help desk for support, should you encounter a technical problem of some kind. The Grants.gov help desk is now available seven days a week, twenty-four hours a day (except on federal holidays), at 1-800-518-4726. You can also send an e-mail message to support@grants.gov.

Be sure to read the document (PDF) that explains how to confirm that you successfully submitted your application. It is your responsibility as an applicant to confirm that Grants.gov and subsequently NEH have accepted your application.

TIMELINE

Until May 15, 2019: Contact program officers in the Division of Preservation and Access (at 202-606-8570 or preservation@neh.gov) with questions and for advice (optional)

April 3, 2019: Submit draft application (optional) by this date

April 3, 2019: Applicants that have not registered in the System for Award Management (SAM) and Grants.gov should begin the process by this date

May 1, 2019: Applicants that have registered in SAM and Grants.gov should verify their registrations by this date

May 15, 2019: Applications must be submitted through and validated by Grants.gov by 11:59 PM Eastern Time on this date

Summer 2019: Peer review panels take place

December 2019: Meeting of the National Council on the Humanities, followed by funding decisions

Late December 2019: Applicants are notified of the funding decisions

January 2020: Institutional grants administrators and project directors of successful applications receive award documents by e-mail from the NEH Office of Grant Management

March 1, 2020: Successful applicants may begin work on their projects