NATIONAL ENDOWMENT FOR THE
Humanities

OFFICE OF **DIGITAL HUMANITIES**

DIGITAL HUMANITIES ADVANCEMENT GRANTS

Deadline: January 15, 2019 (for projects beginning September 1, 2019)

The Office of Digital Humanities accepts applications for Digital Humanities Advancement Grants at two deadlines a year: in January and June.

Catalog of Federal Domestic Assistance (CFDA) Number: 45.169

Funding Opportunity Number: 20190115-HAA

If after reading this document you have questions about this program, contact the NEH Office of Digital Humanities (ODH) via e-mail at odh@neh.gov. Applicants wishing to speak to a staff member by telephone should provide in an e-mail message a telephone number and a preferred time to call. Applicants who are deaf or hard of hearing can contact NEH via Federal Relay (TTY users) at 800-877-8399.

Contents

I. Program Description

Digital Humanities Advancement Grants (DHAG) support digital projects at different stages throughout their lifecycles, from early start-up phases through implementation and sustainability. Experimentation, reuse, and extensibility are hallmarks of this program, leading to innovative work that can scale to enhance scholarly research, teaching, and public programming in the humanities. You can find a discussion of the forms that experimentation can take in the Frequently Asked Questions document, which is available on the program resource page.

This program is offered twice per year. Proposals are welcome for digital initiatives in any area of the humanities.

Through a special partnership with NEH and pending the availability of appropriated funds, the Institute of Museum and Library Services (IMLS) anticipates providing additional funding to this program to encourage innovative collaborations between museum or library professionals and humanities professionals to advance preservation of, access to, use of, and engagement with digital collections and services. IMLS and NEH may jointly fund some DHAG projects that involve collaborations with museums and/or libraries.

Digital Humanities Advancement Grants may involve

- creating or enhancing experimental, computationally-based methods, techniques, or infrastructure that contribute to the humanities;

- pursuing scholarship that examines the history, criticism, and philosophy of digital culture and its impact on society; or

- conducting evaluative studies that investigate the practices and the impact of digital scholarship on research, pedagogy, scholarly communication, and public engagement.

This program is authorized by 20 USC §956 *et seq*. Awards are subject to 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

Award levels

Awards are available for early-stage planning, development, and implementation. Applicants must state in their narrative which funding level they seek. Applicants should carefully choose the funding level appropriate to the needs of the proposed project. See the Award Information section below for more details.

Level I awards (from $10,000 to $50,000) are small grants designed to fund exploratory sessions, workshops, early alpha-level prototypes, and initial planning. In addition to early planning towards an experimental prototype, Level I proposals can identify a problem or

research question, explore a research agenda, or discover appropriate methodologies or technologies for both new projects and projects in need of substantive revision or recovery. Outcomes for Level I projects would likely include reports, position papers, and plans for subsequent steps and future research or development. Level I projects may also fund meetings, workshops, or reports addressing specific topics related to the impact of technology on the humanities. Level I projects may also support planning for the revitalization and/or recovery of existing digital projects that promise to contribute substantially to scholarship, teaching, or public knowledge of the humanities. (For further information, see the question about revitalizing existing projects in the Frequently Asked Questions document, which is available on the program resource page.)

Proposals should include specific plans for broad dissemination of project outcomes.

Level II awards (from $50,001 to $100,000) are larger grants that can be used for more fully-formed projects that have completed an initial planning phase. Level II proposals should therefore include a more articulated plan of work leading to concrete and tangible outcomes, such as working prototypes; detailed plans for upgrading existing or defunct projects in need of substantive revision, enhancement, or recovery; test beds; or demonstration projects.

Digital Humanities Advancement Grants at both Level I and Level II stages support activities for periods of performance (award periods) up to **twenty-four months**.

Level III awards (from $100,001 to $325,000) support implementation and scaling-up of already established projects. All projects must already have completed a start-up or prototyping phase prior to application. The earlier phase of the project may have been supported by NEH or other funding sources. (Please provide details of project development and funding in the "History of the project" section of the narrative, instructions for which are available below.)

Level III projects must submit detailed data management and sustainability plans, and all projects are expected to fulfill the obligations outlined in these plans.

Level III awards support activities for periods of performance (award periods) up to **thirty-six months**.

Level III Match: To encourage institutions to leverage external funding so as to support digital initiatives, applicants may apply for a Level III Match. This opportunity allows up to an additional $50,000 in federal matching funds, which must be matched one-to-one by nonfederal gift funds raised from eligible third parties. (This additional funding, which brings the total request to a maximum of $375,000, is designed to encourage robust and creative approaches to supporting initiatives and resources likely to have enduring impact over the long term.) Matching funds may support appropriate activities that will take place during the period of performance: for example, the work of personnel dedicated to data curation, long-term storage, extended documentation planning, training, and other efforts to build and sustain an audience. Additional information about NEH policy related to offers of federal matching funds may be found in the Federal Matching Funds Guidelines document.

For all levels of support:

Support is available for various combinations of scholars, consultants, and research assistants; project-related travel; article processing charges for open access publications; and technical support and services. Up to 20 percent of the total NEH award amount may be used to acquire computing hardware and software. All grant recipients must communicate the results of their work to appropriate scholarly and public audiences.

Grant recipients must submit a white paper within ninety days of the end date of the period of performance. This white paper must document the project, including lessons learned, so that others can benefit. This white paper will be posted on the NEH website.

All proposals will be required to include a *data management plan* that discusses how data will be preserved. (Please see the instructions for this component of the application below for more details.) Level III Digital Humanities Advancement Grants must also include a *sustainability plan* that discusses long-term support for the project. (Please see the instructions for this component of the application below for more details.)

Types of projects not supported

Digital Humanities Advancement Grants may not be used for

- projects that mainly involve digitization, unless the applicant is proposing an innovative method for digitization;
- the creation or conversion of a scholarly journal (although the implementation of new modes of scholarly publication is permitted);
- recurring maintenance costs that would support only the day-to-day operations of existing projects rather than substantive changes or upgrades;
- recurring or established conferences or professional meetings;
- acquisition of computer equipment or software in excess of 20 percent of the total NEH award amount;
- promotion of a particular political, religious, or ideological point of view;
- advocacy for a particular program of social or political action;
- support of specific public policies or legislation;
- lobbying; or
- projects that fall outside of the humanities; the creation or performance of art; creative writing, memoirs, and creative nonfiction; and empirically based social science research or policy studies.

Applicants seeking to build or digitize collections, create archives, or develop reference resources like dictionaries and encyclopedias should consider the Humanities Collections and Reference Resources (HCRR) program. Applicants in the planning stages of such projects should especially consider the HCRR *Foundations* subset of this program. Applicants seeking to address major challenges in preserving or providing access to humanities collections and resources should consider the Research and Development program. Both of these programs are offered by the Division of Preservation and Access.

Applicants seeking long-term (five- to ten-year) support for revitalization and the covering of ongoing costs for existing digital scholarly infrastructure projects and programs, including the sustaining of scholarly projects and networks in digital form, should consider the Infrastructure and Capacity Building Challenge Grants offered by the Office of Challenge Grants. Applicants seeking to develop a plan to rejuvenate or modernize an existing digital project are, however, welcome to apply for a Level I Digital Humanities Advancement Grant.

Applicants seeking to create websites, mobile applications, games, and virtual environments that significantly contribute to public engagement with the humanities should consider the Digital Projects for the Public program offered by the Division of Public Programs. Applicants seeking to experiment with approaches to developing or implementing innovative approaches to creating digital projects for the public are, however, welcome to apply for a Digital Humanities Advancement Grant.

Please contact ODH program staff if you have any questions.

Standing Together

NEH invites projects related to its Standing Together initiative, which encourages projects related to war and military service.

Protecting our cultural heritage

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

In addition, NEH especially encourages projects that include Native American organizations and communities as lead applicants and project partners.

Libraries and museums advance the digital humanities

In support of its efforts to advance digital infrastructures and initiatives in libraries and museums, the Institute of Museum and Library Services (IMLS) anticipates providing additional funding through this program. These additional funds will go toward some DHAG projects that advance the IMLS mission to advance, support, and empower America's museums, libraries, and related organizations. IMLS funding will encourage innovative collaborations between museum or library professionals and humanities professionals to advance preservation of, access to, use of, and engagement with digital collections and services.

Through this partnership, IMLS funds would support some Level I and II projects that involve collaborations with museums and/or libraries. Organizations interested in applying for support for larger projects involving museums or libraries may still apply to the NEH DHAG program (Level III) but should also consider applying to either the IMLS National Leadership Grants for

Libraries program or the IMLS National Leadership Grants for Museums program. Note that while some DHAG projects may be funded in part by IMLS and identified as joint NEH/IMLS projects, all awards will be issued by NEH; all grant recipients must follow NEH grant management procedures.

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

Providing access to NEH-funded products

As a taxpayer-supported federal agency, NEH aims to ensure that scholars, educators, students, and the American public have ready and easy access to the wide range of NEH-funded products. For the Digital Humanities Advancement Grants program, such products may include software code, algorithms, digital tools, reports, articles, and websites. For projects that lead to the development of such products, all other considerations being equal, NEH gives preference to those that provide free access to the public.

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

Copyright information

Award recipients in this program may copyright any work that is subject to copyright and was developed, or for which ownership was produced, under an award. In accordance with 2 CFR 200.315 (b), NEH reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for federal purposes, and to authorize others to do so.

Award recipients are encouraged to deposit pre-prints in an institutional or discipline-specific repository. Award recipients also are encouraged to apply the most appropriate Creative Commons licenses for all forms of scholarship, including data sets, produced with public funds.

Award information

Awards for Level I and Level II grants are for up to twenty-four months. Awards for Level III Grants are for one to three years.

Digital Humanities Advancement Grants have three levels of funding:

Level I grants range from $10,000 to $50,000 in outright funding.

Level II grants range from $50,001 to $100,000 in outright funding.

Level III grants range from $100,001 to $325,000 in outright funding. Applicants for Level III grants can also request up to an additional $50,000 in matching funds, which brings the total request to a maximum of $375,000.

In the narrative, applicants must specify which level of funding they seek.

Successful applicants will be awarded a grant in outright funds, matching funds, or a combination of the two, depending on the applicant's preference and the availability of funds. (Learn more about different types of grant funding.)

Cost sharing

Cost sharing consists of the cash contributions made to a project by nonfederal third parties raised to release federal matching funds. Applicants are welcome to use voluntary cost sharing for projects in which the total budget exceeds the NEH grant limit. Voluntary cost sharing includes nonfederal cash contributions by the applicant and eligible third parties, as well as third party in-kind contributions, such as donated services and goods.

Cost sharing is not required for Level I, Level II, and Level III projects. However, Level III projects that request federal matching funds must include the required cost share in the application budget. The indirect-cost rate should not be applied to cost share. Recipients of federal matching funds must report the third-party nonfederal contributions raised to release NEH matching funds.

Applicants are welcome to use voluntary cost sharing for projects in which the total budget exceeds the NEH grant limit. Voluntary cost sharing includes nonfederal cash contributions by the applicant and eligible third parties, as well as third-party in-kind contributions, such as donated services and good. Voluntary cost share should not be included in the application budget; nor should it be included when calculating indirect costs. It should, however, be addressed in the budget justification.

Subsequent project phases

Applicants whose projects have received NEH support may apply for a grant for a new or subsequent stage of that project. These proposals receive no special consideration and will be judged by the same criteria as others in this competition. In addition, such applicants must substantially update their proposals and must include a description of the new activities and a justification of the new budget. Such applicants must also describe how the previously funded project met its goals.

An award from NEH for one stage of a project does not commit NEH to continued support for the project. Applications for each stage of a project are evaluated independently.

Eligibility

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

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

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

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

Degree candidates may not be project directors or co-directors. Degree candidates may, however, serve in other project roles.

Individuals may serve as project directors or co-directors for only one application to this program per deadline. Individuals may, however, be listed as participants in more than one Digital Humanities Advancement Grant application per deadline. If an application for a project is already under review in the DHAG program, another application for the same project will not be accepted by this program. Applicants may also seek funding from other NEH programs for complementary aspects of the same overall project. They may also apply for other NEH awards unrelated to the overall project.

When two or more institutions or organizations collaborate on a project, one of them must serve as the lead applicant and administer the grant on behalf of the others. If funded, the lead applicant will be programmatically, fiscally, and legally responsible for the award.

Applicants may apply to any of the three levels as appropriate to the needs of the project. Applicants are not required to obtain a Level I or II award prior to applying for a Level III award, but applicants must have completed some earlier phase of work prior to applying for Level III.

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

NEH generally does not award grants to other federal entities or to applicants whose projects are so closely intertwined with a federal entity that the project takes on characteristics of the federal entity's own authorized activities. This does not preclude applicants from using grant funds from, or sites and materials controlled by, other federal entities in their projects.

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

II. Preparing and Organizing your Application

Resources for preparing a strong application

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

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

Review criteria

Applicants should read the program's review criteria and ensure that their applications respond to them.

The review criteria are as follows:

1.	The intellectual significance of the project for the humanities or, for a project developing new infrastructure or scholarly methods, its potential to enhance scholarly research, teaching, and learning in the humanities.

2.	The feasibility of the plan of work, the appropriateness of the project's methods and use of technology, and the project's plans for mitigating risk and addressing accessibility for its intended audience.

3.	The quality of the conception, definition, organization, and description of the project and the applicant's clarity of expression.

4.	The qualifications, expertise, and levels of commitment of the project director and key project staff or contributors.

5.	The reasonableness of the proposed budget in relation to the proposed activities and the anticipated results.

6.	The quality and appropriateness of project plans for data management and (if applicable) sustainability.

As noted above, before they submit a proposal applicants are encouraged to contact program officers, who can offer advice about preparing the proposal and the review process. Program officers can also review draft proposals, which are optional. Program officers' comments on draft proposals are not part of the formal review process and have no bearing on the final

outcome of the proposal, but previous applicants have found them helpful in strengthening their applications.

Program staff recommends that draft proposals be submitted at least six weeks before the deadline. Time constraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals should be submitted by e-mail attachment to odh@neh.gov.

Application elements

SF-424 Application for Federal Domestic Assistance – Short Organizational

In Section 6.a of the SF-424 Application for Federal Assistance – Short Organizational (part of the Grants.gov application package), include a project title not to exceed 125 characters (including spaces and punctuation). (Information about this form is available in the NEH Grants.gov Instructions for Applicant Organizations document. You can find a link to that document on the program resource page.)

Successful proposals will typically have titles that are descriptive of the project, substantive, and free of specialized language. Most importantly, your title should be easily understood by the general public. NEH reserves the right to retitle funded projects for clarity when announcing its funding decisions and in its own reports and communications, but recipients are permitted to use their preferred title for any award products. You can find guidance for writing a good title in the Frequently Asked Questions document, which is available on the program resource page.

In Section 6.b. provide a one-paragraph description (up to one thousand characters, including spaces) written for a nonspecialist audience, clearly explaining the level for which you are applying (I, II, or III), the project's principal activities and its expected results. In the SF-424 form you should place the paragraph in Section 6.B, Project Description. Do not attach the description to the Attachments Form, a form that is also explained in the NEH Grants.gov Instructions for Applicant Organizations document.

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

1. **Table of contents**

   List all parts of the application and corresponding page numbers.

2. **List of participants**

   On a separate page, list all project participants and collaborators and their institutional affiliations, if any. Clearly identify the project director and any co-directors. The names on this list should match the names mentioned in the work plan section of the project's narrative description. The list should also include the names and institutional affiliations of advisory board members and of any experts who have provided letters of support. The list is used to ensure that prospective reviewers have no conflict of interest with the projects that they will evaluate.

3. **Narrative**

The narrative should not assume specialized knowledge, and it should be free of jargon. It should clearly define technical terms so that they are comprehensible to a nonspecialist audience.

Successful projects often incorporate multiple perspectives from a variety of disciplines, institutions, and communities.

Provide an intellectual justification for the project and a work plan. The narrative should address the long-term goals for the project, as well as the proposed activities. Keep in mind the criteria (listed above) used to evaluate proposals. Applicants must state whether they are applying for a Level I, Level II, or Level III grant.

For Level I grants, the narrative section should not exceed four single-spaced pages.

For Level II grants, the narrative should not exceed six single-spaced pages.

For Level III grants, the narrative should not exceed ten single-spaced pages.

For all levels: All pages should have one-inch margins, and the font size should be no smaller than eleven point. You may use any citation style and format, as long as you use them consistently.

Provide a detailed project description that addresses the following topics.

- **Enhancing the humanities**

  Provide a clear and concise explanation—comprehensible to a general audience—of the project activities and the ultimate project results, including their intellectual value to scholars, students, and general audiences in the humanities. Describe the scope of the project activities, the major issues or research questions to be addressed, and their significance to the humanities. For projects that are developing experimental methods, techniques, or tools, describe the technologies, platforms, and standards that you plan to use and how they will help you address your central research questions. NEH views the use of open-source software as a key component in the broad distribution of exemplary digital scholarship in the humanities. If the project will not employ generally accessible open-source software, explain why and also explain how NEH's dissemination goals will still be satisfied by the project.

  If you are requesting complete or partial funding for the development, acquisition, preservation, or enhancement of geospatial data, products, or services, you must conduct a due diligence search at the Data.gov list of datasets to discover whether the needed geospatial-related data, products, or services already exist. If not, you must produce the proposed geospatial data, products, or services in compliance with applicable proposed guidance posted at www.fgdc.gov. For further information on this requirement, please see Article 34 of the General Terms and Conditions for Awards.

  If the above requirement applies to your project, please indicate in your application that you will fulfill the requirement.

- **Environmental scan**

  Provide a clear and concise summary of an environmental scan of the relevant field. The goal of an environmental scan is to take a careful look at similar work being done in the applicant's area of study. For example, if you are developing software to solve a particular humanities problem, please discuss similar software developed for other projects and explain how the proposed solution differs. If there are existing software products that could be adapted and re-used for the proposed project, please identify them and discuss the pros and cons of taking that approach. If there are existing humanities projects that are similar in nature to your project, please describe them and discuss how they relate to the proposed project. The environmental scan should make it clear that you are aware of similar work being done and should explain how your proposed project contributes to and advances the field.

- **History of the project**

  Provide a concise history of the project, including information about preliminary research or planning, previous related work, previous financial support, publications produced, and resources or research facilities available. If applicable, describe plans for work that would take place after the period of performance, and list probable sources of support for subsequent phases of the project.

  If you seek a Level I award to plan for the revitalization or recovery of an older project, briefly describe how—if at all—the project is currently maintained (for example, through institutional support or grant support). If you have the information, provide data documenting the project's usage and/or describe the project's past impact on the field.

  If your project has received NEH support, describe how the previously funded project met its goals.

  Level III grants fund projects that have already demonstrated their potential value during an earlier planning or start-up phase. Please describe the results of any testing or evaluation of this earlier work and provide a clear explanation of how earlier phases have positioned the project for successful execution. Describe how this implementation phase will enable the project to fulfill its goals.

  Provide references to any earlier work (for example, by including URLs in this section of the narrative, or by providing relevant attachments in an appendix).

- **Work plan**
    - Describe the specific tasks that will be accomplished during the period of performance. Include a schedule of important tasks and milestones, and indicate the staff member(s) responsible for each component. Depending on the project, you may organize the description of the work plan by type or duration of activity (for example, three- or six-month intervals.) Project directors must devote a significant portion of their time to the projects. Discuss in this section all persons directly involved in the proposed

project, whether or not their salaries will be paid from requested grant funds.

- Identify any risks and note how they might adversely affect the overall schedule. Describe your strategies to mitigate these risks, so as to keep the project on budget and on schedule.

- Describe plans for evaluating the results of the project activities. These plans will typically involve people from outside your project team, for example, evaluators drawn from your intended audience. This evaluation should both look back on what the grant will have accomplished and look forward to how the long-term project goals will be achieved.

- If your project involves staging a workshop or conference, please include, as an appendix to your application, the agenda and a list of proposed participants or specific criteria for selecting participants.

- **Final product and dissemination**

  Describe the plans to disseminate the project results through various media (printed articles or books, presentations at meetings, webinars or training sessions, electronic media, or some combination of these) for your intended audiences. Explain how you will make publications resulting from this grant available in an open access venue. Briefly describe the steps you will take to ensure that the project results will be accessible to individuals with disabilities. Identify what particular guidelines or standards you will adhere to with respect to accessibility and universal design, as well as what sorts of disabilities your steps will address (for example, cognitive or physical disabilities, impaired sight, or impaired hearing).

  Projects developing new software are encouraged to make the software free in every sense of the term, including the use, copying, distribution, and modification of the software. Open-source software or source code should preferably be made publicly available through an online repository such as SourceForge or GitHub. Software should be thoroughly documented to promote its reuse. If applicable, describe how your project will address this encouragement.

4. **Biographies**

Provide a brief, one-paragraph biography for each project participant. Explain how each individual's technical competence and/or humanities qualifications will enable them to fulfill their responsibilities on the project.

If the project has an advisory board, explain its function here and provide a biography for each member.

5. **Project budget**

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

All project directors will attend a planning meeting at the NEH offices in Washington, D.C. Directors should budget accordingly for a one-day meeting in the winter of the first year of the requested period of performance.

Applicants for Level III awards may also request up to $50,000 in matching funds, which must be matched one-to-one by nonfederal gift funds raised from eligible third parties. Matching funding up to $50,000 is in addition to the $325,000 allowed in outright funds, which brings the total request to a maximum of $375,000. If an applicant is requesting $375,000, the budget should reflect total project costs (both direct and indirect) of $425,000 ($375,000 in award funds plus the required $50,000 in nonfederal third-party contributions necessary to meet the required cost share). This additional request for federal matching funds is optional.

Up to 20 percent of the total NEH award amount may be used to acquire computing hardware and software. Consistent with Executive Order 13788 ("Buy American and Hire American"), recipients and subrecipients that purchase equipment and products costing $10,000 or more per unit with NEH or required matching funds should purchase only American-made equipment and products. This encouragement does not apply to commercial information technology.

If the applicant institution is claiming indirect costs and already has a federally negotiated indirect-cost rate agreement, submit a copy of its current federally negotiated indirect-cost rate agreement. Do not attach the agreement to your budget form. Instead you must attach it to the Attachments Form as Attachment 10.

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

Applicants that have never had a negotiated indirect-cost rate agreement may use the government-wide de minimis rate of 10 percent of the total direct costs, less distorting items (including equipment, capital expenditures, rental costs, tuition remission, participant support costs, scholarships and fellowships, and the portion of each subaward in excess of $25,000). See 2 CFR §200.414 (f) for additional information regarding the de minimis rate.

Do not apply the indirect cost rate to cost share.

Budget justification

Include a brief justification supplementing the budget, explaining projected expenses or other items in the financial information provided on the NEH budget form. Explain any voluntary cost share; but if you are not requesting federal matching funds, please do not include voluntary cost share in the budget. The budget justification may be single-spaced.

6. **Appendices**

If applicable, include an expanded work plan, proposed workshop or meeting agenda, a bibliography or list of works cited, use cases, wireframes, screen shots, or other project plans. If applicable, include relevant materials from the project's start-up phase—for example, evaluation reports that help explain the project's potential, initial results, or significance. **Materials in this section may not exceed a total of ten pages.**

7. **Letters of commitment and support**

Include letters of commitment from outside participants and cooperating institutions. Note that the project director does not need to provide a letter of commitment.

A letter of commitment is typically written by an outside person or third-party organization that is committing something to your project: for example, giving you access to a collection of materials or agreeing to make some kind of contribution to your project.

You may also include up to two letters of support from experts who are not directly involved in the proposed project but can speak to its value to the field or to the appropriateness of the proposed methodology or the technical plan.

For more information about letters of support, see the Frequently Asked Questions document, which is available on the [program resource page](#).

8. **Data management plan**

Prepare a data management plan for your project (not to exceed two pages) when applying for any award level. The members of your project team should consult this document throughout the life of the project and beyond the grant's period of performance. The plan should describe how your project team will manage and disseminate data generated or collected by the project. For example, projects in this category may generate data such as software code, algorithms, digital tools, reports, articles, research notes, or websites. For further guidance on the content of this plan, please see Data Management Plans for NEH Office of Digital Humanities Proposals and Awards. (A link to this document is available on the [program resource page](#).)

9. **Sustainability plan (required only for Level III applications)**

If you are applying for a Level III award, prepare a sustainability plan for your project. This plan should discuss the long-term financial needs of the project and show how the project will continue to be able to meet its goals after the period of performance has ended. The plan must address potential institutional support or future funding streams necessary to allow the project to thrive beyond the period of performance. The content of the plan will, of course, vary, depending on the activities being undertaken during the grant period. You may wish to consult the NEH-funded Ithaka report [Sustaining Digital Resources: A Briefing Paper for Leaders of Projects with Scholarly Content](#) (PDF) for tips on putting together your plan. The plan may not exceed three pages.

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

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

III. Submitting your Application

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

The Grants.gov registration process requires completing information in three separate systems:
1. Dun and Bradstreet (https://fedgov.dnb.com/webform)
2. System for Award Management (SAM) (https://www.sam.gov)
3. Grants.gov (https://www.grants.gov/)

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

Organizations must maintain active SAM registration with current information at all times during which they have an active federal award or an application or plan under consideration by a federal agency. You must therefore review and update your information at least annually after the initial registration, and more frequently if required by changes in information. Effective June 29, 2018, when you go to SAM.gov and log in, you will be asked to create a Login.gov user account. Your current SAM.gov username and password will **no longer work.** Applicants renewing or updating their registrations are strongly advised to know the e-mail address associated with their current SAM.gov user account. Using the same e-mail address allows SAM.gov to automatically migrate your roles. If a different e-mail address is provided, your roles will need to be reassigned. This could cause delays in renewing or updating your SAM.gov registration. You can review your organization's SAM registration here. **We strongly recommend that you verify the status of your SAM registration at least two weeks before the application deadline.**

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

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

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

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

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

Deadlines for submitting optional draft proposals and applications

Program staff recommends that draft proposals be submitted at least six weeks before the deadline. Time constraints may prevent staff from reviewing draft proposals submitted after that date.

Applications must be submitted through and validated by Grants.gov by 11:59 PM Eastern Time on January 15, 2019. Grants.gov will date- and time-stamp your application after it is fully uploaded. Late applications will not be reviewed.

IV. What Happens After the Submission of an Application

Review and selection process

Knowledgeable persons outside NEH will read each application and advise the agency about its merits. Staff from IMLS will assist NEH in ensuring that the peer reviewers include experts from the library and museum fields. NEH staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH Chairman. The Chairman takes into account the advice provided by the review process and, by law, makes all funding decisions. More details about NEH's review process are available here. Projects that may be suitable for IMLS funding will be forwarded to IMLS for consideration.

Prior to making an award, NEH will conduct a risk assessment of successful applicants, consistent with Administrative Requirements §200.205. (See the third paragraph below the next heading for more information about the Office of Management and Budget's Administrative Requirements, which NEH has implemented.) This assessment guards against the risk that federal financial assistance might be wasted, used fraudulently, or abused. Based on its risk assessment, NEH will include in the award documents specific conditions designed to mitigate the effects of the risk.

Information for all applicants and for successful applicants

Applicants will be notified of the decision by e-mail in August 2019. Institutional grants administrators and project directors of successful applications will receive award documents

from the NEH Office of Grant Management by e-mail in September 2019. Award documents will identify the relevant terms, conditions, and administrative requirements that pertain to successful applications. The Grant Management section of the NEH website outlines all the responsibilities of award recipients, including anti-lobbying restrictions, in great detail. Applicants may obtain the evaluations of their applications by sending an e-mail message to odh@neh.gov.

Grant recipients will be required to submit a white paper, which will be due within ninety days after the end of the grant period. This white paper will document the project, including lessons learned, so that others can benefit. The white paper will be posted on the NEH website.

In December 2014 NEH adopted 2 CFR Part 200: *UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS*. 2 CFR 200 applies to all NEH awards to organizations and is aimed at reducing the administrative burden on award recipients and improving accountability of federal financial assistance for tax payers. NEH will identify in each award document the relevant programmatic terms, conditions, and reporting requirements with which the grant recipient must comply.

Help NEH eliminate fraud and improve management by providing information about allegations or suspicions of waste, fraud, abuse, mismanagement, research misconduct (fabrication, falsification, plagiarism), or unnecessary government expenditures, during the period of performance, to the NEH Office of the Inspector General. You can find details on how to report such allegations and suspicions here.

V. Additional Information

Contact information for the program and Grants.gov

If you have questions about the program, contact the ODH staff at odh@neh.gov. Applicants wishing to speak to a staff member by telephone should provide in an e-mail message a telephone number and a preferred time to call.

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

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

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

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

Privacy policy

Information in these guidelines is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956 *et seq.* The principal purpose for which the information will be used is to process the application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.

Application completion time

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

Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the completion time, to the Chief Guidelines Officer, at guidelines@neh.gov; the Office of Publications, National Endowment for the Humanities, Washington, D.C. 20506; and the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number.

APPLICATION CHECKLIST

☐ **Register your institution or verify its registration with the System for Award Management (SAM).** Begin a new registration at least six weeks before the deadline. Read the SAM update and FAQs to learn more about this process.

☐ **Register your institution or verify its registration with Grants.gov.** Begin a new registration at least two weeks before the deadline.

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

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

1. SF-424 Application for Federal Domestic Assistance - Short Organizational (in which you must include in the Project Information field a one-paragraph description—up to

one thousand characters, including spaces—written for a nonspecialist audience, clearly explaining the project's principal activities and its expected results)

2. Supplementary Cover Sheet for NEH Grant Programs

3. Project/Performance Site Location(s) Form

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

   ATTACHMENT 1: Table of contents (name the file "contents.pdf")

   ATTACHMENT 2: List of project participants (name the file "participantslist.pdf")

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

   ATTACHMENT 4: Biographies (name the file "biographies.pdf")

   ATTACHMENT 5: Budget and budget justification (name the file "budget.pdf")

   ATTACHMENT 6: Appendices (name the file "appendices.pdf")

   ATTACHMENT 7: Letters of commitment and support (name the file "letters.pdf")

   ATTACHMENT 8: Data management plan (name the file "datamanagement.pdf")

   ATTACHMENT 9: Sustainability plan, required only for Level III applications (name the file "sustainability.pdf")

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

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

Visit Grants.gov's Adobe Software Compatibility page to verify compatibility or to download the appropriate version of the software at https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html. If you have a problem installing Adobe Reader, it may be because you do not have permission to install a new program on your computer. Many organizations have rules about installing new programs. If you encounter a problem, contact your system administrator.

Upload your application to Grants.gov. NEH **strongly** suggests that you submit your application no later than noon Eastern Time on the day of the deadline. Doing so will leave you time to contact the Grants.gov help desk for support, should you encounter a technical problem of some kind. The Grants.gov help desk is now available seven days a week, twenty-four hours a

day (except on federal holidays), at 1-800-518-4726. You can also send an e-mail message to support@grants.gov.

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

TIMELINE

Until January 15, 2019: Contact Office of Digital Humanities program officers (at odh@neh.gov) with questions and for advice (optional)

December 4, 2018: Applicants that have not registered in the System for Award Management (SAM) and Grants.gov should begin the process by this date

December 4, 2018: Submit draft application by this date (optional)

January 2, 2019: Applicants that have registered in SAM and Grants.gov should verify their registrations by this date

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

March-April 2019: Peer review panels take place

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

August 2019: Applicants are notified of the funding decisions

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

September 2019: Successful applicants begin work on their projects

December 2019-February 2020: Project directors' one-day planning meeting will take place in Washington DC in this period