NATIONAL ENDOWMENT FOR THE
# Humanities

DIVISION OF **EDUCATION PROGRAMS**

# SUMMER SEMINARS AND INSTITUTES FOR HIGHER EDUCATION FACULTY

Deadline:  February 21, 2019 (for Seminars and Institutes in summer 2020)

Catalog of Federal Domestic Assistance (CFDA) Number: 45.163

Funding Opportunity Number: 20190221-FS

If after reading this document you have questions about this grant program, contact the staff of NEH's Division of Education Programs at 202-606-2324 or sem-inst@neh.gov. Applicants who are deaf or hard of hearing can contact NEH via Federal Relay (TTY users) at 800-877-8399.

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# I. Program Description

NEH Summer Seminars and Institutes for Higher Education Faculty provide higher education faculty across the nation the opportunity to broaden and deepen their engagement with the humanities. The one- to four-week professional development programs allow participants (NEH Summer Scholars) to explore recent developments in scholarship, teaching, and/or curriculum through study of a variety of humanities topics.

NEH Summer Seminars and Institutes

- focus on the study and teaching of significant texts and other resources;

- provide models of excellent scholarship and teaching;

- contribute to the intellectual growth of the participants; and

- build lasting communities of intellectual and professional collaboration.

A program may take place at a college, university, learned society, center for advanced study, library or other repository, cultural or professional organization, or school or school system. The host site must provide facilities for collegial interaction and scholarship. The program must be held only in the United States and its territories.

## Program audience and formats

Seminars and Institutes are generally designed for a broad and diverse group of higher education faculty. Individual projects may target a more focused group of participants or extend their reach to include those outside the humanities.

Seminars

A Seminar provides a focused environment in which sixteen participants study a humanities topic under the guidance of one or two established scholars. Seminars have few, if any, visiting faculty. Seminars emphasize close interaction among the participants and director(s) through discussion of common readings and conversations about scholarship and teaching. Substantial time is made available for reflection, work on independent or collaborative projects, and related advising.

Institutes

An Institute allows twenty-five to thirty-six participants to study a humanities topic with a team of experienced scholars. Because this larger format emphasizes the range of perspectives that can be brought to a topic, an institute typically has more and longer meetings per week than a seminar. Project leaders and participants mutually explore connections between scholarship and teaching, and some time is provided for work on individual or collaborative projects.

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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](#).

## Special encouragement in recognition of and preparation for the 250th anniversary of American independence

Americans will celebrate the 250th anniversary of our nation in 2026. The anniversary of American independence provides an important opportunity to look back at the nation's founding and the past two and a half centuries of American history. What began as a conflict between the thirteen colonies and Great Britain culminated in the creation of what would become the world's oldest constitutional democracy. As we approach the 250th anniversary, NEH is offering a special encouragement to applicants to the Summer Seminars and Institutes for Higher Education Faculty program to consider the impact—both immediate and long term—of the momentous events of 1776.

We especially invite applications that explore the role of the Declaration of Independence and other foundational documents in the making of U.S. history. In addition, we would welcome applications that explore the experiences of states and communities beyond the original colonies in joining the nation, since they have their own stories of becoming part of the United States. We also invite applications examining the stories and contributions of under-represented communities in our nation's history.

NEH also encourages proposals for Summer Seminars and Institutes in the following areas:

- projects that promote a deeper understanding of American history and culture, as well as projects that advance civic education and knowledge of America's core principles of government; and

- projects related to the NEH initiative [Standing Together: The Humanities and the Experience of War](#).

NEH also especially encourages projects that include Native American organizations as lead applicants.

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

## Types of projects not supported

The NEH Summer Seminars and Institutes program does not support

- promotion of a particular political, religious, or ideological point of view;

- advocacy of a particular program of social or political action;

- projects whose focus falls outside the humanities; the creation or performance of art, creative writing, memoirs, and creative nonfiction; and empirically based social science research or policy studies;

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- support of specific public policies or legislation;

- educational or technical impact assessments; and

- projects that center on pedagogical theories and strategies, or on research on educational methods, tests, or measurements.

## 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-funded products. For projects that develop Web-based resources, all other considerations being equal, NEH prefers those that provide free access to the public.

NEH grantees must follow the requirements of Section 504 of the Rehabilitation Act of 1973, which is designed to eliminate discrimination on the basis of handicap 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 acquired, under an award. In accordance with 2 CFR 200.315 (b), NEH reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for federal purposes, and to authorize others to do so.

## Award information

Successful projects will be awarded outright funds. Outright funds awarded by NEH are not contingent on additional funding from other sources.

Depending on their length, projects will receive awards *up to* the amounts in the table below:

|  | 1 week | 2 weeks | 3 weeks | 4 weeks |
|---|---|---|---|---|
| Seminars | $70,000 | $90,000 | $105,000 | $125,000 |
| Institutes | $110,000 | $160,000 | $185,000 | $200,000 |

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

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## Voluntary cost sharing

Voluntary cost sharing includes cash contributions to a project by the applicant and nonfederal third parties, in-kind contributions (such as donated goods and services), and unrecovered indirect costs. Voluntary cost sharing may be used to cover costs that exceed the amounts listed in the table above.

## Period of performance

Fifteen months: October 1, 2019, to December 31, 2020

## Eligibility

Any U.S. nonprofit organization with 501(c)(3) status is eligible, as are state and local governmental agencies and federally recognized Indian tribal governments. Eligible organizations include institutions of higher education.

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

An institution may submit multiple applications for distinctly different projects.

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.

**Project directors or visiting lecturers** may be non-U.S. citizens if they bring unique and important expertise to the endeavor.

**The same project (that is, a project with essentially the same substantive content) may not be offered in consecutive years. (Previously funded directors who are unsure as to the applicability of this rule should consult with program staff.)**

The applicant for a project that received an NEH Seminar, Institute, or Landmarks Workshop award in one year may not submit the same project to any of the above summer programs in the year immediately following the award. For example, if an institution received funding for a project in 2018 (for a summer 2019 offering), it may not submit that same project for funding in the 2019 competition (for a summer 2020 offering).

**Participant (NEH Summer Scholar) Eligibility:** NEH Seminars and Institutes are designed primarily for full-time or part-time faculty who teach undergraduate students. Advanced graduate students, and those employed by museums, libraries, historical societies, and other organizations are also eligible. All applicants must demonstrate that their participation will advance the teaching and scholarly goals of the program.

Applicants must be United States citizens, residents of U.S. jurisdictions, or foreign nationals who have been residing in the United States or its territories for at least the three years immediately preceding the application deadline. Foreign nationals teaching abroad at non-U.S. chartered institutions are not eligible to apply.

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**Please note**: At least three seminar spaces and at least five institute spaces are reserved for non-tenured/non-tenure-track faculty members. Two seminar spaces and three institute spaces may be reserved for advanced graduate students.

An applicant need not have an advanced degree in order to qualify as an NEH Summer Scholar. Individuals may not apply to an NEH Summer Seminar or Institute whose director is a family member, is affiliated with the prospective applicant's institution, or is someone with whom the prospective applicant has previously studied.

NEH generally does not award grants 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 grant funds from, or sites and materials controlled by, other federal entities in their projects.

Late, incomplete, or ineligible applications will not be reviewed.


# 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** (see the program resource page);
- consult the program's **review criteria** (see below);
- read the **Frequently Asked Questions** (see the program resource page);
- contact the **program staff** (at 202-606-2324 or sem-inst@neh.gov) to discuss your project and raise any questions you may have about the application; and
- submit an optional **draft proposal** (see the instructions below).


## Proposal draft review (optional)

Applicants are encouraged to contact program officers, who can offer advice about preparing the proposal and respond to draft proposals. Please submit draft proposals as an attachment to sem-inst@neh.gov **no later than January 24, 2019**. (Staff cannot guarantee responses to drafts submitted after that date.) Staff responses to draft proposals are not part of the formal review process and have no bearing on the final outcome of the proposal. However, applicants have found them helpful in strengthening their applications.

## Review criteria

Applications are evaluated according to three general criteria of evaluation: intellectual quality and significance, program design and feasibility, and impact.

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Applications for projects that have been offered previously must meet additional criteria.

1. **Intellectual quality and significance**

   To what extent is the topic of the proposal significant for humanities scholarship and teaching? To what extent does the project have an intellectual rationale that is fully developed, clear, and persuasive? To what extent is the treatment of the subject matter balanced? To what extent does it incorporate a variety of approaches and viewpoints? To what extent is the project supported by primary sources (including artwork, material objects, or performances, if relevant) and secondary texts that are well chosen? To what extent is it supported by faculty who are excellent teachers and who possess significant expertise in relevant academic area(s)?

   For previously offered projects: To what extent does the application specifically explain how the project's intellectual quality will be strengthened through revisions to the project's scope, scholarly approach, resources, and/or faculty, as appropriate?

2. **Program design and feasibility**

   To what extent does the proposed project demonstrate suitable alignment of program length and scope; well-planned schedules and activities that allow time for reading, reflection, and structured and informal discussion; adequate access to facilities and other resources for study and collegial exchange; strong evidence of commitment from the host institution and project scholars; and a realistic project budget? To what extent does the project director demonstrate expertise in program execution and the ability to facilitate a collegial environment?

   For previously offered projects: To what extent does the application demonstrate appropriate changes to the project's design and feasibility, considering such issues as scheduling, facilities, and the meaningful involvement of participants and scholars?

3. **Impact**

   To what extent does the proposal explain how the project will achieve a sustained impact on participants' teaching and intellectual lives? To what extent does it provide adequate plans for participant follow up and the dissemination of resources?

   For previously offered projects: To what extent does the application establish evidence of strong participant interest in the topic, as manifested by a robust applicant pool, and show a fully developed, clear, and persuasive plan to maximize the project's reach and impact beyond the summer program and audience?

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## 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). 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.

Provide a one-paragraph abstract (up to one thousand characters, including spaces) written for a nonspecialist audience, clearly explaining the project's principal activities and its expected results. You should place the paragraph in the Project Information field (section 6.b) in the SF-424 Application for Federal Domestic Assistance - Short Organizational form. (The program resource page provides a link to the instructions for submitting your application to Grants.gov, which contain information about this form.) Do not attach the abstract to the Attachments Form, a form that is also explained in the instructions for submitting your application to Grants.gov.

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

1. **Table of contents**

   List all parts of the application with page numbers. Beginning with the narrative description, number the pages consecutively through all sections of the application, including the appendices.

2. **Narrative description**

   Limit the narrative description to *fifteen* double-spaced pages with one-inch margins and a font size no smaller than twelve points.

   The narrative should be free of academic jargon and accessible to nonspecialists.

   Provide a detailed description of the project, including the following elements.

   a) **Nature of the request**

      In the opening paragraph, clearly explain the project's history, duration, format, and intended audience. Indicate if this is a new project or how many times it has been offered previously. Identify the project's duration (one, two, three, or four weeks) and format (Seminar or Institute). Indicate how many participants the project is designed to host. (As a reminder, Seminars must host sixteen participants and Institutes must host twenty-five to thirty-six participants.)

   b) **Project development (only for previously offered projects)**

      In no more than two paragraphs, explain how your experience with a previous NEH summer project (or projects) has shaped the project currently being

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proposed. This section should address salient feedback from participants and identify changes to the project scope, team, scholarship, scheduling, or other matters that demonstrate steps taken to improve the project.

c) **Intellectual rationale**

Introduce the subject to be studied and explain its intellectual significance. Outline the questions, themes, and approaches to the topic (detailed below in the program of study) and explain how they support relevant scholarship and teaching.

Explain why the program's length is appropriate to the scope of the material that it will examine.

d) **Program of study**

Outline the structure of the Seminar or Institute and how exploration of its subject matter will unfold. Describe

- the topics and themes that support the subject to be studied, and the core readings and academic sessions that will address them;

- how the director(s) and/or project faculty will employ the readings and academic sessions to illuminate a variety of approaches to the subject and respect diverse viewpoints on it;

- how the director(s) and/or project faculty will involve participants in the intellectual life of the project (for example, by leading sessions, participating in small-group discussions, and undertaking individual or collaborative projects); and

- the opportunities for faculty leaders and participants to discuss how they would translate the material under study into their teaching.

**Include a full schedule in an appendix.** In light of the variety of college and university schedules, NEH Summer Seminars and Institutes should begin no earlier than the third week of June and end before the second week of August.

e) **Project faculty and staff**

Well-chosen staff (both academic and administrative personnel) are critical to project effectiveness. Proposals that fail to justify costs charged to the project for each team member in terms of expertise, role, and time commitment may receive reduced funds. (See the budget instructions below.) Note that project staff may but need not be employed by the applicant institution.

The director(s) is/are responsible for all programmatic aspects of the project. This includes overseeing all arrangements, recruiting and selecting participants, and conducting the residential portion of the project and related follow-up activities. Directors should be present throughout the residential program and should not assume any other commitments. (Projects with a single director must

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provide for a suitable replacement director should the original director become unable to direct the project. This person may be a co-director or project scholar who is already familiar with the program.)

Additional scholars and academic staff may contribute to the project.

- **Seminars** should average no more than one day per week with a visiting scholar. Additional academic staff (such as library or museum personnel) should also be limited.

- **Institutes** should be built around a team of additional scholars and related staff.

Project administrators may range from a co-director to a professional manager, graduate student, on-site coordinator, or a combination thereof.

*For seminars:* Discuss the relationship between the topic and the expertise of the director(s) and visiting scholars (if any).

- If you propose co-directors, explain how the team will share intellectual and administrative responsibilities. If you propose a single director, identify a replacement director who is prepared to assume leadership of the project if necessary. Explain how that individual will be prepared to assume the intellectual and administrative responsibilities, if needed.

- If you include visiting scholar(s) or academic support staff, explain their role on and time commitment to the project, and how they will further project goals.

- Describe key administrative personnel, noting their expertise and their role in and time commitment to the project.

*For institutes:* Describe the roles and qualifications of the project team.

- Describe the qualifications of the project director(s). When leadership is shared, explain the intellectual and administrative roles played by each director. For projects with a single director, identify a replacement director who is prepared to assume leadership of the project if necessary. Explain how that individual will be prepared to assume the intellectual and administrative responsibilities, if needed.

- Describe additional scholars who comprise the project team, noting their expertise and their role on and time commitment to the project. Where two or more scholars are present at any given time, explain their shared role and how it will enhance the participants' experience.

- Additional academic staff (such as library or museum personnel) may spend a brief time with a participant group (for example, conducting a two-hour library or museum session). Summarize the key personnel for these sessions, noting their expertise and their role in and time commitment to the project.

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- Describe key administrative personnel, noting their expertise and their role in and time commitment to the project.

*For both Seminars and Institutes:* Project directors should provide résumés of no more than four pages in an appendix. For additional scholars and key academic personnel, including a potential replacement director (if there is no co-director), provide résumés of no more than two pages in an appendix.

Include in an appendix letters or e-mail messages of commitment for all project scholars and the potential replacement director (if there is no co-director).

f) **Summer participants and selection committee**

NEH encourages the selection of a broad and diverse cohort of higher education faculty.

Seminars and Institutes must be open to all eligible higher education faculty as defined by the NEH criteria that are stated above. Individual projects that target a more focused group, such as those who teach at community colleges, or widen their reach to include non-humanists may give preference to applicants who match the intended audience.

Each Seminar *must* include three or more contingent (that is, non-tenured/non-tenure-track) faculty as NEH Summer Scholars. A Seminar *may* include up to two advanced graduate students. Each Institute *must* include five or more contingent (that is, non-tenured/non-tenure-track) faculty as NEH Summer Scholars. An Institute *may* include up to three advanced graduate students.

The committee charged with selecting the NEH Summer Scholars typically consists of the project director(s) and two or more members.

Describe

- the intended audience from which you will select your participants (NEH Summer Scholars) and indicate any special qualifications required for the project, such as foreign language proficiency; and

- the non-director members of your committee and explain why they are suited to this role.

g) **Project outreach**

Effective outreach is central to a successful Seminar or Institute before, during, and after the summer program. You should 1) plan to engage communities likely to generate a strong pool of applicants; 2) foster intellectual community and the exchange of ideas among the summer participants; and 3) share the summer output with and beyond the participant group.

**Project websites** are fundamental tools to 1) recruit prospective NEH Summer Scholars, 2) provide intellectual and practical resources for participants, and 3) extend the reach of your project.

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**Non-web resources and activities**, such as the use of social media and listservs, the mentoring of participants, and the generation of public-facing activities should complement the website.

**Dissemination** of the project after the residential period may involve multiple approaches. For example, you may expand your audience by hosting a blog; or by highlighting new website resources, such as annotated primary sources, bibliographies, lesson plans, syllabi, or articles. Dissemination may also involve public events or discussions; faculty development workshops; or podcasts, webinars, conference sessions, or publications distinctly related to the project. Social media and listservs may be effective tools for promoting these extensions of your project.

(Note: NEH will conduct a broad program of outreach for the full slate of Seminars and Institutes and will provide guidance regarding the essential elements of a project website.)

Outreach costs must be clearly identified. (See budget instructions below under "Other Costs.")

**All projects** must create a website that 1) supports participant recruitment, 2) provides intellectual and practical resources for participants, and 3) extends the reach of the project.

- Describe the goals and key components of your website and the activities and personnel required to create and maintain it. (Examples of websites from former projects may be found [here](here)).

- Describe your plans, including the use of non-web resources, to recruit a robust pool of applicants for the summer program, how you will communicate with participants before and after the program, and how you will share the summer output with participants and others.

**Previously offered projects:** In addition to building a robust application pool and communicating effectively with participants as described above, previously offered projects must demonstrate continued demand for the project and must significantly increase the project's impact through a specific program of dissemination beyond the participant audience. (Outreach costs should be allocated to support the increased emphasis on dissemination.)

- Indicate how many applications you have received in all previous offerings (up to the three most recent offerings).

- Describe specific plans to maximize the project's dissemination beyond the participant group to a local, regional, and/or national audience. Identify and explain how you will reach the target audience(s). Describe the resources and/or activities you will bring to the audience(s). Plans may involve project scholars and/or participants and may use the website and other approaches as appropriate.

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h) **Institutional support**

Explain how the resources of the host institution will serve the proposed project. Describe provisions for moderately priced participant housing either at or near the institution. Describe academic and other support facilities such as meeting spaces, research collections, and computing resources.

Include in an appendix a letter of support from a senior official of the host institution. The letter must confirm the institution's commitment to the project and ensure that relevant offices will provide timely and effective support.

3. **Budget**

Provide a budget. You can find a budget form (MS Excel) and sample budgets for Seminars and Institutes on the program resource page. Budgets should be completed in compliance with 2 CFR 200 Subpart E – Cost Principles.

All of the items listed must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

A. **Participant support costs (including stipends)**

Each participant will receive a stipend that is intended to help cover travel to and from the project location, lodging, meals, and other expenses for the duration of the Seminar or Institute: one week = $1,200; two weeks = $2,100; three weeks = $2,700; four weeks = $3,300.

NEH expects the sponsoring institution to make provision for suitable housing for participants at reasonable rates. Reservations for housing, travel and services arranged either by the applicant organization or by participants must be made on a refundable basis. Any arrangements made on a non-refundable basis are at the risk of the organization or the participants if the services must be cancelled for any reason.

Include in this item as well academic materials or services (for example, core texts) to be given to the participants.

B. **Direct costs exclusive of participant support costs**

**Item 1: Salaries and wages (for staff employed by the applicant institution)**

**Item 1a**: List here compensation for the project director(s) employed by the applicant institution. (Salaries and wages for those not employed by the applicant institution should be listed under budget item 3). Project directors are compensated up to the amounts below, depending on the number of directors and the length of their programs. See the chart below:

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| # directors | 1 week | 2 weeks | 3 weeks | 4 weeks |
|---|---|---|---|---|
| 1 | $12,500 | $15,000 | $17,500 | $20,000 |
| 2 | $7,500 each | $9,000 each | $10,500 each | $12,000 each |

Three co-directors should equally divide no more than the total sum allotted to two directors. (For example, three co-directors of a one-week program would each receive up to $5,000—a third of the total sum of $15,000 that two co-directors might receive.)

A designated replacement director should receive a fee of up to $1,500 separate from any other project compensation. Should this person be called upon to assume leadership of the project, s/he would receive a pro-rated portion of the original director's compensation and (if relevant) the original compensation for work as a project scholar.

**Item 1b**: List here compensation for additional scholars, other academic personnel, and administrative staff employed by the applicant institution. (Compensation for those not employed by the applicant institution should be listed under budget item 3.)

- Payment of project scholars should be based on their role on and time commitment to the project. Payment for each *full* day's contribution to the project should not exceed $750 per day; payment for a full week (five consecutive days) on the project should not exceed $3,000. (Note: In general, no scholar's total compensation should exceed that of a director.)

- Compensation for academic staff spending a brief period with participants (such as a two-hour library or museum session) or whose role requires less scholarly responsibility should be budgeted proportionally and in compliance with 2 CFR 200.430 and 431 (or .459, if applicable).

- Costs for administrative staff must be reasonable and appropriate to the length of the seminar or institute, and such costs must be calculated in compliance with 2 CFR §§200.430 and 431 (or .459, if applicable). For organizations charging indirect costs: per 2 CFR §200.413 (c), the salaries of administrative and clerical staff should normally be treated as indirect (F&A) costs. Do not include direct charges for administrative staff if those costs are recovered as indirect.

- Members of the participant selection committee (other than the project director) employed by the applicant institution may receive up to a $250 honorarium.

## Item 2: Fringe benefits

Fringe benefits are allowances and services provided by recipient to their employees as compensation in addition to regular salaries and wages. Fringe

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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.

### Item 3: Consultant fees (for staff not employed by the applicant institution

List here consultant fees for those individuals not employed by the applicant institution. (Their potential roles on the project are described in budget items 1a and 1b above.) Do not include travel and subsistence reimbursement in this section. Travel and subsistence reimbursement for consultants should be entered below in budget item 4. All consultant fees claimed must be in compliance with 2 CFR §200.459.

### Item 4: Travel

List here travel and accommodation expenses for visiting consultants listed in budget item 3, the costs likely to be incurred by the project director(s) to attend a two-day project directors' meeting held in Washington, D.C., and the project director's travel to and from (and accommodation at) a Seminar or Institute site away from the director's home institution.

List the travelers by name (if possible) or position and destination; reflect the travel expenses (for example, mileage, airfare, lodging, parking, per diem, etc.) for each person and trip; briefly describe the purpose of the travel.

Please note: if incidental food items and/or meals are provided at no charge during meetings, conferences, training, or other events attended while on travel, the per diem charged to the award must be reduced accordingly. Alcoholic beverages are unallowable and may not be charged to the award.

Participant travel is covered by the stipend awarded to each NEH Summer Scholar. Please do not include participant travel here.

Calculate costs in accordance with the applicant institution's policy, and provide the method of calculation. 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.

### Item 5: Supplies and materials

List reasonable administrative and project charges for materials such as office and computer supplies with a limited life span. You may include water or light refreshments for site visits and other project-related activities. (Note that these costs may be included only if they are not part of the indirect-cost pool.)

### Item 6: Subawards and contracts

Include the cost of activities to be undertaken by a third-party subrecipient or contractor. Include transportation services such as buses and vans. All

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expenses must be essential to the project and must be justified in the budget notes, which are discussed below.

Include an itemization of subaward and contract costs. (If you plan to collaborate with another institution, the grants office of the applicant institution may wish to consult with the NEH Office of Grant Management.)

**Item 7: Other costs**

- Include museum admissions, cell phone charges, and the rental of films and equipment.

- Include necessary printing and postage costs. (Note: NEH encourages digital dissemination of publicity and academic materials whenever possible.)

- Include funds for project outreach: the website, non-web-based activities, and dissemination. (Budget lines and/or notes should identify outreach costs clearly.) Note that (depending on who is doing the work) outreach costs might be listed under item 1b, item 3, or item 6.

**Total direct costs** exclusive of participant support costs are calculated by adding items in B, 1 - 7.

## C. Indirect costs (Facilities and Administration or "F&A")

Indirect costs (also known as "facilities and administrative" or F & A costs) are those costs incurred for common or joint objectives that cannot be readily identified with a specific project or activity of an organization. "Facilities" is defined as depreciation on buildings, equipment and capital improvement, interest on debt associated with certain buildings, equipment and capital improvements, and operations and maintenance expenses. "Administration" is defined as general administration and general expenses such as the director's office, accounting, personnel, and all other types of expenditures not listed specifically under one of the subcategories of "Facilities" (including cross allocations from other pools, where applicable).

An indirect cost rate is simply a device for determining the proportion of general (indirect) expenses that each federally funded project may include as part of its overall budget request. Indirect costs are computed by applying a federally negotiated indirect cost rate to a distribution base. When indirect costs are charged to the project, be careful not to charge to the project as direct costs those items that are included in the organization's indirect-cost pool.

For applicants seeking reimbursement for indirect costs: please review carefully your institution's federally-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

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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% 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.

Per 2 CFR §200.76, participant support costs means direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences, or training projects.

If the applicant institution is claiming indirect costs and already has a federally negotiated indirect-cost rate agreement, indicate on the budget form the rate, the base, the name of the agency with which the institution negotiated, and the date of that agreement. In addition, submit a copy of the

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institution's current federally negotiated indirect-cost rate agreement. Do not attach the agreement to your budget form. Instead you must attach it to the Attachments Form as Attachment 6.

### D. Amount requested from NEH

Amount requested includes items A, B, and C. (Note that NEH will provide funding only up to the budget limits listed in the table on p. 5 above.)

### Budget notes

Include brief budget notes as needed to justify requested compensation levels and other expenditures.

### Inadmissible budget items

The following costs are not allowable and may not appear in project budgets:

- compensation for faculty members performing their regular duties;

- the rental of recreational facilities and costs related to social events such as banquets, receptions, and entertainment. (Meals are allowable only if vendors are inaccessible during the scheduled program, such as during a field trip at a remote location.); and

- tuition fees for participants or student assistants.

4. **Appendices**

Limit your appendices to directly relevant materials discussed in the narrative, including

- a day-by-day schedule,

- detailed reading lists,

- brief résumés,

- letters of commitment from all project scholars other than the project director(s), and

- letter(s) of support from the host institution.

Number the pages of your application consecutively, including appendices. The proposal narrative should refer to items in the appendices by page number.

5. **Reference letters or evaluations**

a. **Reference letters:** Directors of **first-time projects** must furnish *two reference letters* (or up to two letters per director). Letters should address the merits of the project, the qualifications of the director(s), and the director's or directors' suitability for implementing the project. (Previously funded directors who are applying for an entirely

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new project must also have reference letters submitted on their behalf; they do not submit evaluations.)

To facilitate the submission of the letters, provide here (on a page entitled "References") the name (with title, institution, and e-mail address) for each referee from whom a letter has been solicited.

Note: Several days after the deadline, NEH will provide instructions for how to generate the complete set of reference letters. The directions will be sent to *the project director named on the application cover sheet*. (The directions will involve sending a specific link to each referee who will then submit an electronic letter directly to the application file.)

It is this director's responsibility to send the NEH instructions immediately to each referee (including, when appropriate, referees for a co-director). Reference letters must be submitted no later than March 8. (It is also this director's responsibility to provide referees with a draft of the proposal narrative, so they may write effective letters.)

b. **Evaluations: Directors of past NEH summer projects** must submit evaluations from their most recent NEH summer project.

6. **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

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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. 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 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

Draft proposals (optional): Program staff recommends that draft proposals be submitted no later than January 24, 2019. Time constraints may prevent staff from reviewing draft proposals submitted after that date. Staff comments in response to draft proposals are not part of the formal review process and have no bearing on the final outcome of the proposal, but previous applicants have found them helpful in strengthening their applications. Draft proposals should be submitted to sem-inst@neh.gov.

**Applications must be received and validated by Grants.gov by 11:59 PM Eastern Time on February 21, 2019. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after that date will not be accepted.**

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# 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 Administrative Requirements set forth in 2 CFR §200.205. (See below the next heading for more information about the Office of Management and Budget's Administrative Requirements, which NEH has implemented.) 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 August 2019. Institutional grants administrators and project directors of successful applications will receive award documents from the NEH Office of Grant Management by e-mail in September 2019. 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 in great detail. Applicants may obtain the evaluations of their applications by sending an e-mail message to sem-inst@neh.gov.

In December 2014 NEH adopted 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 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.

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# V. Additional Information

## Contact information for the program and Grants.gov

If you have questions about the program, contact:

Division of Education Programs
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
202-606-2324
sem-inst@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: https://www.grants.gov/
Grants.gov help desk: support@grants.gov
Grants.gov customer support tutorials and manuals:
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 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.

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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, D.C. 20506; and the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 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. Read the SAM update and FAQs to learn more about this process.

☐ **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 Domestic 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: Table of contents (name the file "contents.pdf")

   ATTACHMENT 2: Narrative (name the file "narrative.pdf")

   ATTACHMENT 3: Budget (name the file "budget.pdf")

   ATTACHMENT 4: Appendices (name the file "appendices.pdf")

   ATTACHMENT 5: References *or* project evaluations (name the file "references.pdf" or "evaluations.pdf")

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ATTACHMENT 6: 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 p.m. 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

**Before the February 21, 2019 deadline:** Contact Division of Education Programs program officers (at 202-606-2324 or sem-inst@neh.gov) with questions and for advice (optional)

**January 10, 2019:**  Applicants that have not registered in the System for Award Management (SAM) and Grants.gov should begin the process by this date

**January 24, 2019:** Submit draft proposals by this date (optional)

**February 7, 2019:** Applicants that have registered in SAM and Grants.gov should verify their registrations by this date

**February 21, 2019:**  Applications must be submitted through and validated by Grants.gov by 11:59 PM Eastern Time on this date

**April-May 2019:** Peer review panels take place

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

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**August 2019:** Applicants are notified of the funding decisions

**September 2019:** Institutional grants administrators and project directors of successful applications receive award documents by e-mail from the NEH Office of Grant Management

**October 1, 2019:** Successful applicants' grant periods begin

**October 2019:** Project directors' meeting in Washington, D.C.

**June-August 2020:** Summer Seminars and Institutes take place