NATIONAL ENDOWMENT FOR THE HUMANITIES

## Notice of Funding Opportunity

# Preservation Assistance Grants for Smaller Institutions

Funding Opportunity Number: 20240111-PG

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.149

## Application Deadline: January 11, 2024

Ensure your SAM.gov and Grants.gov registrations and passwords are current.
It may take several weeks to register with SAM.gov and Grants.gov.
NEH will not grant deadline extensions for lack of registration.

Division of Preservation and Access
Email: preservation@neh.gov
Telephone: 202-606-8570
Federal Relay: 7-1-1

OMB control number 3136-0134, expiration date October 31, 2024

# Executive Summary

The National Endowment for the Humanities (NEH) Division of Preservation and Access is accepting applications for the Preservation Assistance Grants for Smaller Institutions program. The purpose of this program is to help small and mid-sized institutions improve their ability to preserve and care for their humanities collections. The program encourages applications from small and mid-sized institutions that have never received an NEH grant.

| | |
|---|---|
| Funding Opportunity Title | Preservation Assistance Grants for Smaller Institutions |
| Funding Opportunity Number | 20240111-PG |
| Federal Assistance Listing Number | 45.149 |
| Application Deadline | January 11, 2024, 11:59 p.m. Eastern Time |
| Anticipated Award Announcement | August 2024 |
| Anticipated FY 2024 Funding | Approximately $650,000 |
| Estimated Number and Type of Awards | Approximately 65 grant(s) |
| Award Amounts | Up to $10,000 |
| Cost Sharing/Match Required | No |
| Period of Performance | One year to eighteen months<br><br>Projects must start between September 1, 2024, and December 1, 2024. |
| Eligible Applicants | • nonprofit organizations recognized as tax-exempt under section 501(c)(3) of the Internal Revenue Code<br>• accredited institutions of higher education (public or nonprofit)<br>• state and local governments and their agencies<br>• federally recognized Native American Tribal governments<br><br>See C. Eligibility Information for additional information. |
| Program Resource Page | https://www.neh.gov/grants/preservation/preservation-assistance-grants-smaller-institutions |
| Pre-Application Webinar | November 3, 2023, 2:00 p.m. Eastern Time<br>Click here for the Preservation Assistance Grant Webinar |
| Published | October 17, 2023 |

# Table of Contents

# A. Program Description

## 1. Purpose

This notice solicits applications for the Preservation Assistance Grants for Smaller Institutions program from the NEH Division of Preservation and Access.

Preservation Assistance Grants help small and mid-sized organizations preserve and manage humanities collections, ensuring their significance for a variety of users, including source communities, humanities researchers, students, and the public, by building their capacity to identify and address physical and intellectual preservation risks. The program encourages applications from institutions that have never received an NEH grant as well as community colleges, minority serving institutions (Hispanic-Serving Institutions, Historically Black Colleges and Universities, Tribal Colleges and Universities), Native American tribes and tribal organizations, and Native Alaskan and Native Hawaiian organizations. Furthermore, NEH encourages applicants whose organizations or collections represent the contributions of historically excluded communities.

The Preservation Assistance Grants for Smaller Institutions program focuses on foundational activities in preservation and management of collections. Collections may include archives and manuscripts, prints and photographs, moving images, sound recordings, architectural and cartographic records, decorative and fine art objects, textiles, archaeological and ethnographic items, tribal collections, material culture, historical objects, special collections of books and journals, and digitized and born-digital materials. Supported activities should fall into the following general categories, though the lists of possible activities are not exhaustive:

**Preservation Assessments and Planning**

- General preservation assessments
- Digital preservation assessments
- Conservation assessments
- Assessing environmental impacts of lighting systems or aging mechanical systems
- Assessing collection documentation needs to identify an appropriate collection management system
- Foundational conversations and/or consultations with source communities represented in collections to determine culturally appropriate preventive conservation practices and/or initiate or develop accurate vocabularies and/or descriptions of collection items resulting in a processing guide or written report with actionable recommendations
- Consultations with scholars and subject matter experts to initiate or develop accurate vocabularies and/or descriptions of collection items resulting in a processing guide or written report with actionable recommendations
- Development and revision of written plans, policies, and procedures such as emergency/disaster preparedness and response plans, digitization plans, storage plans, collection management plans, collecting plans, loan policies, and processing manuals

**Preventive Care**

- Purchase, shipping, and installation costs of storage and preservation supplies, including durable furniture and supplies (e.g., cabinetry, shelving units, storage containers, boxes, folders, and sleeves) for the purpose of rehousing collections for long-term storage or display, digital storage (e.g., external hard drives, RAID, NAS, LTO systems, and cloud-based storage), and discrete and reversible units to improve the environment (e.g., portable dehumidifiers, air conditioning units, UV filtering shades, and HEPA vacuums). Project expenses such as storage furniture, UV filters, or discrete units for air conditioning **must demonstrate that they will not make irreversible changes to buildings.**
- Implementing and improving environmental monitoring and/or integrated pest management programs, including the purchase of necessary monitoring supplies and related tracking software
- Implementing and/or piloting environmentally sustainable preventive care strategies, which may have been recommended in previous preservation assessments or by a consultant, such as addressing water runoff systems to prevent moisture impacts on collections spaces or creating preservation microclimates for vulnerable collections
- Workshops and/or training for staff and volunteers that address preservation topics, which might include preservation and care of specific material types, care and handling of collections during rehousing and/or digitization, preservation standards for digital collections, disaster preparedness and response, integrated pest management, or an overview of the agents of deterioration

**Collections Management**

- Initial steps that improve the management of collections and knowledge of the contents of collections, such as location and format surveys, inventories, updating condition reports, and/or other preparatory steps toward description of collections
- Workshops and/or training courses for staff and volunteers that address intellectual control topics such as best practices for arrangement, description, and cataloging of collections

We encourage you to take advantage of the opportunity to hire a consultant to support and further develop your organization's capacity. Staff can also lead project activities, especially if they are implementing recommendations from a previous assessment or established frameworks. In all cases, you must demonstrate that project staff and consultants have the necessary background, skills, and training to perform the requested activities. For more information on how to select a preservation or information consultant, applicants may wish to consult the FAQs and resources included in H. Other Information.

Applications can focus on discrete activities, such as an assessment or the development of a written plan, or a combination of connected activities, such as rehousing and updating collection inventory. If you have previously received a Preservation Assistance Grant, you may apply for another one to support the next phase of your preservation efforts. For example, after completing a preservation assessment, you might apply to purchase storage supplies and cabinets to rehouse a collection identified as a high priority for improved storage. NEH will not give these proposals special consideration and will judge them by the same criteria as others in the competition.

The expected outcome for a Preservation Assistance Grant is increased organizational capacity to preserve and maintain access to humanities collections, so as to facilitate their use by the representative communities, scholars, and the public.

Reference resources compiled for applicants in Section H. Other Information.

See D6. Funding Restrictions for unallowable activities.

See E1. Review Criteria for the standards NEH will use to evaluate applications under this notice.

# 2. Background

NEH offers this funding opportunity under the authority of 20 U.S.C. § 956. 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 January 1, 2022 or later).

Under Section 3(a) of the National Foundation on the Arts and the Humanities Act of 1965, as amended, "The term 'humanities' includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism and theory of the arts; those aspects of the social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life."

Use the Funded Projects Query Form to find examples of NEH-supported projects.

Learn more about NEH.

## NEH Areas of Interest

NEH is especially interested in supporting projects that advance humanities-related work in the following areas. NEH will give all applications equal consideration in accordance with the program's review criteria.

NEH encourages projects that include Native American organizations and communities as applicants and project partners.

## American Tapestry: Weaving Together Past, Present, and Future

*American Tapestry: Weaving Together Past, Present, and Future* is a wide-ranging special initiative at NEH that leverages the humanities to tackle some of the most pressing challenges of our time: strengthening our democracy, advancing equity for all, and addressing our changing climate. The initiative encourages humanities projects that elevate the role of civics in schools and public programs, advance knowledge of the country's history and political institutions, and examine threats to its democratic principles. The initiative also encourages projects that explore the untold stories of historically underrepresented groups and build capacity at cultural and educational institutions to benefit underserved communities. Finally, the initiative welcomes projects that promote research into the historical roots and cultural effects of climate change and support the cultural and educational sectors in building climate resilience. By supporting humanities projects that align with these three themes – strengthening our democracy, advancing equity for all, and addressing our changing climate – the *American Tapestry* initiative seeks to tell our country's history in all its complexity and diversity.

### United We Stand: Connecting Through Culture

Hate must have no safe harbor in America – especially when that hate fuels the kind of violence we've seen from Oak Creek to Pittsburgh, from El Paso to Poway, and from Atlanta to Buffalo. When ordinary Americans cannot participate in the basic activities of everyday life – like shopping at the grocery store or praying at their house of worship – without the fear of being targeted and killed for who they are, our security as well as democracy are at risk. In coordination with the White House "United We Stand" Summit in September 2022, NEH launched a new initiative titled *United We Stand: Connecting Through Culture* that uses the humanities to combat hate-motivated violence and promote civic engagement, social cohesion, and cross-cultural understanding. As a part of this initiative, NEH encourages humanities projects that further our understanding of the nation's racial, ethnic, gender, and religious diversity; examine the sources of hate and intolerance in the United States; and explore progress towards greater inclusiveness.

### NEH's Support for the Federal Indian Boarding School Initiative

As a part of NEH's partnership with the Department of the Interior on the Federal Indian Boarding School Initiative, NEH encourages projects that further public understanding and knowledge of the Federal Indian boarding school system. From 1819 through the 1970s the government of the United States operated a system of schools for Native American, Alaska Native, and Native Hawaiian children premised on a policy of coerced cultural assimilation. Native children were forcibly separated from their families and sent to attend federal Indian boarding schools, where they were frequently subject to harsh treatment and abuse. A number of these students died, and others never returned to their families and communities. Many were also deprived of their cultural inheritance. NEH encourages projects that document and explore the history of the federal Indian boarding schools as well as projects that contribute to Native and Indigenous cultural and language revitalization.

# B. Federal Award Information

## 1. Type of Application and Award

NEH seeks new applications in response to this notice.

NEH will provide funding in the form of grants.

## 2. Summary of Funding

### Award amounts

You may request up to $10,000. This includes the sum of direct and indirect costs.

NEH anticipates awarding approximately $650,000 among an estimated 65 recipients.

NEH will award successful applicants outright funds, which are not contingent on additional funding from other sources.

NEH will not determine the exact amount available for funding until Congress makes appropriations official for FY 2024. NEH will issue awards subject to the availability of appropriated funds. NEH is publishing this notice as a contingency to ensure that NEH can process applications and issue awards in a timely manner, should sufficient funds become available.

### Period of performance

You may request a period of performance between one year and eighteen months with a start date between September 1, 2024, and December 1, 2024.

The period of performance is the time during which you may incur expenses to carry out the work under the award. It must start on the first day of the month and end on the last day of a month.

The Division of Preservation and Access encourages you to carefully consider the time necessary to complete your project and to tailor your period of performance accordingly. For example, a request to purchase rehousing supplies should include the time it will take to rehouse the collection, and projects that involve consultants should consider the need for flexible schedules to accommodate site visits, virtual meetings, and time for consultants to complete their reports.

# C. Eligibility Information

## 1. Eligible Applicants

To be eligible to apply, your organization must be established in the United States or its jurisdictions as one of the following:

- a nonprofit organization recognized as tax-exempt under section 501(c)(3) of the Internal Revenue Code
- an accredited institution of higher education (public or nonprofit)
- a state or local government or one of their agencies
- a federally recognized Native American Tribal government

Individuals and other organizations, including foreign and for-profit entities, are ineligible.

If your organization is eligible, you may apply on behalf of a consortium of collaborating organizations. If NEH selects your proposal for funding, you will be programmatically, legally, and fiscally responsible for the award.

**The recipient may not function solely as a fiscal agent** but should make substantive contributions to the success of the project.

## 2. Cost Sharing

NEH does not require cost sharing in this program.

Cost sharing or matching is the portion of the project costs you pay for with non-NEH funds. Peer reviewers will not consider cost sharing in their evaluation of applications.

## 3. Other Eligibility Information

You may submit only one application under this notice. However, distinct collecting entities within a larger organization, such as university's library and museum or two historic sites within a historical society, may each apply separately.

If you submit multiple applications (including submitting to the wrong funding opportunity or making corrections/updates), NEH will only accept your last validated submission prior to the deadline under the correct Grants.gov funding opportunity.

You may revise and resubmit applications that were rejected in previous competitions. Submissions are subject to the application requirements and review criteria of the current competition.

Per 2 CFR § 200.403(f), you must not include the same project costs in more than one application for federal funding and/or approved federal award budget. However, you may submit multiple proposals for **complementary** aspects of the same overall project. NEH may disallow costs or reject applications that include overlapping project costs. An individual's level of effort cannot exceed 100% across multiple active federally funded awards.

NEH does not issue awards to other federal entities. If your project is so closely intertwined with a federal entity that the project takes on characteristics of the federal entity's own authorized activities, it is ineligible. You may use funds from, or sites and materials controlled by, other federal entities in your project.

NEH does not provide financial assistance to foreign institutions or organizations. If you are an eligible domestic entity, you may apply for collaborative projects involving foreign organizations provided you do not use NEH funds for the purpose of issuing subawards to any foreign organization, as defined in 2 CFR §§ 200.1 and .331(a). You may obtain the services of foreign individuals and consultants to carry out programmatic activities on a fee-for-service basis, as specified in 2 CFR § 200.459. You may obtain goods and services from foreign vendors, such as in-country transportation services, in accordance with 2 CFR § 200.331(b). If you plan to submit an application involving international collaboration, contact program staff at preservation@neh.gov.

**Except for the rare cases covered by its late submission policy, NEH will not consider applications submitted after the deadline.**

**NEH will not consider incomplete, nonresponsive, or ineligible applications for funding.**

**NEH will not consider applications that exceed mandatory page limits or deviate from formatting instructions.** See the Application Components Table.

# D. Application and Submission Information

## 1. Application Package

You must apply using Grants.gov Workspace or a Grants.gov system-to-system solution. You can find this funding opportunity in Grants.gov under number 20240111-PG. There is also a link on the program resource page.

Once you have located the funding opportunity in Grants.gov, you will find the application package under the "Package" tab. It includes a series of required and conditionally required forms. You will upload additional application components using the Attachments Form.

You must complete a multistep registration process prior to submitting your application. See D3. Unique Entity Identifier and System for Award Management.

Contact preservation@neh.gov to request a paper copy of this notice.

If you are deaf, hard of hearing, or have a speech disability, please dial 7-1-1 to access telecommunications relay services.

## 2. Content and Form of Application Submission

Your application will include a narrative, budget, and other forms and attachments. You will complete the forms within Grants.gov Workspace and upload other components into the Attachments Form. See the Application Component Table.

NEH has assigned each application component one of the following designations:

- Required: You must submit this component.
- Conditionally Required: You must submit this component if your proposal meets the specified conditions.
- Recommended: NEH encourages, but does not require, you to submit this component.
- Required for recipients: You are encouraged but not required to submit this component when you apply. You must submit it if you receive an award.

You must submit all required components and conditionally required components relevant to your proposal. **NEH will not review applications missing any required documents or relevant conditionally required documents.**

In addition, NEH has established page limits for some application components:

- Mandatory: You must not exceed the page limit.
- Suggested: NEH encourages, but does not require, you to abide by the page limit.

Note page limits and formatting instructions in this notice. **NEH will not review applications that exceed mandatory page limits or deviate from formatting instructions.**

Your application components must conform to the following formatting requirements, unless otherwise indicated:

- pages no larger than standard letter (8 ½" x 11")
- at least one-inch margins on all sides for all pages
- a font no smaller than 11 points

In addition, NEH encourages you to format your components consistent with the following:

- single-spacing

- a readable font such as Arial, Georgia, Helvetica, or Times New Roman
- any standard citation style (include citations in page counts)

## Application Component Table

| Application Component | File Name | Designation | Page limit |
|---|---|---|---|
| **Attachments** | | | |
| 1: Narrative | narrative.pdf | Required | 5 (mandatory) |
| 2: Work plan | workplan.pdf | Required | |
| 3: Résumés | resumes.pdf | Required | 2 pages per person (suggested) |
| 4: Consultant information | consultants.pdf | Conditionally Required | |
| 5: Assessments, plans, and relevant policies, procedures, methods, toolkits, or frameworks | assessment.pdf | Recommended for projects based on preservation assessments, plans, policies, procedures, methods, toolkits, or frameworks | 15 (suggested) |
| 6: Descriptions of trainings or workshops | workshop.pdf | Recommended for projects with a training or workshop component | |
| 7: Other supporting documentation | other.pdf | Recommended | 10 (suggested) |
| 8: Subrecipient budget(s) | subrecipient.pdf | Conditionally required | |
| 9: Federally negotiated indirect cost rate | agreement.pdf | Conditionally required | |
| 10: Explanation of delinquent debt | delinquentdebt.pdf | Conditionally required | |
| **Grants.gov forms** | | | |
| SF-424 Application for Federal Assistance - Short Organizational | | Required | |

| | | | |
|---|---|---|---|
| Supplementary Cover Sheet for NEH Grant Programs | | Required | |
| Project/Performance Site(s) Location Form | | Required | |
| Institutional Profile Form | | Required | |
| Research and Related Budget and Budget Justification | | Required | |
| Attachments Form | | Required | |

## Application Components: Attachments

Each attachment must be a single PDF file. See the Attachments Form instructions for further guidance about file requirements. Read those instructions carefully, as Grants.gov will not accept files that do not meet the requirements.

### Attachment 1: Narrative (required)

Compose a comprehensive description of your proposed project. Your narrative should be succinct, well organized, and free of technical terms and jargon so that peer reviewers can understand the proposed project.

You must limit the narrative to **five single-spaced pages**. Do not include an executive summary, cover page, or table of contents. You may include citations, images, charts, diagrams, footnotes, or endnotes if they fit within the page limit.

Organize your narrative using the following headings. Each section aligns with one or more review criteria NEH will use to evaluate your proposal.

**A. What activity (or activities) would the grant support? (aligns with review criterion 2)**

State the specific activity or activities that the grant would support and the goals of the proposed project.

**B. What are the content and size of the humanities collections that are the focus of the project? (aligns with review criterion 1)**

Describe the collections that are the focus of the project, emphasizing their significance for a variety of users, including source communities, humanities researchers, students, and the public. Identify the categories of materials and indicate, where pertinent, the date ranges, quantities, and subject matter. Highlight specific examples of important items in the collections. In doing so, you may wish to explore topics such as the social, cultural, or economic development of a community, showing how the collections deepen or diversify understanding of American history and culture.

If the project focuses only on a portion of your institution's collections, briefly describe your overall holdings and detail the portion on which the project focuses.

For examples of how to make the case for the humanities significance of your collections, please refer to the FAQs available on the program page.

**C. How do you use these humanities collections? (aligns with review criterion 1)**

Explain in detail the collections on which the project focuses and provide evidence of how you and others outside your institution use or might use them in, such as scholarly or popular publications, public history projects, educational activities, exhibitions, and/or public programming. For example, you could explain how you have used the collections to illuminate specific humanities themes in an exhibition, or how they have been or could be used in educational programs and classroom instructional materials.

If the collections are used for research, describe the range of subjects that have been (or could be) explored and show how these materials could contribute to new interpretations of national or regional history. Provide examples of research projects conducted by students, scholars, public historians, descendent communities, or genealogists.

By illustrating the use of collections and the ways in which they can increase the understanding of humanities themes and ideas, you will help evaluators understand their importance to the humanities and to the institution's mission.

**D. What is the nature and mission of your institution or institutional unit? (aligns with review criteria 1 and 2)**

Describe your institution's mission and discuss specific budget or staffing considerations that characterize it as a small or mid-sized institution. Demonstrate your institutional commitment to making your collection accessible for education, research, and public programming in the humanities, as evidenced by the following information:

- confirmation that you have custody of and/or responsibility for the humanities collections that are the focus of the application
- the number of full-time, part-time, and volunteer staff
- the number of days per year that the institution is open to the public
- the size of the institutional or unit budget

You will also provide some of this information in the Institutional Profile Form, which will be used to evaluate institutional capacity and need when determining funding recommendations for this program.

Libraries, archives, or museums that are part of a larger organization, such as a college or university, should provide this information for their institutional unit.

**E. Describe the assessments, plans, procedures, and policies at your institution that are the foundation of your proposed project. (aligns with review criterion 2)**

Include information about previous preservation or conservation assessments or consultations, such as the date of the assessment, the name(s) of the assessor(s), the type or purpose of the assessment/consultation, as well as any plans, procedures, and policies, and explain how they relate to your proposed project.

If your project involves an internal assessment or the development of plans, policies, and/or procedures without the assistance of a consultant, please include information regarding the methods, toolkits, or frameworks that will guide your project.

You may provide previous assessments, executive summaries, or consultation summaries in Attachment 5.

If your project is not based on prior assessments, consultations, policies, plans, procedures, methods, or frameworks you may omit this section.

For more information regarding assessments, policies, methods, and toolkits may wish to consult the resources included in H. Other Information.

**F. What is the importance of this project to your institution or institutional unit and how you would sustain the project outcomes? (aligns with review criterion 2)**

Discuss how this project fits into your institution's overall preservation needs or plans. Describe the current condition of collections and the environment in which you store them. Explain how the proposed activities build on previous preservation efforts and how the project fits into future preservation plans. Explain how the project would increase your institution's ability to improve collection care and demonstrate your commitment to sustaining the outcome beyond the period of performance. For projects that involve initiating activities with recurring costs (software, for instance), demonstrate how your organization would maintain those expenses beyond the period of performance. For projects involving preservation assessments or consultations, explain how you will disseminate findings within your institution.

If your project includes workshops or trainings, describe the content and explain how you would use the knowledge gained to improve preservation and/or access practices at your institution. If applicable, provide information about the workshop/training from the provider (e.g., a description, announcement, or program) in Attachment 7: Other supporting documentation.

**G. What are the names and qualifications of the consultant(s) and staff involved in the project? (aligns with review criterion 3)**

Briefly, provide the name(s) and qualifications of your consultant(s), and the names and relevant experience for participating staff. For preservation training projects, identify the staff member(s) who will attend the training and state their positions and responsibilities.

You will provide more detailed résumés for participating staff in Attachment 3. You will provide résumés for consultants in Attachment 4.

| **Narrative Alignment**<br><br>Each section of the narrative aligns with corresponding review criteria. Use the crosswalk to ensure you address all criteria. | |
|---|---|
| **Narrative Section** | **Review Criteria** |
| A. What activity (or activities) would the grant support? | (2) Proposed activities, adequacy of plan of work, and the justification of their importance to the institution |
| B. What are the content and size of the humanities collections that are the focus of the project? | (1) Collections and their use in education, research, or public programming in the humanities |
| C. How are these humanities collections used? | (1) Collections and their use in education, research, or public programming in the humanities |
| D. What is the nature and mission of your institution? | (1) Collections and their use in education, research, or public programming in the humanities<br>(2) Proposed activities, adequacy of plan of work, and the justification of their importance to the institution |
| E. Describe the assessments, plans, procedures, and policies at your institution that are the foundation of your proposed project. | (2) Proposed activities, adequacy of plan of work, and the justification of their importance to the institution |
| F. What is the importance of this project to your institution and how you would sustain the project outcomes? | (2) Proposed activities, adequacy of plan of work, and the justification of their importance to the institution |
| G. What are the names and qualifications of the consultant(s) and staff involved in the project? | (3) Appropriateness of the experience and the qualifications of consultants and staff |

## Attachment 2: Work plan (required)

Your work plan should reflect the major activities you describe in your narrative, the project dates on your SF-424 Application for Federal Assistance - Short Organizational, and your Research and Related Budget.

Outline the steps of the project, the sequence in which they will occur, and the amount of time they will take. Indicate who is responsible for which activities. **You may format this as you see fit, though a table or chart is used most often.**

Name the file workplan.pdf.

## Attachment 3: Résumés (required)

Include brief résumés that highlight the relevant skills needed to accomplish the proposed project activities for the project director and other key staff. Provide a brief job description for any position that has yet to be hired, including short term positions that may be filled as part of a paid internship, graduate fellowship, or volunteer program. Do not include résumés for consultants in this section. They will be included in Attachment 4.

**Résumés have a suggested page limit of two pages per person**. Name the file resumes.pdf.

### Attachment 4: Consultant information (required for projects that involve hiring a consultant)

If your project involves hiring one or more consultants, attach a letter of commitment from each consultant, along with a résumé (suggested limit of two pages). The letter of commitment should describe the proposed activity or activities; a detailed plan of work and budget including travel costs, if applicable; and, if relevant, a preliminary list of recommended supplies. It should indicate the services the consultant would provide, such as training, an assessment, or a planning report.

Name the file consultants.pdf.

### Attachment 5: Assessments, plans, and relevant policies, procedures, methods, toolkits, or frameworks (recommended for projects based on a preservation assessments, plans, policies, procedures, methods, toolkits, or frameworks)

If your project includes work based on a previous assessment, policy, or manual, such as the purchase of rehousing supplies, environmental monitoring equipment, or description work, or will be using a particular method, toolkit, or framework, attach a copy of the executive summary and relevant sections of the document on which it is based.

**This attachment has a suggested length of 15 pages.** Name the file assessment.pdf.

### Attachment 6: Descriptions of trainings or workshops (recommended for projects with a training workshop)

If your project includes preservation training, attach workshop descriptions, announcements, and/or programs.

Name the file workshop.pdf.

### Attachment 7: Other supporting documentation (recommended)

You may include information not relevant in the previous categories that helps to illustrate your purposes and preparedness for the proposed project (e.g., quotes for supplies and equipment, images, details on collections that are the focus of a project, planning documents, or other information that supports points made in the narrative.)

**This attachment has a suggested length of ten pages.** Name this file other.pdf.

### Attachment 8: Subrecipient budget(s) (conditionally required)

If your project includes subawards, you must provide a separate Research and Related Budget and budget justification for each subrecipient.

Download a [fillable PDF of the Research and Related Budget form] from the NEH website for each subrecipient. You must open and complete this form in Adobe Reader 8.0 or higher rather than in your web browser.

Prepare a budget and budget justification for each subrecipient using the same instructions in this notice, with a few exceptions:

- Enter the subrecipient's Unique Entity Identifier, organization name, and period of performance start and end date (these fields will not prepopulate).
- For "budget type," check "Subaward/Consortium."

If your subrecipients have a federally negotiated indirect cost rate, you must honor it. If they do not have a federally negotiated indirect cost rate, they may negotiate a rate with you consistent with 2 CFR § 200.414 or use the de minimis rate.

Rather than attaching related documents (budget justification, additional personnel, additional equipment) to the form itself, you will separately convert each document into a PDF and combine all subrecipients' budget forms and related documents into a single document. Do not attach portfolios containing multiple PDFs.

NEH cannot accept security-enhanced PDFs (e.g., XFA files, PDFs that include password-protection, encryption, digital signatures). Remove these features (or "flatten" these files) before merging them into a single PDF and uploading it to the Attachments Form.

Name the file subrecipient.pdf.

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

If your organization is claiming indirect costs and has a current federally negotiated indirect cost rate agreement, provide a copy of the agreement. If applicable, provide the indirect cost rate agreements for subrecipients claiming indirect costs. If you and your subrecipients are requesting the de minimis rate, you do not need to submit this attachment.

Name the file agreement.pdf.

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

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

Name the file delinquentdebt.pdf.

## Application Components: Grants.gov Forms

### SF-424 Application for Federal Assistance – Short Organizational (Grants.gov form)

This form requests basic information about your institution, the proposed project, and key contacts. Items 1, 2, and 4 will be automatically filled in; leave item 3 blank.

### 5. Applicant Information

a-d. Provide your organization's legal name, address, and web address. Select the applicant type that best describes your organization from the drop-down menu.

e-f. Provide your organization's employer/taxpayer identification number (EIN/TIN), and Unique Entity Identifier assigned by the System for Award Management. If you do not know your identifier, contact your grant administrator or chief financial officer. See D3. Unique Entity Identifier and System for Award Management.

g. Provide your congressional district with your two-character state abbreviation followed by your three-character district number. For example, if your institution is located in the 5th congressional district of Alabama, enter "AL-005." If your institution is in a state or U.S. jurisdiction that does not have districts, enter "000" in place of the district number. If your institution is outside the U.S., enter "00-000."

### 6. Project Information

a. Provide your project's title. It should be brief (no more than 125 characters, including spaces), descriptive of the project, and easily understood by the general public. If NEH funds your project, the agency may retitle your project for clarity in internal and external communications, including the public announcement of awards. Regardless, you may use your preferred title when carrying out the project.

b. Provide a brief description of your project (no more than one thousand characters, including spaces). You should write the description for a nonspecialist audience, clearly stating the importance of the proposed work and its relation to larger issues in the humanities.

c. State your project's period of performance start and end dates. Your project must start on the first day of a month and end on the last day of a month. See B2. Summary of Funding for allowable periods of performance.

### 7. Project Director

Provide the project director's name, title, and contact information. The project director is responsible for the programmatic aspects and day-to-day management of the proposed project. You must notify the NEH Office of Grant Management immediately if you need to change project directors.

If the project director is not employed by the applicant organization, you must have a formal written agreement with the project director that specifies an official relationship between the parties even if the relationship does not involve a salary or other form of remuneration.

### 8. Primary Contact/Grant Administrator

Provide the name, title, and contact information for the official responsible for the administration of the award (e.g., negotiating the budget and ensuring compliance with the terms and conditions of the award).

**As a matter of NEH policy, the project director and primary contact/grant administrator must not be the same person.**

The grant administrator (also called the "institutional grant administrator") functions as the representative of the recipient organization. This individual should have authority to act on the organization's behalf in matters related to the administration of the award. The institutional grant administrator must sign or countersign financial reports and prior approval requests such as budget revisions, extensions to the period of performance, and changes in key personnel.

NEH will address official correspondence (for example, the offer letter or Notice of Action) to the institutional grant administrator and copy the project director.

### 9. Authorized Representative

Provide the name, title, and contact information for the authorized organization representative (AOR) who is submitting the application on behalf of the institution. This person, often called an "authorizing official," is typically the institution's president, vice president, executive director, board chair, provost, or chancellor. The institution's Grants.gov E-Business Point of Contact must designate the AOR. See the Grants.gov Online User Guide.

## Supplementary Cover Sheet for NEH Grant Programs

### 1. Project Director

Select the project director's major field of study from the drop-down menu.

### 2. Institutional Information

Select your institution type from the drop-down menu.

### 3. Project Funding

Enter the amount requested under "Outright Funds." Do not enter anything under "Federal Match" or "Cost Sharing."

Learn more about the types of funding NEH offers.

### 4. Application Information

Indicate whether you or others will submit complementary proposals to other NEH programs, government agencies, or private entities. If so, specify when and to whom. NEH will not consider this information when evaluating the merits of your proposal. See C3. Other Eligibility Information for restrictions regarding overlapping costs.

For type of application, check "new."

Select the project's primary discipline from the drop-down menu. If applicable, select the project's secondary and tertiary disciplines.

## Project/Performance Site Location(s) Form

Provide the primary location and any other locations where you will conduct project activities during the period of performance.

Enter congressional districts using the two-letter state abbreviation followed by your three-character district number. For example, if your institution is in the 5th congressional district of Alabama, enter "AL-005." If your institution is in a state or U.S. jurisdiction that does not have districts, enter "000" in place of the district number. If your institution is outside the U.S., enter "00-000."

The form has space for 300 sites. If your project includes additional locations, list them in a separate document. Save the document as a PDF named additionallocations.pdf and attach it under "Additional Locations."

### Institutional Profile Form

Select the appropriate response to each of the six questions on the form regarding your budget, staffing, and operations. If you are an institutional unit within a larger organization (i.e., university museum or library), please answer the questions based on your individual unit, not the larger organization.

## Research and Related Budget

You must submit a project budget using the Research and Related Budget form included in the Grants.gov application package and attach a budget justification.

Complete the SF-424 Application for Federal Assistance - Short Organizational prior to completing your Research and Related Budget.

Complete a single detailed budget for each 12-month span of the period of performance. The form will generate a cumulative budget.

The form indicates required fields in yellow. Round all costs to the nearest whole dollar. The inclusion of a cost category on the Research and Related Budget form does not automatically indicate that an expense is allowable in this program. See D6. Funding Restrictions to ensure that proposed costs are allowable.

If you provide voluntary cost share, do not include it on the Research and Related Budget form. You may describe it in your budget justification.

All costs, whether supported by NEH funds or required cost sharing contributions (if applicable), must be reasonable, necessary to accomplish project objectives, allowable in terms of 2 CFR 200 Subpart E - Cost Principles, auditable, and incurred during the period of performance. Costs are subject to audit, record retention, and other requirements set forth in 2 CFR 200 Subpart F - Audit Requirements.

You should only include your own employees under A. Senior/Key Person and B. Other Personnel. Include team members in leadership roles in the project under A. Senior/Key Person. Include other team members under B. Other Personnel. Include costs for non-employees under F3. Consultant Services or F5. Subawards/Consortium/Contractual Costs, as appropriate.

If you charge indirect costs to the project, you must not charge the same costs to the project as direct costs. See H. Indirect Costs.

### Introductory Fields

Your SF-424 Application for Federal Assistance - Short Organizational form should pre-populate introductory fields. If not pre-populated, indicate your organization's Unique Entity Identifier, name, and the period of performance. This should match the information you provide on your SF-424 Application for Federal Assistance - Short Organizational. Your period of performance must start on the first day of the month and end on the last day of the month. For budget type, check "project."

## A. Senior/Key Person

Include personnel who are employed by the applicant institution in leadership roles on the project. Do not include collaborators at other institutions or consultants, as you will include them in F. Other Direct Costs.

Enter the base salary (annual compensation) for each senior/key person and identify the number of months they will devote to the project. If you do not include base salaries, your award may be delayed.

Many non-academic institutions organize their budgets using calendar months. If your organization does not differentiate between academic and summer months, use only the calendar months column.

If your organization follows an academic calendar, you may differentiate levels of effort by using the academic and summer months columns. You may use both columns if your institutional policy requires separate accounting for academic and summer months. If your institution does not use a nine-month academic year and a three-month summer period, include your institution's definition of these terms in your budget justification.

Enter the requested salary and fringe benefits for each senior/key person. Per 2 CFR § 200.431, fringe benefits are allowances and services you provide in addition to salaries and wages. Fringe benefits may include the costs of leave (e.g., vacation, family-related, sick, or military), employee insurance, pensions, and unemployment benefit plans.

Requested salaries and wages must comply with 2 CFR §§ 200.430 and .466 and fringe benefits must comply with 2 CFR § 200.431.

The form will calculate the requested salary and fringe benefits for each key person.

The form has space for up to eight people. If you request funds for additional key personnel, list them in a separate document using the same format as the Research and Related Budget. Save the document as a PDF named additionalpersonnel.pdf and attach it under "Additional/Senior Key Persons." If applicable, enter the total funds requested for additional senior/key persons in the "Total Funds requested for all Senior/Key Persons in the attached file" field.

## B. Other Personnel

Include personnel employed by the applicant institution who will play a supporting role on the project. For each project role, identify the number of personnel proposed, the total number of months, total salary, and total fringe benefits requested as described in A. Senior/Key Person. The form will calculate the requested salary and fringe benefits for each group.

### Post-doctoral associates, graduate students, and undergraduate students

If applicable, include charges for tuition remission and other forms of compensation paid to students as, or in lieu of, salaries and wages. You must report such costs in accordance with 2 CFR § 200.466(b), and must treat them as direct or indirect costs in accordance with the actual work performed. You may charge tuition remission on an average rate basis.

### Administrative/Clerical

In most circumstances, you should include the salaries of administrative, secretarial, or clerical staff as indirect costs (see H. Indirect Costs). Per 2 CFR § 200.413(c), you may charge salaries for administrative or clerical staff as direct costs only if they meet the following conditions:

- The administrative or clerical services are integral to a project or activity.
- The individuals can be specifically identified with the project or activity.
- You explicitly include these costs in your budget or have prior written approval from NEH.
- You do not recover the costs as indirect costs.

If you include administrative or clerical salaries in your budget as direct costs, describe how direct charging meets all four conditions in your budget justification. NEH may request additional information to assess if proposed costs are allowable.

### Additional Other Personnel

List additional project roles, if applicable. The form has space for six named roles. If you have more, combine project roles on the form and explain in your budget justification.

Requested salaries and wages must comply with 2 CFR §§ 200.430 and .466 and fringe benefits must comply with 2 CFR § 200.431.

Do not list collaborators at other institutions or consultants here, as you will include them in F. Other Direct Costs.

## C. Equipment Description

Equipment is nonexpendable personal property costing $5,000 or more per item and having a service life of more than one year (unless your organization has established a lower level). See 2 CFR §§ 200.313 and .439.

You may purchase equipment if analysis demonstrates that it is more economical and practical than leasing  You may charge depreciation in compliance with 2 CFR § 200.436. If you lease equipment, include equipment rental/user fees in F. Other Direct Costs.

Per 2 CFR § 200.322, you should preference goods, products, and materials produced in the United States purchased or acquired under a federal award. If NEH funds your project, you must include the requirements of this section in all subawards, contracts, and purchase orders for work or products.

List each item of equipment you plan to purchase and its estimated cost, including shipping and maintenance. Include supporting information, such as a price quote, in your budget justification.

The form has space for ten items. If you request funds for additional equipment, list them in a separate document. Save the document as a PDF named additionalequipment.pdf and attach it under “Additional Equipment.” Enter the total funds for the additional equipment in the “Total funds requested for all equipment listed in the attached file” field.

The form will calculate total equipment costs.

## D. Travel

Enter the total funds you are requesting for both domestic travel (local and long-distance) and foreign travel (including travel to Canada and Mexico) for employees of your organization. (Consultant travel costs should go in F3. Consultant Services.) Detail costs for each trip in your budget justification. **If you make non-refundable travel arrangements, it is at your own risk. You cannot charge cancelled travel to your award.**

Travel costs must comply with 2 CFR § 200.475 and the General Terms and Conditions for Awards to Organizations. NEH uses the General Services Administration's published per diem rates to assess if proposed travel costs are reasonable.

You may not use NEH funds to attend regularly occurring professional meetings.

Include travel costs for participants in E3 and travel costs for consultants in F3.

The form will calculate total travel costs.

## E. Participant/Trainee Support Costs

Participants are the beneficiaries, not the providers, of a service or training opportunity (such as a workshop, conference, seminar, or symposium) funded by a federal award.

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

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

Include supporting information in your budget justification. **If you or your participants make nonrefundable travel arrangements, it is at your own risk. You cannot charge cancelled travel to your award.**

If you claim indirect costs, exclude participant support costs from the MTDC base. The form will calculate total participant support costs.

### 1. Tuition/Fees/Health Insurance

Leave this field blank.

### 2. Stipends

Enter the requested funds for participant stipends.

### 3. Travel

Enter the requested funds for participant travel. In your budget justification, name the travelers (if known) and itemize their travel expenses (e.g., roundtrip airfare, mileage, public transportation fares, parking fees).

### 4. Subsistence

Enter the requested funds for participant subsistence (e.g., lodging and service charges; meals, including taxes and tips; and incidental expenses).

### 5. Other

Describe other participant support costs (e.g., local ground transportation to venues, admission fees) and enter the requested funds. Provide additional information in your budget justification.

### Number of Participants/Trainees

Enter the number of participants. This field cannot exceed 999.

## F. Other Direct Costs

The form will calculate total other direct costs.

### 1. Materials and Supplies

Enter the requested funds for materials and supplies that cost less than $5,000 per item, regardless of its useful life, unless your organization has established a different capitalization level. See 2 CFR §§ 200.314 and .453.

### 2. Publication Costs

Enter the requested funds for publication costs, including the costs of documenting, preparing, publishing, or otherwise making available to others the findings and products of the work conducted under the award. Include supporting information in your budget justification.

### 3. Consultant Services

Enter the requested funds for consultant services. If your project includes an external advisory committee, include associated costs here.

Consultant fees must comply with 2 CFR § 200.459.

### 4. Automated Data Processing (ADP)/Computer Services

Enter the requested funds for ADP/computer services, including computer-based retrieval of scientific, technical, and education information. Include personal computers and accessories under Materials and Supplies. If a third party will provide these services, include them in Subawards/Consortium/Contractual Costs.

### 5. Subawards/Consortium/Contractual Costs

Enter the total funds you are requesting (both direct and indirect costs) for activities third parties will perform.

Per 2 CFR §§ 200.1 and .331(a), a subaward is an award you issue to a subrecipient to carry out part of your federal award. Subawards do not include payments to contractors (as defined in 2 CFR §§ 200.1 and .331(b)) or payments to individuals who are beneficiaries of federal programs.

You may provide a subaward through any form of legal agreement, including an agreement you consider a contract. The substance of the relationship between a passthrough entity and a third party is more important than the form of the agreement when determining if the third-party functions as subrecipient or contractor. See 2 CFR § 200.331(c).

NEH may request additional information to assess if proposed costs are reasonable and allowable. See 2 CFR §§ 200.331 and .332.

If your budget includes subawards, you must submit a separate Research and Related budget and budget justification for each subrecipient. See Attachment 8: Subrecipient Budget(s).

If a subrecipient claims indirect costs, include its federally negotiated indirect cost rate agreement in Attachment 9: Federally negotiated indirect cost rate agreement. You do not have to include an agreement for any subrecipient that requests the 10% de minimis rate.

See F2. Administrative and National Policy Requirements for additional information on monitoring subrecipients' performance. Learn more about managing subawards.

### 6. Equipment or Facility Rental/User Fees

Enter the requested funds for rental fees for equipment and facilities.

If you will use your own equipment and facilities, you may charge depreciation in compliance with 2 CFR § 200.436. Alternatively, if you will use equipment you purchased with federal funds under another award, you may charge user fees consistent with 2 CFR § 200.313(c)(2). You may not charge both depreciation and user fees.

If you will host a conference, you may rent facilities per 2 CFR § 200.432. If you rent facilities under a "less-than-arm's-length" lease, you must comply with 2 CFR § 200.465(c).

Federally funded meetings and conferences must take place in properties that comply with the Hotel and Motel Fire Safety Act of 1990 (Pub. L. 101-391). Consult the U.S. Fire Administration's National Master List for fire code compliant hotels.

### 7. Alterations and Renovations

Leave this line blank. Per 2 CFR § 200.462, costs you incur for ordinary and normal rearrangement and alteration of facilities are allowable as indirect costs.

### 8-10. Other

List items you have not included in other previous categories or in the indirect cost pool. "Other" project-specific costs may include fees for promotion, acquisition, rights, evaluation and assessment, and accessibility accommodations (e.g., audio description, sign-language interpretation, closed or open captioning, large-print brochures/labeling). "Miscellaneous" and "contingency" are not acceptable budget categories.

Per 2 CFR § 200.432, allowable conference costs include speakers' fees, costs of meals and refreshments, and other incidental items. You must exercise discretion and judgment to ensure that costs are appropriate, necessary, and managed in a manner that minimizes costs to the award.

Food is only allowable when vendors are unavailable during the scheduled program. You may not use federal funds for meals or refreshments at receptions or networking events. If participants receive complimentary meals or refreshments during meetings, conferences, training, or other events while on NEH-supported travel, you must reduce the per diem you charge to the award. Per 2 CFR § 200.423, you may not use federal funds for alcoholic beverages.

## G. Total Direct Costs

The form will calculate total direct costs.

## H. Indirect Costs

Indirect costs are costs your institution incurs for common or joint objectives and that you cannot readily identify with a specific project or activity. Indirect costs include such expenses as the depreciation on buildings, equipment, and capital improvements; operations and maintenance expenses; accounting and legal services; and salaries of executive officers.

You do not have to claim indirect costs, but if you do, calculate the amount you may request by multiplying the applicable indirect cost rate by the distribution base, which is typically the project's modified total direct costs (MTDC).

Per 2 CFR § 200.1, MTDC are 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 subaward). **MTDC exclude equipment, capital expenditures, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward over $25,000.**

Review your institution's negotiated indirect cost rate(s) to ensure you are using the most appropriate rate for your project. Many institutions of higher education negotiate multiple rates, such as "research," "instruction," and "other sponsored activities." An institution's "research" rate is not the appropriate rate for inclusion in NEH project budgets, except in rare cases, since it is reserved for projects involving scientific research, not scholarly inquiry of the type most often supported by NEH.

Except as provided in 2 CFR § 200.414(c)(1), NEH must use the negotiated rate(s) in effect at the time it issues your award and will not adjust the rate(s) throughout the life of your award. NEH will not adjust your award amount due to changes to your negotiated rates.

If an educational institution does not have a negotiated rate with the federal government when NEH issues an award (because it is a new recipient or the parties cannot reach agreement on a rate), but has a provisional rate, NEH must use the provisional rate until a final cost is negotiated and approved by the cognizant agency, except as provided in 2 CFR § 200.414. If the recipient fails to negotiate an indirect cost rate applicable to the period of performance within the period of performance, NEH may disallow indirect costs.

If your organization does not have a federally negotiated indirect cost rate, you may:

- submit an indirect cost proposal to your cognizant federal agency to negotiate a rate within three months of your award's period of performance start date; or
- charge a de minimis rate of 10% applicable to MTDC (see 2 CFR § 200.414(f))

If you choose one of these options, indicate this under Indirect Cost Type. If you do not choose either of the above options, you may only charge costs that are allocable, allowable, and reasonable to the award.

Include a copy of your federally negotiated indirect cost rate agreement, along with subrecipient agreements, as Attachment 9: Federally negotiated indirect cost rate agreement, if applicable.

Reference NEH's General Guidance on Calculating Indirect Costs for more information.

If NEH is your cognizant agency, reference Guidance for Negotiating an Indirect Cost Rate Agreement with NEH.

#### Indirect Cost Type

Enter the type of indirect cost rate (e.g., “other sponsored activities,” “all programs,” “instruction,” “10% de minimis”) and base (e.g., “MTDC,” “salaries,” “salaries & fringe”) and whether the activity and rate are on- or off-site. If your budget includes more than one indirect cost rate or base, list them as separate entries (i.e., if your project includes activities that occur both on and off campus). If you do not have a current indirect rate agreement, but intend to negotiate one, write "None-will negotiate” and provide additional detail in your budget justification.

#### Indirect Cost Rate (%)

Enter the most recent indirect cost rate(s) established with your cognizant federal agency (or the 10% de minimis rate) as a number without special characters (i.e., 32.5).

#### Indirect Cost Base ($)

Enter the base for each indirect cost type. Describe any exclusions in your budget justification. If applicable, refer to your federally negotiated indirect cost rate agreement to determine how to calculate the indirect cost base.

#### Funds Requested ($)

Enter the requested funds for each indirect cost type.

#### Total Indirect Costs

The form will calculate total indirect costs.

#### Cognizant Federal Agency

Enter the name of your cognizant federal agency and a point of contact, if applicable.

### I. Total Direct and Indirect Costs

The form will calculate total project costs. Total project costs should not exceed $10,000.

### J. Fee

Leave this field blank.

### K. Total Costs and Fee

The form will calculate this field, which will be the same amount as I. Total Direct and Indirect Costs.

### L. Budget Justification

You must provide a budget justification to support your project. Specifically describe how each item supports your proposed objectives, detail how you calculated all costs, and provide supporting documentation. Organize your budget justification using the section headings on the Research and Related Budget.

If you provide voluntary cost share, you may describe it in the budget justification to contextualize the project. Do not include voluntary cost share on the Research and Related Budget form.

Save the document as a PDF named justification.pdf. Attach only one file to the Research and Related Budget form. Do not use your budget justification to expand your narrative.

### A. Senior/Key Person: Budget Justification

Detail the salary and wages you will pay to each Senior/Key Person. Provide their names and briefly describe their roles in and suitability to the project. Identify the fringe benefit rate and explain the base for each person. If your organization follows an academic calendar, explain any differences in compensation between academic and summer months.

### B. Other Personnel: Budget Justification

List names (if known), roles, months, and requested salary and fringe benefits for other personnel, including post-doctoral associates, graduate students, undergraduate students, and administrative/clerical personnel.

If your budget includes administrative/clerical personnel, describe how they meet the four conditions for inclusion as a direct cost.

### C. Equipment Description: Budget Justification

Detail the number and unit cost for each item and explain how you determined these figures. Provide vendor quotes or price lists, if applicable.

### D. Travel: Budget Justification

For each trip, provide the name of the key personnel or employee(s) (if known), explain the purpose of the trip, and specify the points of origin and destination. Provide a breakdown of consultant costs in F3. Consultant Services. Break out the costs of transportation, lodging, per diem, and any other associated expenses. Explain how you determined these figures. You must justify each trip separately, except for recurring local trips, which you may group together.

For local travel, include the mileage rate, number of miles, reason for travel, and staff members completing the travel. For long-distance travel, calculate per diem amounts for meals and lodging consistent with written institutional policy. You must use the lowest available commercial fares for coach or equivalent accommodations. **If you make nonrefundable travel arrangements, it is at your own risk. You cannot charge cancelled travel to your award.**

### E. Participant/Trainee Support Costs: Budget Justification

Describe how you calculated participant stipends, travel, subsistence, and other costs. If possible, detail participant travel costs using the instructions above.

### F. Other Direct Costs: Budget Justification

1. Materials and Supplies
Indicate general categories (e.g., personal computers, digital cameras, archival supplies). Provide a total for each category. Itemize categories totaling $1,000 or more and provide vendor quotes or price lists, if applicable.

2. Publication Costs

Indicate print runs and justify costs, including vendor quotes, if applicable.

3. Consultant Services
Identify each consultant, describe the services they will perform, specify the amount of time they will devote to the project across the period of performance, outline travel costs, and provide total costs. If applicable, include consultants' proposals.

4. Automated Data Processing (ADP)/Computer Services
Itemize the cost for each service and include established service rates, if applicable.

5. Subawards/Consortium/Contractual Costs
List the costs of project activities to be undertaken by third parties. Identify each third party by name, describe its role in the project, the activities it will carry out, and the associated costs. For each entry, designate the third party as either a subrecipient (who receives a subaward) or a contractor (who receives a contract).

For each contractor, itemize costs using the same categories as the Research and Related Budget and provide relevant supporting documents.

You will submit a Research and Related budget and budget justification for each subrecipient, which you will include in Attachment 8: Subrecipient budget(s).

6. Equipment or Facility Rental/User Fees
Identify and justify each rental fee. Provide relevant supporting documentation.

7. Alterations and Renovations
Leave this blank.

8. Other Costs
Itemize, describe, and justify any other direct costs. Include supporting documentation. "Miscellaneous" and "contingency" are not acceptable budget categories.

### H. Indirect Costs: Budget Justification

If you include indirect costs in your project budget, identify the rate(s), explain the base(s), and describe any exclusions.

## Attachments Form

You will upload your Attachments to Grants.gov using this form. The form accommodates up to fifteen attachments. **Attachments must be in Portable Document Format (.pdf).** Convert all non-PDF files (i.e., Word, Excel, images) to PDFs. If an attachment contains multiple documents, merge them into a single file, not a PDF portfolio. Be aware that, occasionally, converting a document to PDF may alter its size. Do not attach files that have been password-protected, encrypted, or digitally signed. You must remove all such security features before attaching your files. Failure to do so may result in your application being rejected.

Do not attach portfolios containing multiple PDFs.

Consult the Application Components Table to name and sequence your attachments so that NEH can easily identify them. Grants.gov may reject your application if:

- file names exceed 50 characters

- multiple files have the same name
- file names include characters other than the following: A-Z, a-z, 0-9, underscore, hyphen, space, period, parentheses, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semicolon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign

Grants.gov may accept and validate your application even if you are missing required components or have formatted them incorrectly. You must ensure that you have formatted, attached, and submitted all required components correctly. If you have not, NEH may reject your application as incomplete or nonresponsive.

Learn about Adobe software compatibility with Grants.gov and ensure that you can use your version of Adobe Acrobat Reader to download, complete, and submit your application.

# 3. Unique Entity Identifier and System for Award Management

Before applying, your organization must register with the System for Award Management (SAM) and Grants.gov. Learn more about this multistep process.

**NEH encourages organizations with SAM registrations to check the validation of their UEI well in advance of the deadline to ensure that they are accurate, current, and active.** If your SAM registration is not active and current at the time of Grants.gov submission, NEH will reject your application.

Allow several weeks to register with SAM and Grants.gov. NEH will not waive the online submission requirement or extend the application deadline to allow additional time for you to complete registration with SAM or Grants.gov.

## Login.gov

If you have not already done so, you must create a Login.gov user account to register and log in to SAM and Grants.gov. Login.gov is a secure sign-in service used by the public to sign in to participating government agencies. Create and link your account now.

## System for Award Management (SAM)

Your organization must register with the System for Award Management (SAM) and maintain an active SAM registration with current information while you have an active federal award or a pending application with a federal agency. See 2 CFR § 25.110 for exceptions. SAM will assign your organization a Unique Entity Identifier.

When registering or renewing in SAM, the system will prompt you to review and agree to financial assistance certifications and representations, as required by 2 CFR § 200.209.

If your SAM registration is not active and current at the time an award is made, NEH may determine that you are not qualified to receive an award and use that determination as a basis for making an award to another applicant.

Check the status of your SAM.gov registration.

Contact the Federal Service Desk if you have questions.

### Grants.gov

You must register with Grants.gov using your Login.gov credentials before applying. You must submit your application using Grants.gov Workspace or a Grants.gov system-to-system solution. Workspace is a shared, online environment where team members may simultaneously access and edit forms within a grant application.

After you register and create an Organizational Applicant Profile, Grants.gov will email your E-Business Point of Contact to assign the appropriate roles to individuals within your organization. This includes the authorized organization representative (AOR), who will give you permission to complete and submit applications on behalf of your organization.

If you have previously registered with Grants.gov, confirm that your registration is still active and that your AOR is current.

Contact Grants.gov Applicant Support or consult the Grants.gov Online User Guide and its library of instructional videos if you have questions.

## 4. Submission Dates and Times

### Application

The deadline for applications under this notice is January 11, 2024, at 11:59 p.m. Eastern Time.

Applications must be complete, comply with length and formatting requirements, and be validated by Grants.gov under the correct funding opportunity prior to the deadline to be considered under this notice. See the late submission policy for the limited situations when NEH might accept an application submitted after the deadline.

It is your responsibility to confirm that Grants.gov and subsequently NEH have received your application. Check your Grants.gov application status. eGMS, NEH's online grant management system, will send you an automatically generated email upon receipt of your proposal.

When NEH receives your application, the agency will assign it a tracking number beginning with PG-. A tracking number does not guarantee that your application is free of technical problems (such as missing attachments or failure to convert attachments to PDFs). If your files are not correctly formatted, eGMS will reject your application and notify you by email. eGMS cannot detect errors such as missing components or excess pages.

NEH recommends you submit your application at least 48 hours prior to the deadline so you have time to correct technical errors eGMS identified or you discover. It is your responsibility to correct errors prior to the deadline.

NEH will not comment on the status of your application except regarding matters of eligibility, completeness, and responsiveness.

## 5. Intergovernmental Review

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

## 6. Funding Restrictions

You may not use awards made under this notice for the following purposes:

- projects focused on collections or materials that are the responsibility of an agency of the federal government
- appraisals of collections to determine their financial value
- courses leading to a degree, including graduate-level conservation training or training related to advanced conservation treatment
- attendance at regular meetings of museum, library, archives, or preservation organizations
- projects focused on preserving or restoring buildings or other structures
- capital improvements to buildings and building systems, including the purchase or installation of equipment such as air conditioning systems, lighting systems, and security and fire protection systems (applicants interested in such projects should consult Sustaining Cultural Heritage Collections)
- the purchase of furniture and display cases intended solely for rotating and temporary displays of collection items
- extensive cataloging, indexing, and arranging and describing archival collections (applicants interested in such projects at either the planning or implementation level should consult Humanities Collections and Reference Resources)
- reformatting of collections (e.g., digitizing, photocopying, microfilming, or copying to another medium) or the purchase of equipment for reformatting (e.g., computers, scanners, digital cameras, cassette decks, and CD-ROM drives) (applicants interested in such projects at either the planning or implementation level should consult Humanities Collections and Reference Resources)
- conservation or restoration treatments, or the purchase of equipment and supplies solely for conservation treatment (e.g., mending tape, erasers, and solvents for conservation treatment)
- consultations focused on preparing exhibits or other interpretive products
- costs for activities performed by federal entities or personnel
- promotion of a particular political, religious, or ideological point of view
- advocacy of a particular program of social or political action
- support of specific public policies or legislation
- lobbying
- projects that fall outside of the humanities; the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; policy studies; and social science research that does not address humanistic questions and/or utilize humanistic methods

See 2 CFR 200 Subpart E - Cost Principles for other unallowable costs.

# E. Application Review Information

## 1. Review Criteria

Peer reviewers will use the following criteria to review applications under this notice:

**1. The significance of the collections for users, including source communities, humanities researchers, students, and/or the public and their use in education,**

**research, and/or public programming in the humanities (corresponds to narrative sections B, C, and D)**

- the humanities significance of the content and use of collections that are the focus of the project
- the extent to which the applicant demonstrates a sufficient commitment to making its collections accessible for education, research, or public programming in the humanities, as evidenced by the number of days on which the institution is open to the public, the institutional capacity to support access and use, and the availability of staff for this purpose

**2. The strength of the proposed activities, the adequacy of the plan of work, and the justification of the project's importance to the institution (corresponds to narrative sections A, D, E, and F, and to Attachment 2: Work Plan)**

- the extent to which the project contributes to the institution's capacity to preserve its collections and make them accessible
- the extent to which the applicant demonstrates its commitment to sustaining the project outcomes
- the feasibility and strength of the work plan and budget
- if applicable, the extent to which the proposed supplies and equipment meet preservation standards
- if applicable, the appropriateness of the training or workshop topics in relation to the applicant's needs

**3. The appropriateness of the experience, backgrounds, and qualifications of consultants, advisors, and staff (corresponds to narrative section G and to Attachment 3: Résumés.)**

- the extent to which the roles of the consultants and staff are well explained
- the extent to which the experience and qualifications of the consultants and staff are appropriate to the project's goals and implementation
- if applicable, the extent to which source communities are appropriately involved in the project

# 2. Review and Selection Process

NEH staff review all applications for eligibility, completeness, and responsiveness. The agency then conducts a peer review process for all applications that pass this initial screening.

Peer reviewers are experts in their fields with knowledge and expertise relevant to the activities that the program supports. NEH instructs peer reviewers to evaluate applications according to the review criteria in this notice. Peer reviewers must comply with federal ethics rules governing conflicts of interest.

NEH program officers supplement the peer reviewers' comments to address matters of fact or significant points that the peer reviewers have overlooked. They then make funding recommendations to the National Council on the Humanities. The National Council meets at least twice each year to review applications and advise the NEH Chair. By law, the Chair has the sole authority to make final funding decisions.

Following NEH's public announcement of funded projects, you may request copies of the peer reviewers' evaluations of your proposal by contacting preservation@neh.gov.

Learn more about the NEH review process.

Apply to be a peer reviewer for NEH.

## 3. Assessment of Risk and Other Pre-Award Activities

Following the Chair's initial selection of applications for support, the NEH Office of Grant Management (OGM) conducts a risk assessment for selected applications. OGM will consider the applicant's past performance, if applicable; analyze the project budget; assess the applicant's management systems; confirm the applicant's continued eligibility; and evaluate compliance with public policy requirements. This assessment guards against the risk that federal financial assistance might be wasted, used fraudulently, or abused.

OGM may request that you submit additional programmatic or administrative information (such as an updated budget or supporting documentation) or undertake certain activities (such as negotiating an indirect cost rate) in anticipation of an award. Such requests do not guarantee that NEH will make an award.

After completing its risk assessment, NEH will determine whether making an award would be consistent with the agency's risk management policy, whether it must impose any special terms and conditions, and what funding level is appropriate. NEH may elect not to issue awards to applicants with management or financial instability that affects their ability to comply with the terms and conditions of the award (2 CFR § 200.206).

Award decisions are discretionary and are not appealable to any federal official or board.

## 4. Anticipated Announcement and Award Dates

NEH will notify you of funding decisions by email in August 2024. This is not an authorization to begin performance or incur related costs.

# F. Federal Award Administration Information

## 1. Federal Award Notices

If NEH selects your application for an award, the NEH Office of Grant Management will send award documents to the institutional grant administrator and project director through eGMS Reach beginning in August 2024.

Learn more about managing an NEH award.

## 2. Administrative and National Policy Requirements

Each award is subject to 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, the General Terms and Conditions for Awards to Organizations (for grants and cooperative agreements issued January 1, 2022 or later), and any specific terms and conditions that NEH places on the award in the Notice of Action.

## Debarment, suspension, ineligibility, and voluntary exclusion certification

By applying, you certify that neither your institution nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

You must comply with 2 CFR §§ 180.335 and .350 with respect to providing information regarding all debarment, suspension, and related offenses information, as applicable.

If you cannot attest to the statements in this certification, explain why not in Attachment 10: Explanation of delinquent federal debt.

## Providing access to NEH-funded products

NEH strives to make the products of its awards available to the broadest possible audience by providing ready and easy access to its grant products to scholars, educators, students, and the American public. All other considerations being equal, NEH gives preference to projects that provide free access to the public.

You must comply with Section 504 of the Rehabilitation Act of 1973, which prohibits discrimination on the basis of disability in any program or activity receiving federal financial assistance. Consult *Design for Accessibility: A Cultural Administrator's Handbook*.

## Copyright information

Subject to applicable law, you may copyright work that you develop or acquire under an award. In accordance with 2 CFR § 200.315(b), NEH reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for federal purposes, and to authorize others to do so. NEH has typically exercised this right in consultation with recipients to publish excerpts of grant products in *Humanities* magazine or on its website.

## Acknowledging NEH support

Materials publicizing or products resulting from NEH-funded activities must contain an acknowledgment of NEH support. Consult Acknowledgment and Publicity Requirements for NEH Awards and Publicizing Your Project for guidance.

## Subrecipient monitoring requirements

Per 2 CFR § 25.300, you may only issue subawards with federal funds to organizations that have obtained and provided their Unique Entity Identifier. Subrecipients are not required to complete registration with the System for Award Management (SAM) to obtain a Unique Entity Identifier. See D3. Unique Entity Identifier and System for Award Management.

You must monitor your subrecipients to ensure that they use their subawards for authorized purposes; comply with federal statutes, legislative requirements, regulations, and the terms and conditions of the subaward; and achieve their performance goals. You must ensure that your subrecipients track, appropriately use, and report program income generated by the subaward. See 2 CFR § 200.332 for information that you must include in subaward agreements.

Learn more about managing subawards.

## Program income

If your NEH-supported activities generate income during the period of performance, you must use it for additional approved project-related activities. See 2 CFR § 200.307 for income that you generate after the period of performance.

## Eliminate waste, fraud, and abuse

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

## Termination

NEH reserves the right to terminate awards consistent with 2 CFR § 200.340.

# 3. Reporting

If you receive an award, you must complete required reports in eGMS Reach, the NEH online grant management system, unless otherwise instructed. NEH will provide further information in the Notice of Action.

1. **Federal Financial Report(s)**. You must submit the Federal Financial Report (SF-425) annually.

2. **Performance Progress Report(s)**. You must submit a performance progress report annually.

3. **Final Reports**. You must submit a final Federal Financial Report (SF-425) and a final performance report within 120 calendar days after the period of performance ends. The final performance report collects information relevant to progress on program-specific goals; impact of the overall project; the degree to which you achieved the mission, goals, and strategies outlined in the approved application; your objectives and accomplishments; barriers encountered; and your overall experiences during the period of performance.

Learn more about performance reporting requirements and financial reporting requirements.

# G. Agency Contacts

If you have questions about the program, contact:

Division of Preservation and Access
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
202-606-8570
preservation@neh.gov
If you have questions about administrative requirements or allowable costs, contact:

Office of Grant Management
National Endowment for the Humanities

400 Seventh Street, SW
Washington, DC 20506
202-606-8494
grantmanagement@neh.gov

If you are deaf or hard of hearing, you can contact NEH using telecommunications relay at 7-1-1.

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

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

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

Grants.gov Applicant Support
U.S. calls: 1-800-518-4726
International calls: +1-606-545-5035
support@grants.gov

Always obtain a case number when calling for support.

# H. Other Information

## Applicant resources

It is important to match the skills and experience of the consultant to the nature of the collections and the project's activities. The links below may provide information that assists in your search for an appropriate consultant.

- The American Institute for Conservation (AIC), the national membership organization of conservation professionals, offers a free guide to conservation services on its website. Visit AIC's website at www.culturalheritage.org.
- AIC also offers a Wiki and a website with conservation resources entitled CoOL (Conservation Online). The Foundation for Advancement in Conservation offers free preservation webinars through Connecting to Collections Care.
- The North Carolina Preservation Consortium offers a list, with links, of state, regional, national, and international preservation organizations at https://ncpreservation.org/resources/preservation-organizations/.
- The Association for Library Collections & Technical Services (ALCTS), which is a division of the American Library Association, offers learning resources for managing and preserving library collections at http://www.ala.org/alcts/about.
- The American Alliance of Museums offers resources on standards and best practices for museum operations (including preservation) at https://www.aam-us.org/programs/ethics-standards-and-professional-practices/.
- The Academy of Certified Archivists promotes fundamental standards of professional archival practice and maintains an archival consultant referral service. Visit the academy's website at www.certifiedarchivists.org.

Institutions proposing projects focused on emergency/disaster preparedness may wish to consult the following online resources that provide free information on the topic, though this is not an exhaustive list nor does NEH specifically endorse these resources.

- Heritage Emergency National Task Force: https://www.fema.gov/media-collection/heritage-emergency-national-task-force
- Alliance for Response: https://www.culturalheritage.org/resources/emergencies/alliance-for-response
- AIC/FAIC Disaster Response and Recovery Guides: https://www.culturalheritage.org/resources/emergencies/disaster-response-recovery
- Conservation Center for Art & Historic Artifacts Emergency Planning & Response: https://ccaha.org/emergency-planning-response
- Northeast Document Conservation Center Disaster Assistance: https://www.nedcc.org/free-resources/disaster-assistance/

You may also find the following standards, methods, and resources useful as you consider your collections' preservation needs. NEH does not prescribe specific methodologies or standards.

- International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM) RE-ORG Method: https://www.iccrom.org/programmes/re-org/our-approach
- Choosing a Collections Management System (Technical Leaflet 286, American Association for State and Local History, 2019): https://d221a1e908576484595f-1f424f9e28cc684c8a6264aa2ad33a9d.ssl.cf2.rackcdn.com/aaslh_a28f1bb1d5ab7592af01b9bbac64dc95.pdf
- Preservation Self-Assessment Program (University of Illinois Libraries, 2016): https://psap.library.illinois.edu/
- Professional Practices for Academic Museums & Galleries (Association of Academic Museums and Galleries, 2017): https://www.aamg-us.org/best-practices/
- Protocols for Native American Archival Materials (First Archivists Circle, 2007): https://www2.nau.edu/libnap-p/

## Related funding opportunities

Applicants seeking support to plan or implement larger, more complex preventive conservation projects focused on sustainable conservation strategies that pragmatically balance effectiveness, cost, and environmental impact should consult the Sustaining Cultural Heritage Collections program. Applicants seeking support for larger planning or implementation projects to fully index, arrange, describe, catalog, and/or digitize collections should consult the Humanities Collections and Reference Resources program.

You may also find related funding opportunities with your state or jurisdictional humanities council. As mandated by Congress, 40% of the NEH's budget supports these councils, which play a critical role in supporting the NEH's mission and goals at a local, grassroots level. Contact information for each council can be found here: https://www.neh.gov/about/state-humanities-councils.

## Privacy policy

NEH solicits the information in this Notice of Funding Opportunity under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 951, *et seq*.

Disclosure of the information is voluntary. The principal purpose for which NEH will use the information is to process the application, which may include determining eligibility, evaluating the application, selecting recipients, and administering the award program. Panelists and other third parties may assist in the evaluation of applications, in which case NEH will take appropriate security measures with respect to the information provided to such individuals for review. NEH may also use or disclose the information it collects as required by law and for governmental purposes such as statistical research, analysis of trends, Congressional oversight, and the other routine uses set forth in the systems of records notice ("SORN") published by NEH in the Federal Register. NEH ordinarily will not publicly disclose the contents of applications that NEH does not select for funding, except as set forth in the SORN. Failure to provide the information solicited in this Notice may result in rejection of the application.

## Application completion time

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates that on average it takes sixty hours to complete an application. This estimate includes time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Time needed may vary from program to program.

You may send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the completion time, to the Chief Funding Opportunity Officer at grantmanagement@neh.gov. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number. The OMB Control Number for this Notice of Funding Opportunity is 3136-0134, expiration date October 31, 2024.