



NATIONAL ENDOWMENT FOR THE HUMANITIES

**NOTICE OF FUNDING OPPORTUNITY**

**Funding Opportunity Title:  
American Rescue Plan: Humanities Organizations**

Funding Opportunity Number: 20210514-ARPO

Funding Opportunity Type: New

Federal Assistance Listing Numbers: 45.149, 45.161, 45.162, 45.164, and 45.169

**Application Deadline: May 14, 2021**

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

Email: [ARPOrganizations@neh.gov](mailto:ARPOrganizations@neh.gov)  
Federal Relay: 800-877-8399

OMB control number 3136-0134, expiration date June 30, 2021

## Executive Summary

The National Endowment for the Humanities (NEH) is accepting applications for the American Rescue Plan: Humanities Organizations program. In keeping with Congress’s intent in enacting the American Rescue Plan Act of 2021, the purpose of this emergency relief program is to assist institutions and organizations working in the humanities that have been adversely affected by the coronavirus pandemic. Applicants may propose new humanities projects or focus on sustaining core humanities programs and activities.

Funding Opportunity Title:	American Rescue Plan: Humanities Organizations
Funding Opportunity Number:	20210514-ARPO
Federal Assistance Listing Numbers:	45.149, 45.161, 45.162, 45.164, and 45.169
Application Deadline:	May 14, 2021, 11:59 p.m. Eastern Time
Anticipated Announcement:	September 2021
Anticipated Funding:	Approximately \$40,000,000
Estimated Number and Type of Awards:	Approximately 150 grants
Award Amount:	Level I: up to \$50,000 Level II: up to \$200,000 Level III: up to \$500,000  See <a href="#">B. Federal Award Information</a> .
Cost Sharing/Match Required:	No
Period of Performance:	The period of performance is one year.  Projects may start as early as October 1, 2021 and as late as January 1, 2022.
Eligible Applicants:	U.S. nonprofit organizations with 501(c)(3) tax-exempt status, public and 501(c)(3) accredited institutions of higher education, state and local governmental agencies, and federally recognized Native American tribal governments.  See <a href="#">C. Eligibility Information</a> .
Program Resource Page:	<a href="https://www.neh.gov/program/american-rescue-plan-humanities-organizations">https://www.neh.gov/program/american-rescue-plan-humanities-organizations</a>
Technical Assistance:	A pre-recorded technical assistance webinar will be available on the program resource page by April 12, 2021.  Frequently asked questions will be available on the program resource page and will be updated periodically during the application period.

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# A. Program Description

## 1. Purpose

The American Rescue Plan Act of 2021 recognizes that the humanities sector is an essential component of economic and civic life in the United States. The Act appropriated supplemental funding to NEH to provide emergency relief to institutions and organizations working in the humanities that have been adversely affected by the coronavirus pandemic. In keeping with Congress's intent in enacting the American Rescue Plan, applicants may propose new humanities projects or focus on sustaining core humanities programs and activities.

The American Rescue Plan: Humanities Organizations program invites applications from eligible organizations seeking support for humanities positions and projects that have been adversely impacted by the coronavirus pandemic. Through this funding opportunity, NEH will award grants to museums, libraries and archives, historic sites, independent research institutions, academic presses, professional organizations, colleges and universities, and other humanities organizations across the country to help them continue to advance their mission during the interruption of their operations due to the coronavirus pandemic. See [C. Eligibility Information](#).

NEH has designed a simplified application process and expedited review for the distribution of these critical emergency relief funds. Funds are available to support a range of activities over a yearlong period of performance. NEH especially encourages applications from underserved and minority-serving institutions and organizations.

Allowable costs include, but are not limited to:

- personnel costs (salaries and fringe benefits) for individuals employed by the applicant and dedicated to the proposed activities
- fees for consultants and contractors
- supplies and materials necessary to carry out the proposed activities
- equipment necessary to carry out the proposed activities (not to exceed 20 percent of the total funds requested)
- general operating support (typically recovered through indirect costs)

Applicants may request pre-award costs as long as they were incurred no earlier than March 15, 2021. Applicants incur pre-award expenditures at their own risk, and a recipient's authority to approve such costs does not impose an obligation on NEH in the event an award is not made or is made for an amount that is less than the recipient anticipated. All other project activities and expenditures of project funds must occur during the period of performance.

See [D6. Funding Restrictions](#) for unallowable costs.

See [E1. Review Criteria](#) for review criteria.

## 2. Background

This program is authorized by [20 U.S.C. §956, et seq](#), the [American Rescue Plan Act of 2021, Public Law No: 117-2](#), and the [CARES Act \(Public Law 116-136\)](#). Awards are subject to [2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#), and the [General Terms and Conditions for Awards to Organizations \(for grants and cooperative agreements issued December 26, 2014 or later\)](#).

According to the [National Foundation on the Arts and the Humanities Act Of 1965](#), “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.”

Examples of NEH-funded projects may be found using the [Funded Projects Query Form](#).

[Learn more about NEH](#).

## **NEH Area of Interest**

While all applications will be given equal consideration in accordance with the [review criteria](#), NEH is especially interested in supporting projects that advance humanities-related work in the following area:

### **A More Perfect Union: Exploring America's Story and Commemorating its 250th Anniversary**

The task of building a more perfect Union rooted in the ideal of human equality falls to every generation of Americans, ours no less than our predecessors. The basic goals of life, liberty, and the pursuit of happiness endure over time, even as the challenges change: from founding a nation out of colonies; to dismantling the institution of slavery; to prevailing through times of economic depression and war; to advancing civil rights for all; to strengthening our democratic institutions; to building a more inclusive and sustainable society.

NEH’s [A More Perfect Union](#) initiative encourages projects that explore, reflect on, and tell the stories of our quest for a more just, inclusive, and sustainable society throughout our history. NEH especially welcomes projects that bring the perspective of the humanities to questions of racial justice, gender equality, the evolution of the American landscape, as well as America’s place in the world. Projects that strengthen Americans’ knowledge of our principles of constitutional governance and democracy are strongly encouraged, as are projects that address the experiences of Native Americans and other under-represented communities. In addition, NEH welcomes projects that develop innovative approaches to sustaining the nation’s humanities infrastructure and preserving its historical record.

## **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**

Applicants may apply for an amount based on the average size of their total annual operating costs for the three most recently completed fiscal years. If required to file, 501(c)(3) nonprofit organizations should refer to their 2019 Form 990 (Return of Organization Exempt from Income Tax), part one, line 18.

Level I: Organizations with an annual operating budget of less than \$1,000,000 may request up to \$50,000.

Level II: Organizations with an annual operating budget of between \$1,000,000 and \$10,000,000 may request up to \$200,000.

Level III: Organizations with an annual operating budget of greater than \$10,000,000 may request up to \$500,000.

The period of performance is one year, with a start date no earlier than October 1, 2021, and no later than January 1, 2022.

Approximately \$40,000,000 is expected to be available to fund an estimated 150 recipients.

## **C. Eligibility Information**

### **1. Eligible Applicants**

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

The [56 state and jurisdictional humanities councils and interim partners](#) are not eligible to apply under this notice. State and jurisdictional humanities councils will receive American Rescue Plan funds directly as a supplement to their general operating support grants.

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

### **2. Cost Sharing**

Cost sharing is not required in this program.

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

### **3. Other Eligibility Information**

An applicant may not submit multiple applications under this notice. NEH will consider parent organizations and their subordinates to be a single entity for purposes of eligibility. NEH will use the definition of “related organization” provided by the Internal Revenue Service in the glossary of the [2020 Instructions for Form 990 Return of Organization Exempt From Income Tax for eligibility determinations](#). Institutions of higher education are encouraged to include academic libraries, museums, academic presses, and research centers in a single proposal.

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

Two or more applications for federal funding and/or approved federal award budgets are not permitted to include overlapping project costs. However, applicants may seek funding from other NEH programs for **complementary** aspects of the same overall project.

An applicant whose project has received a prior award from NEH may request support for a new or subsequent stage of that project. Such proposals will be judged by the same criteria as others in the current competition.

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

Applications must be received by the deadline. Late, incomplete, nonresponsive, or ineligible applications will not be considered for funding under this notice. Applications that exceed specified page limits will not be reviewed. See the [Application Components Table](#).

## **D. Application and Submission Information**

### **1. Application Package**

This funding opportunity is available in Grants.gov under number 20210514-ARPO. You can also find a link to the funding opportunity on the [program resource page](#).

This funding opportunity is intended to support a wide range of humanities activities and includes five application packages which can be found under the "Package" tab. Each package includes an identical series of required and conditionally required forms. Regardless of which package you choose, you will upload additional components into the [Attachments Form](#).

Select the application package aligned with your proposed project. In cases where a project includes multiple activities, select the application package most closely aligned with your predominant activity. The package you select will be used for reporting purposes and will have no effect on the review of your application or impact your likelihood of receiving an award.

ZDH2021 – Digital Humanities  
ZED2021 – Education  
ZPA2021 – Preservation and Access  
ZPP2021 – Public Programs  
ZRE2021 – Research

You must apply electronically using Grants.gov Workspace or a Grants.gov system-to-system solution. A multistep registration process is required to submit your application. See [D3 Unique Entity Identifier and System for Award Management](#).

To request a paper copy of this notice, contact [ARPOrganizations@neh.gov](mailto:ARPOrganizations@neh.gov).

Applicants who are deaf or hard of hearing can contact NEH via Federal Relay at 800-877-8399.

### **2. Content and Form of Application Submission**

Your application will include a [narrative](#), [budget](#), and other required [forms](#) and [attachments](#).

#### **Narrative**

Compose a narrative that provides 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.

Level I and Level II applicants must limit the narrative to three pages. Level III applicants must limit the narrative to five pages. All applicants must use one-inch margins and a font size of no less than eleven point.

Use the following section headings for your narrative. If you are applying on behalf of two or more subordinate entities, discuss each one, in turn, under each heading.

NEH has aligned each section of the narrative with a corresponding review criterion. Refer to [E1. Review Criteria](#).

**1. Humanities mission and record of contribution (corresponds with [review criterion 1](#))**

Briefly describe the mission and core work of your organization, providing examples of how it supports or advances the humanities for the benefit of the cultural and educational sectors and/or the general public.

**2. Project justification (corresponds with [review criterion 2](#))**

Describe the impact of the coronavirus pandemic on your institution, in both quantitative and qualitative terms (e.g., suspended operations, reductions in revenue, staff furloughs, reduction in visitors, etc.). Explain how your organization has attempted to offset the pandemic's impact. Describe how you have continued to deliver on your humanities mission during the pandemic despite these challenges.

**3. Proposed activities and audience (corresponds with [review criteria 1 and 2](#))**

Describe the new or existing activities to be funded by an NEH award. Explain how they will position your organization to address or overcome the challenges described above. Describe how the activities would support the mission of your organization and advance the humanities for the cultural and educational sectors and/or the general public. Provide a timeline for these activities in [Attachment 2: Work plan](#).

**4. Jobs and personnel (corresponds with [review criterion 3](#))**

Indicate the number and titles of the positions that would be retained or created in conducting the proposed activities. Explain how these positions have been affected by the coronavirus pandemic, or, if new, how they would help your organization or your part of the humanities sector respond to the pandemic's impact. Identify the people who hold (or will hold) these positions and describe the work they will do. Include salaried personnel employed by your organization and consultants. Provide biographical information and a statement of each person's qualifications or a job description in [Attachment 3: Biographies](#).

**5. Institutional capacity (corresponds with [review criterion 4](#))**

Describe your organization's capacity to administer an award of federal emergency funds in compliance with relevant regulations given the challenges brought on by the coronavirus pandemic (such as suspended operations, telework, etc.). Briefly summarize how the proposed activities fit within your overall strategy to ensure your organization's long-term viability. State your organization's annual total operating costs for fiscal year 2019. If required to file, 501(c)(3) nonprofit organizations should refer to their 2019 Form 990 (Return of Organization Exempt from Income Tax), part one, line 18. Other Level II and Level III applicants should provide information from audited financial statements to convey the organization's total operating costs. Level I applicants may use unaudited financial statements.

<b>NARRATIVE GUIDANCE</b>	
This table provides a crosswalk between the narrative sections and review criteria.	
<b><u>Narrative Section</u></b>	<b><u>Review Criteria</u></b>
1. <a href="#">Humanities mission and record of contribution</a>	<a href="#">Review criterion 1</a>
2. <a href="#">Project justification</a>	<a href="#">Review criterion 2</a>
3. <a href="#">Proposed activities and audience</a>	<a href="#">Review criteria 1 and 2</a>
4. <a href="#">Jobs and personnel</a>	<a href="#">Review criterion 3</a>
5. <a href="#">Institutional capacity</a>	<a href="#">Review criterion 4</a>

## **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 a single detailed budget for the proposed period of performance. The form will generate a cumulative budget.

Required fields are indicated in yellow. Round to the nearest whole dollar amount in all dollar fields. The inclusion of a cost category on the Research and Related Budget does not automatically indicate that an expense is allowable in this program. See [D6. Funding Restrictions](#) for a list of unallowable costs. Carefully review these instructions to ensure that costs are not disallowed.

All costs 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. All costs are subject to audit, record retention, and other requirements set forth in [2 CFR 200 Subpart F](#).

If you charge indirect costs to the project, ensure that expenses included in your organization's indirect cost pool are not charged to the project as direct costs. See [H. Indirect Costs](#).

The Research and Related budget and budget justification are considered under [review criterion 4](#).

### **Introductory Fields**

If not pre-populated, indicate your organization's D-U-N-S® number, the name of your organization, and the period of performance start and end dates. This should be the same as the information provided on your [SF-424 Application for Federal Assistance - Short Organizational](#). Check "project" for budget type.

#### **A. Senior/Key Person**

Include the names of the project director and other senior/key persons who are employed by the applicant organization and who are involved in the project. Do not include collaborators at other institutions or consultants here, as they will be included in [F. Other Direct Costs](#).

Enter the base salary (annual compensation) and identify the number of months each senior/key person will devote to the project in the applicable box (i.e., calendar, academic, summer). Use either calendar months or a combination of academic and summer months.

If level of effort will not change throughout the year, you may use only the calendar months column. If effort remains constant, but your institutional business process requires noting academic and summer months separately, you may use both columns. If effort varies between academic and summer months, leave the calendar months column blank and use only the academic and summer months columns. If your institution does not use a nine-month academic year or 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 provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe benefits include, but are not limited to, the costs of leave (vacation, family-related, sick, or military), employee insurance, pensions, and unemployment benefit plans. The sum of requested salary and fringe benefits will be automatically calculated for each senior/key person.

Salaries and wages claimed must be in compliance with [2 CFR §§200.430](#) and [.466](#). Fringe benefits claimed must be in compliance with [2 CFR §200.431](#).

The form can accommodate up to eight senior/key persons. If you are requesting funds for additional senior/key persons, 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 personnel listed in the attachment in the "Total Funds requested for all Senior/Key Persons in the attached file" field.

## **B. Other Personnel**

For each project role described below, 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](#). Totals will be automatically calculated.

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

In your [budget justification](#), list names, roles, associated months, and requested salary and fringe benefits for 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. Such costs are subject to the reporting requirements in [2 CFR §200.430](#), and must be treated as direct or indirect costs in accordance with the actual work being performed. Tuition remission may be charged on an average rate basis.

### **Secretarial/Clerical**

In most circumstances, the salaries of administrative, secretarial, or clerical staff are included as part of indirect costs (see [H. Indirect Costs](#)). Per [2 CFR §200.413\(c\)](#), direct charging of salaries for administrative or clerical staff may be appropriate only if **all** of the following conditions are met:

1. Administrative or clerical services are integral to a project or activity.
2. Individuals involved can be specifically identified with the project or activity.
3. Such costs are explicitly included in the budget or have prior written approval of the federal awarding agency.
4. The costs are not also recovered as indirect costs.

In your [budget justification](#), document how direct charging for secretarial/clerical personnel (i.e., administrative and clerical staff) meets all four conditions. NEH may request additional information for these positions in order to assess allowability.

### **Additional Other Personnel**

List any additional project role(s). The form can accommodate up to six named roles. If you have more than six, combine project roles here and explain in your [budget justification](#).

Salaries and wages claimed must be in compliance with [2 CFR §§200.430](#) and [.466](#). Fringe benefits claimed must be in compliance with [2 CFR §200.431](#).

Do not list details of collaborators at other institutions or consultants here, as they will be included in [F. Other Direct Costs](#).

### **C. Equipment Description**

Equipment costs must not exceed 20% of your request to NEH. Equipment is defined as nonexpendable personal property costing \$5,000 or more 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 charge depreciation in compliance with [2 CFR §200.436](#).

List each item of equipment to be purchased and its estimated cost, including shipping and maintenance. Justify each in your [budget justification](#).

You may purchase equipment if an analysis demonstrates that it is more economical and practical than leasing (equipment rental/user fees should be included in [F. Other Direct Costs](#)).

Per [2 CFR §200.322](#), as appropriate and to the extent consistent with law, applicants should, to the greatest extent practicable under a federal award, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States. The requirements of this section must be included in all subawards including all contracts and purchase orders for work or products under this award.

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

Total equipment costs will be automatically calculated.

### **D. Travel**

In light of the coronavirus pandemic and as a matter of programmatic policy, travel (both foreign and domestic) is disallowed in this program.

### **E. Participant/Trainee Support Costs**

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

Per [2 CFR §200.432](#), a conference is defined 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 is necessary and reasonable for successful performance under the federal award.

Justify participant support costs in your [budget justification](#). **Arrangements made on a non-refundable basis are at the risk of the recipient or participant if the services must be cancelled for any reason.**

Total participant support costs will be automatically calculated.

### **1. Tuition/Fees/Health Insurance**

Leave this field blank.

### **2. Stipends**

Enter the total funds requested for participant stipends.

### **3. Travel**

As a matter of programmatic policy, travel (both foreign and domestic) is disallowed in this program.

### **4. Subsistence**

As a matter of programmatic policy, travel-related subsistence (i.e., lodging and per diem) is disallowed in the program.

### **5. Other**

Describe other participant support costs (e.g., local ground transportation to venues, admission fees, bottled water, etc.) and enter the total funds requested for the costs described.

### **Number of Participants/Trainees**

Enter the total number of participants. The value of this field cannot exceed 999.

### **F. Other Direct Costs**

Total other direct costs will be automatically calculated.

#### **1. Materials and Supplies**

Enter the total funds requested for materials and supplies costing the lesser of the capitalization level established by the applicant or \$5,000, regardless of the length of its useful life. See [2 CFR §§200.314](#) and [.453](#).

In your [budget justification](#), indicate general categories, including an amount for each category (e.g., personal computers, digital cameras, archival supplies). Itemize categories totaling \$1,000 or more.

#### **2. Publication Costs**

Enter the total funds requested for publication costs. You may request funds for 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 total funds requested for consultant services. In your [budget justification](#), describe each consultant, the services he/she will perform, total number of days, travel costs, and the total estimated costs. If your project includes an external advisory committee, include associated costs here.

Consultant fees must be in compliance with [2 CFR §200.459](#).

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

Enter the total funds requested for ADP/computer services, including computer-based retrieval of scientific, technical, and education information. In your [budget justification](#), include the established computer service rates, if applicable. If such services are provided by a third-party, include them in [Subawards/Consortium/Contractual Costs](#). Personal computers and peripherals should be included in [Materials and Supplies](#).

#### **5. Subawards/Consortium/Contractual Costs**

Enter the total funds requested (both direct and indirect costs) for activities to be performed by third-party subrecipients. This includes subawards and other contractual costs. Itemize the costs associated with the subaward or contract in your [budget justification](#), using the same categories on the Research and Related Budget. Justify each subrecipient individually. See [2 CFR §§200.331](#) and [.332](#).

Per [2 CFR §§200.1](#) and [.331\(a\)](#), a subaward is an award provided by a pass-through entity to a subrecipient to carry out part of a federal award. Payments to contractors (as defined in [2 CFR §§200.1](#) and [331\(b\)](#)) or payments to individuals who are beneficiaries of federal programs are not considered subawards.

A pass-through entity may provide a subaward through any form of legal agreement, including an agreement that the pass-through entity considers a contract. In determining whether an agreement between a pass-through entity and another non-federal entity casts the latter as a subrecipient or a contractor, the substance of the relationship is more important than the form of the agreement. See [2 CFR §200.331\(c\)](#).

Per [2 CFR §25.300](#), recipients may only issue subawards with federal funds to organizations that have obtained and provided to the recipient a 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](#).

Contractual costs are occasionally sufficiently high enough to warrant a categorical breakdown of costs. When this is the case, provide detailed information in your [budget justification](#). NEH may request additional information in order to assess reasonableness and allowability.

If a subrecipient is claiming indirect costs, include their federally negotiated indirect cost rate agreement in [Attachment 4: Federally negotiated indirect cost rate agreement](#).

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

Enter the total funds requested for rental/user fees for equipment and facilities. Identify and justify each rental/user fee in your [budget justification](#).

You may charge depreciation in compliance with [2 CFR §200.436](#). If you will use equipment purchased with federal funds under another award, it may be appropriate to charge user fees consistent with [2 CFR §200.313\(c\)\(2\)](#). You may not charge both depreciation and user fees.

Per [2 CFR §200.432](#), allowable conference costs may include rental of facilities. Rental costs under “less-than-arm's-length” leases are allowable with the condition that they must be consistent with the limitations set forth in [2 CFR §200.465\(c\)](#).

Federally funded meetings and conferences must be held 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 a list of fire code compliant hotels.

## **7. Alterations and Renovations**

Leave this line blank. Per [2 CFR §200.462](#), costs incurred for ordinary and normal rearrangement and alteration of facilities are allowable as indirect costs.

## **8-10. Other**

List items not previously included in other budget categories or in the indirect cost pool. “Other” project-specific costs may include promotion, acquisition fees, rights, evaluation and assessment fees, and access accommodations (e.g., audio description, sign-language interpretation, closed or open captioning, large-print brochures/labeling). Itemize and justify costs in your [budget justification](#). “Miscellaneous” and “contingency” are not acceptable budget categories.

Per [2 CFR §200.432](#), allowable conference costs may include speakers’ fees, costs of meals and refreshments, and other items incidental to such conferences. Conference hosts must exercise discretion and judgment in ensuring that costs are appropriate, necessary, and managed in a manner that minimizes costs to the award. If incidental food items and/or meals are provided at no charge during meetings, conferences, training, or other events attended while on NEH-supported travel, the per diem charged to the award must be reduced accordingly. Per [2 CFR §200.423](#), alcoholic beverages are unallowable.

## **G. Total Direct Costs**

Total direct costs will be automatically calculated.

## **H. Indirect Costs**

Indirect costs are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Indirect costs include such expenses as the depreciation on buildings, equipment, and capital improvement; operations and maintenance expenses; accounting and legal services; and salaries of executive officers.

Indirect costs are computed by applying a federally negotiated indirect cost rate to a distribution base, usually the project’s modified total direct costs (MTDC).

Carefully review your institution’s negotiated indirect cost rate(s) to make sure you are using the most appropriate rate for your project. Many institutions of higher education negotiate multiple rates—for example, “research,” “instruction,” and “other sponsored activities.” With rare exceptions, your institution’s “research” rate will **not** be the appropriate rate for inclusion in your NEH project budget, as the use of this rate is reserved for projects involving scientific research, not scholarly inquiry of the type most often supported by NEH.

Except as provided in paragraph (c)(1) of [2 CFR §200.414](#), federal agencies must use the negotiated rate(s) in effect at the time of the initial award throughout the life of the federal award. Award levels will not be adjusted in future years as a result of changes in negotiated rates. Except as provided in [2 CFR §200.414](#), when an educational institution does not have a negotiated rate with the federal government at the time of an award (because the educational institution is a new recipient or the parties cannot reach agreement on a rate), the provisional rate used at the time of the award must be adjusted once a rate is negotiated and approved by the cognizant agency for indirect costs. If the recipient fails to negotiate an indirect cost rate applicable to the period of performance within the period of performance, indirect costs may be disallowed. NEH will restrict payment of indirect costs until a fixed, final, or predetermined indirect cost rate agreement is provided by the recipient.

An organization that wishes to include indirect costs in its budget but does not have a federally negotiated indirect cost rate may choose one of the following options:

- direct cost all expenses;
- submit an indirect cost proposal to their cognizant federal agency to negotiate a rate within three months of the effective date (period of performance start date) of the award (subrecipients may negotiate a rate with the recipient consistent with the requirements outlined in [2 CFR §200.414](#)); or
- charge a de minimis rate of 10% of MTDC (see [2 CFR §200.414\(f\)](#))

Per [2 CFR §200.1](#), MTDC are all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subaward). MTDC exclude equipment, capital expenditures, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of \$25,000.

If you choose one of these options, indicate this under Indirect Cost Type.

If applicable, include a copy of your federally negotiated indirect cost rate agreement as [Attachment 4: Federally negotiated indirect cost rate agreement](#).

**Indirect Cost Type**

Enter the type of indirect cost rate (e.g., other sponsored activities, all programs, instruction, 10% de minimis, etc.) and base (e.g., salaries, salaries & fringe, MTDC, etc.) and whether the activity and rate are onsite or off-site. If your budget includes more than one indirect cost rate or base, list them as separate entries. If you do not have a current indirect rate(s) approved by a federal agency but intend to (re)negotiate, indicate "None--will negotiate." If needed, provide additional detail in your [budget justification](#).

**Indirect Cost Rate (%)**

Enter the most recent indirect cost rate(s) established with your cognizant federal agency. Enter your 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 your indirect cost base.

**Funds Requested (\$)**

Enter the funds requested for each indirect cost type.

**Total Indirect Costs**

Total indirect costs will be automatically calculated.

**Cognizant Federal Agency**

Enter the name of your cognizant federal agency, if applicable.

**I. Total Direct and Indirect Costs**

Total costs will be automatically calculated.

**J. Fee**

Leave this field blank.

## K. Total Costs and Fee

This field will be automatically calculated. Since there is no fee, this will be the same amount as [I. Total Direct and Indirect Costs](#).

## L. Budget Justification

A budget justification is required. Save the document as a PDF named justification.pdf. Attach only one file. Do not use your budget justification to expand your narrative.

Provide the information requested to support your budget. If applicable, the following categories must be justified: [equipment](#), [participant/trainee support](#), and [other direct costs](#).

Your budget justification must specifically describe how costs have been calculated and how each item will support the proposed objectives. If you have a quote(s), include it here. If your project includes subawards, detail and quantify all subaward costs.

Explain any exclusions applied to your indirect costs base calculation.

The total federal matching funds and cost share should be equal to the amounts indicated on the [Supplementary Cover Sheet for NEH Grant Programs](#) in the “Federal Matching” and “Cost Sharing” fields.

## Application Components

Your application consists of a series of forms included in Grants.gov Workspace and other components which you will prepare and upload to the [Attachments Form](#).

Applications missing any required documents or conditionally required documents will be considered incomplete and will be rejected from further consideration.

Applications that exceed page limits or violate format instructions will be considered nonresponsive and will be rejected from further consideration.

<b>Grants.gov form/Attachment</b>	<b>Naming convention</b>	<b>Page limits</b>	<b>Notes</b>
<a href="#">SF-424 Application for Federal Assistance - Short Organizational</a>	Grants.gov form		Required
<a href="#">Supplementary Cover Sheet for NEH Grant Programs</a>	Grants.gov form		Required
<a href="#">Project/Performance Site(s) Location Form</a>	Grants.gov form		Required
<a href="#">Research and Related Budget</a>	Grants.gov form		Required
<a href="#">Attachments Form</a>	Grants.gov form		Required
<a href="#">Certification Regarding Lobbying</a>	Grants.gov form		Conditionally required
<a href="#">Standard Form-LLL “Disclosure of Lobbying Activities”</a>	Grants.gov form		Conditionally required
<a href="#">Attachment 1: Narrative</a>	narrative.pdf	3 pages for Levels I and II; 5 pages for Level III	Required

<a href="#">Attachment 2: Work plan</a>	workplan.pdf	1 page per subordinate unit	Required
<a href="#">Attachment 3: Biographies</a>	biographies.pdf	1 paragraph per person	Required
<a href="#">Attachment 4: Federally negotiated indirect cost rate</a>	agreement.pdf		Conditionally required
<a href="#">Attachment 5: Explanation of delinquent federal debt</a>	delinquentdebt.pdf		Conditionally required

## SF-424 Application for Federal Assistance – Short Organizational

This form includes basic information about the project, the project director, and the institution. Items **1**, **2**, and **4** will be automatically filled in; item **3** should be left blank.

### 5. Applicant Information

Provide your organization's legal name, address, employer/taxpayer identification number (EIN/TIN), D-U-N-S® number, website address, and [congressional district](#). For example, if your institution is located in the 5th congressional district of your state, put a "5." If your institution does not have a congressional district (for example, it is in a state or U.S. territory that does not have districts, or is in a foreign country), put a "0" (zero).

Select the applicant type that best describes your organization from the drop-down menu.

Institutions applying to federal programs are required to include a unique entity identifier, currently a D-U-N-S® number. If you do not know your identifier, contact your grants administrator or chief financial officer.

### 6. Project Information

a. Provide the title of your project. It should be brief (no more than 125 characters, including spaces). Successful applications typically have titles that are descriptive of the project and easily understood by the general public. NEH reserves the right to retitle funded projects for clarity when announcing its funding decisions and in its own reports and communications, but recipients are permitted to use their preferred title for any award products.

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

c. List the start and end dates for your project. 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 information regarding allowable periods of performance.

### 7. Project Director

Provide the project's 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 and is critical to its success. You must notify the NEH Office of Grant Management immediately if the project director named in the application changes.

### 8. Primary Contact/Grants 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 named in item 7 may **not** be the same individual named as the primary contact/grants administrator named in item 8. The role of the project director must be distinguished from that of the institutional grants administrator, who functions as the representative of the recipient organization with authority to act on the organization's behalf in matters related to the administration of the award. Financial reports and prior approval requests such as budget revisions, extensions of the period of performance, and changes in key personnel must be signed or countersigned by the institutional grants administrator. Similarly, official correspondence from NEH to a recipient (for example, an offer letter, award documents, an extension, a supplement, or amendment) is addressed to the institutional grants administrator and copied to 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 president, vice president, executive director, provost, or chancellor. To become an AOR, the person must be designated by the institution's E-Business Point of Contact. Consult 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 the appropriate institution type from the drop-down menu.

### **3. Project Funding**

Enter the amount requested in outright funds.

### **4. Application Information**

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

For type of application, check "new."

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

### **Project/Performance Site Location(s) Form**

Provide the primary location and any other locations where the project activity will occur during the period of performance. You may include multiple performance sites. If you need to add more locations than the form allows, enter the information in a separate file and add it to the "Additional Locations" section. Position your cursor over each field to view instructions.

### **Certification Regarding Lobbying (conditionally required)**

If you are requesting an award greater than \$100,000, you must submit the Certification Regarding Lobbying. Once selected, this form will autofill based upon information provided on the [SF-424 Application for Federal Assistance - Short Organizational](#).

## **Standard Form-LLL, “Disclosure of Lobbying Activities” (conditionally required)**

If non-federal funds have been or will be used for lobbying, you must submit Standard Form-LLL, “Disclosure of Lobbying Activities.” See [2 CFR §200.450](#).

### **Attachments Form**

This form can accommodate up to fifteen attachments. Consult the [Application Components Table](#) to name and sequence your attachments in the proper order so that NEH can easily identify them.

Attachments must be in Portable Document Format (.pdf). Reformat all non-PDF files (i.e., Word, Excel, images, etc.) as PDFs. If an attachment contains multiple documents, merge them into a single file. Do not attach portfolios containing multiple PDFs. NEH cannot accept security-enhanced PDFs (e.g., password-protection, encryption, digital signatures, etc.). Flatten these files before uploading to Grants.gov.

Visit the [Grants.gov Adobe Software Compatibility page](#) to verify the compatibility of your current software or to download the appropriate version. If you have a problem installing Adobe Reader, contact your system administrator.

Limit file names to 50 or fewer characters. Do not attach any documents with the same name. Each attachment should have a unique name. Use only the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. If you do not follow these naming conventions, your application may be rejected.

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

### **Attachment 1: Narrative (required)**

Refer to the prior instructions on preparing your [narrative](#). Name the file narrative.pdf.

### **Attachment 2: Work plan**

Describe the activities that will take place during the period of performance to achieve each of the proposed objectives. Use a timeline that includes each activity and identifies responsible staff. Explain how outcomes from one activity will carry over into the next. For each activity, specify the project team members involved. Include the start date for any new positions that would be funded under this award.

Your work plan should reflect major activities described in your narrative and the project dates identified on the [SF-424 Application for Federal Assistance - Short Organizational](#) and the [Research and Related Budget](#).

Your work plan must not exceed a single page, unless your proposal includes subordinate units, in which case you may use one page per unit. For example, a university applying on behalf of its library, academic press, and philosophy department may submit a three-page work plan.

Name the file workplan.pdf. Your work plan is considered under [review criteria 1 and 2](#).

### **Attachment 3: Biographies**

Provide a one paragraph biography for the project director and other key personnel. Explain each individual's qualifications to fulfill their responsibilities on the project. Applicants must not submit CVs or resumes. If a position is new or currently vacant, provide a brief job description in place of a biographical statement.

Name the file biographies.pdf. Your biographies are considered under [review criterion 3](#).

### **Attachment 4: 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, submit a copy of the agreement. If a subrecipient is claiming indirect costs and has a current federally negotiated indirect cost rate agreement, submit a copy of the agreement. If you are requesting the de minimis rate, this attachment is not required.

Name the file agreement.pdf.

### **Attachment 5: Explanation of delinquent federal debt (conditionally required)**

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

Name the file delinquentdebt.pdf.

## **3. Unique Entity Identifier and System for Award Management**

Before submitting an application, your organization must have a current and active [D-U-N-S® number](#), [System for Award Management \(SAM\)](#) registration, and [Grants.gov](#) registration. [Learn more about this multistep process](#).

Check your registrations well in advance of the deadline to ensure that they are accurate, current, and active. If your D-U-N-S® number and SAM registration are not active and current at the time of Grants.gov submission, your application will be rejected.

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

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.

### **D-U-N-S®**

Your organization must obtain a [Dun and Bradstreet Data Universal Numbering System \(D-U-N-S®\) number](#). D-U-N-S® numbers are unique nine-digit numbers assigned to all types of business organizations, including nonprofits and government entities. A D-U-N-S® number will be required to register with the System for Award Management until April 2022.

## **System for Award Management (SAM)**

Your organization must register with the [System for Award Management \(SAM\)](#) and continue to maintain active SAM registration with current information at all times during which you have an active federal award or an application or plan under consideration by an agency (unless the applicant is an individual or federal agency that is exempted from those requirements under [2 CFR §25.110\(b\)](#) or [\(c\)](#), or has an exception approved by the agency under [2 CFR §25.110\(d\)](#)).

If you have not already done so, you will be required to create a [Login.gov](#) user account. When registering or renewing in SAM, you will be required to review and agree to the Financial Assistance Representations and Certifications, a common set of certifications and representations required by federal statutes or regulations in accordance with Title 2 of the Code of Federal Regulations.

## **Grants.gov**

Your organization must register with [Grants.gov](#) before submitting an application. 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 with Grants.gov and create an Organizational Applicant Profile, a request will be sent to your E-Business Point of Contact to assign the appropriate Grants.gov roles to individuals within your organization. This includes the authorized organization representative (AOR) who will give 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 authorized organization representative (AOR) is current.

Grants.gov maintains [a library of instructional videos](#) which may be helpful resources as you prepare your application.

## **4. Submission Dates and Times**

The deadline for applications under this notice is May 14, 2021, at 11:59 p.m. Eastern Time.

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

It is your responsibility to confirm that Grants.gov and subsequently NEH have received your application. [Check your application status](#).

When NEH receives your application from Grants.gov, the agency will assign it a tracking number beginning with ZDH-, ZED-, ZPA-, ZPP-, or ZRE-. A tracking number does not guarantee that the application is free of technical problems (such as missing attachments or failure to convert attachments to PDFs). If a technical problem is detected, NEH will notify you via email. It is your responsibility to correct any errors prior to the deadline.

Once you have applied, NEH will not comment on the status of your application except on issues of eligibility, completeness, and responsiveness.

## **5. Intergovernmental Review**

This funding opportunity is not subject to intergovernmental review under [Executive Order 12372](#).

## 6. Funding Restrictions

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

- overlapping project costs with any other pending or approved application(s) for federal funding and/or approved federal awards
- competitive regranting
- cancellation costs
- pre-award costs incurred before March 15, 2021
- equipment costs in excess of 20% of total project costs
- travel (both foreign and domestic)
- construction, purchase of real property, major alteration and renovation
- collections acquisition
- the preservation, organization, or description of materials that are not regularly accessible for research, education, or public programming
- 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 and the humanistic social sciences (including the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; and quantitative social science research or policy studies)

See also the unallowable costs included in [2 CFR 200 Subpart E - Cost Principles](#).

## E. Application Review Information

### 1. Review Criteria

Peer reviewers will use the following criteria to review applications in this program:

1. The degree to which the applicant advances the humanities; the importance of the proposed humanities activities to the applicant's mission, to the cultural and educational sectors, and/or to the general public; and the feasibility of successfully completing the proposed activities within the period of performance (corresponds to narrative sections "[Humanities mission and record of contribution](#)" and "[Proposed activities and audience](#)," and [Attachment 2: Work plan](#)).
2. The extent to which the applicant has clearly articulated the impact of the coronavirus pandemic on the organization and provided relevant evidence to support its claims; the appropriateness of the proposed activities in addressing the need(s) identified (corresponds with narrative sections "[Project justification](#)" and "[Proposed activities and audience](#)" and [Attachment 2: Work plan](#)).
3. The degree to which the project will support the creation of new humanities programs or sustain/maintain existing programs threatened by the coronavirus pandemic; the degree to which the proposed project will retain humanities jobs threatened by the coronavirus pandemic or create new jobs; the qualifications of the relevant personnel for the proposed activities (corresponds to narrative sections "[Jobs and personnel](#)" and [Attachment 3: Biographies](#)).
4. The reasonableness of the proposed budget in relation to the proposed activities, the applicant's capacity to properly administer federal relief funds in the current

environment, and the long-term viability of the organization (corresponds to narrative sections “[Institutional capacity](#)” and the [budget and budget justification](#)).

## **2. Review and Selection Process**

NEH staff review all applications for eligibility, completeness, and responsiveness, and then uses a peer review process to evaluate all eligible and complete applications. Peer reviewers are experts in the field with relevant knowledge and expertise in the types of project activities identified in the applications. NEH instructs reviewers to evaluate applications according to the [review criteria](#) in this Notice of Funding Opportunity. Peer reviewers must comply with federal ethics and conflicts of interest requirements.

NEH staff comment on matters of fact or on significant issues that otherwise would be missing from peer reviews, then makes recommendations to the [National Council on the Humanities](#). The National Council meets at least twice annually to advise the NEH Chairman. The Chairman considers the advice provided by the review process and, by law, makes all funding decisions. [Learn more about the NEH review process.](#)

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

Applications that have received a favorable review are subsequently reviewed for other considerations, including past performance, as applicable; cost analysis of the project budget; assessment of management systems; continued applicant eligibility; and compliance with any public policy requirements.

You may be asked to submit additional programmatic or administrative information (such as an updated budget or supporting documentation) or to undertake certain activities (such as negotiation of an indirect cost rate) in anticipation of an award. However, such requests do not guarantee that an award will be made.

After reviewing applicable information, NEH’s approving and grant management officials will determine whether an award can be made, if special conditions are required, and what level of funding is appropriate. NEH may elect not to fund applicants with management or financial instability that affects their ability to implement the terms and conditions of the award ([2 CFR §200.206](#)).

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

## **4. Anticipated Announcement and Award Dates**

NEH will notify applicants of funding decisions by email in September 2021. This notification is not an authorization to begin performance or incur related costs. You may request evaluations of your proposal by contacting [ARPOrganizations@neh.gov](mailto:ARPOrganizations@neh.gov).

## **F. Federal Award Administration Information**

### **1. Federal Award Notices**

Institutional grants administrators and project directors of successful applications will begin to receive award documents from the NEH Office of Grant Management via eGMS Reach in September 2021.

## **2. Administrative and National Policy Requirements**

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

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

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.

- 1) The prospective recipient certifies, by submission of this application, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- 2) Failure to make required disclosures can result in any of the remedies described in [2 CFR §200.339](#), including suspension or debarment. See also 2 CFR parts [180](#) and [3369](#).
- 3) If the prospective recipient is unable to attest to the statements in this certification, an explanation must be included in [Attachment 5: Explanation of delinquent federal debt](#).

### **Providing access to NEH-funded products**

As a taxpayer-supported federal agency, NEH endeavors to make the products of its awards available to the broadest possible audience. Our goal is for scholars, educators, students, and the American public to have ready and easy access to the wide range of NEH award products. All other considerations being equal, NEH gives preference to those that provide free access to the public.

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. Consult [Design for Accessibility: A Cultural Administrator's Handbook](#).

### **Copyright information**

Recipients may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under an award. In accordance with [2 CFR §200.315\(b\)](#), NEH reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for federal purposes, and to authorize others to do so. NEH has typically exercised this right in consultation with recipients to publish an excerpt from resulting grant product(s) in [Humanities](#) magazine or on the NEH website.

### **Acknowledging NEH support**

All materials publicizing or products resulting from NEH-funded activities must contain an acknowledgment of NEH and the American Rescue Plan Act of 2021. Consult [Acknowledgment and Publicity Requirements for NEH Awards](#) and [Publicizing Your Project](#) for guidance.

### **Program income policy**

All program income generated as a result of awarded funds must be used for approved project-related activities. The program income alternative applied to the award(s) under the program will be addition. Post-award requirements for program income can be found at [2 CFR §200.307](#).

## **Eliminate waste, fraud, and abuse**

Help NEH eliminate fraud and improve management by providing information about allegations or suspicions of waste, fraud, abuse, mismanagement, research misconduct (fabrication, falsification, plagiarism), or unnecessary government expenditures, during the period of award performance, to the [NEH Office of the Inspector General](#).

## **Termination**

NEH reserves the right to terminate awards consistent with [2 CFR §200.340](#).

## **3. Reporting**

Recipients must comply with the following reporting requirements. Reports must be completed online in eGMS Reach, the NEH online grant management system, unless otherwise instructed. Further information will be provided in the Notice of Action.

- 1.) **Final Reports.** Recipients 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 program specific goals and progress on strategies; impact of the overall project; the degree to which the recipient achieved the mission, goals, and strategies outlined in the approved application; recipient objectives and accomplishments; jobs created and retained; barriers encountered; and responses to summary questions regarding the recipient's 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 [ARPOrganizations@neh.gov](mailto:ARPOrganizations@neh.gov).

If you have questions about administrative requirements or allowable costs, contact [grantmanagement@neh.gov](mailto:grantmanagement@neh.gov)

Applicants who are deaf or hard of hearing can contact NEH via Federal Relay at 800-877-8399.

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, 24 hours a day, 7 days a week, excluding federal holidays. at:

### [Grants.gov Applicant Support](#)

Telephone: 1-800-518-4726

International Calls: 606-545-5035

Email: [support@grants.gov](mailto:support@grants.gov)

Always obtain a case number when calling for support.

## H. Other Information

### Related funding opportunities

We encourage you to consider [other funding opportunities offered by NEH](#) and the [guidance to current NEH recipients impacted by COVID-19](#).

Eligible entities should also contact their state humanities councils. NEH supports [56 state and jurisdictional humanities councils](#) across the country, all of which also make awards for local humanities projects.

We encourage you to consider other funding opportunities available for cultural organizations and institutions of higher education to address this crisis, including those from the [Small Business Administration](#), the [Institute of Museum and Library Services](#), the [National Endowment for the Arts](#), and the [National Science Foundation](#).

### 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 fifteen hours to complete this application. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed, and completing and reviewing the application.

You may send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the completion time, to the Chief Funding Opportunity Officer at [grantmanagement@neh.gov](mailto:grantmanagement@neh.gov). According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number. The OMB Control Number for this Notice of Funding Opportunity is 3136-0134, expiration date June 30, 2021.

## RFID in Libraries: Privacy and Confidentiality Guidelines

Radio Frequency Identification (RFID) technology collects, uses, stores, and broadcasts data. Components of RFID systems include tags, tag readers, computer hardware (such as servers and security gates), and RFID-specific software (such as RFID system-administration programs, inventory software, etc.).

RFID technology can enable efficient and ergonomic inventory, security, and circulation operations in libraries. Like other technologies that enable self-checkout of library materials, RFID can enhance individual privacy by allowing users to check out materials without relying on library staff.

Because RFID tags may be read by unauthorized individuals using tag readers, there is the possibility that the improper implementation of RFID technology will compromise users' privacy in the library. Researchers have identified serious general concerns about the privacy implications of RFID use and particular privacy concerns about RFID use in libraries.<sup>1</sup> Libraries implementing RFID should use and configure the technology to maintain the privacy of library users.

### Basic Privacy and Confidentiality Principles

Protecting user privacy and confidentiality has long been an integral part of the intellectual freedom mission of libraries (<http://www.ala.org/advocacy/privacy/toolkit>). The right to free inquiry as assured by the First Amendment (<http://www.ala.org/advocacy/intfreedom/censorship>) depends upon the ability to read and access information free from scrutiny by the government or other third parties. Librarians have a professional and ethical obligation to preserve a user's right to privacy and confidentiality, and to prevent any unauthorized use of personally identifiable information. This obligation is stated in the *Library Bill of Rights* (<http://www.ala.org/advocacy/intfreedom/librarybill>), Article VII, and the *Code of Ethics of the American Library Association* (<http://www.ala.org/tools/ethics>), Article III. As always, librarians should follow these principles when adopting any new technology.

### Policy Guidelines

When selecting and implementing RFID technology, librarians should:

- Use the RFID selection and procurement process as an opportunity to educate library users about RFID technology and its current and future use in the library and society as a whole. A transparent selection process allows a library to publicize its reasons for wanting to implement an RFID system while listening to its users and giving them a larger voice in the public debate over RFID technology.
- Consider selecting an "opt-in" system that allows library users who wish to use or carry an RFID-enabled borrower card to do so while allowing others to choose an alternative method to borrow materials. Because some members who share integrated library systems may not wish to implement RFID systems, this option also may be necessary for library consortia.
- Review and update appropriate privacy policies and procedures to continue protecting users' privacy, in accordance with Article VII of the *Library Bill of Rights* and Article III of the *Code of Ethics of the American Library Association*.
- Ensure that institutional privacy policies and practices addressing notice, access, use, disclosure, retention, enforcement, security, and disposal of records are reflected in the configuration of the RFID system. As with any new application of technology, librarians should ensure that RFID policies

and procedures explain and clarify how RFID affects users' privacy. The ALA "Privacy Tool Kit (<http://www.ala.org/advocacy/privacy/toolkit>)" can assist libraries in drafting appropriate privacy policies. Also, there are specific guidelines available for drafting privacy policies, including the "Library Privacy Guidelines for Library Management Systems (<http://www.ala.org/advocacy/privacy/guidelines/library-management-systems>)," "Library Privacy Guidelines for Library Websites, OPACs, and Discovery Services (<http://www.ala.org/advocacy/privacy/guidelines/OPAC>)," and "Library Privacy Guidelines for Data Exchange Between Networked Devices and Services (<http://www.ala.org/advocacy/privacy/guidelines/dataexchange>)."

- Delete personally identifiable information (PII) collected by RFID systems, just as libraries take reasonable steps to remove PII from aggregated, summary data.
- Notify the public about the library's use of RFID technology. Disclose any changes in the library's privacy policies that result from the adoption of an RFID system. Notices can be posted inside the library and in the library's print and online publications.
- Assure that all library staff continue to receive training on privacy issues, especially regarding those issues that arise due to the implementation and use of RFID technology.
- Be prepared to answer users' questions about the impact of RFID technology on their privacy. Either staff at all levels should be trained to address users' concerns, or one person should be designated to address them.

## Best Practices

As with any new application of technology, librarians should strive to develop best practices to protect user privacy and confidentiality. With respect to RFID technology, librarians should do the following:

- Continue their longstanding commitment to securing bibliographic and user databases from unauthorized access and use.
- Use the most secure connection possible for all communications with the Integrated Library System (ILS) to prevent unauthorized monitoring and access to personally identifiable information. For example, SIP over HTTPS ensures the data between self-check or automated materials-handling systems and the ILS is encrypted.
- Protect the data on RFID tags by the most secure means available, including encryption (<http://www.ala.org/advocacy/privacy/encryption>) or context-aware defenses ([https://www.researchgate.net/publication/254032958\\_Sensing-enabled\\_defenses\\_to\\_RFID\\_unauthorized\\_reading\\_and\\_relay\\_attacks\\_without\\_changing\\_the\\_usage\\_model](https://www.researchgate.net/publication/254032958_Sensing-enabled_defenses_to_RFID_unauthorized_reading_and_relay_attacks_without_changing_the_usage_model)) to prevent RFID eavesdropping.
- Limit the bibliographic information stored on a tag to a unique identifier for the item (e.g., barcode number, record number, etc.). Use the security bit on the tag if it is applicable to your implementation.
- Block the public from searching the catalog by whatever unique identifier is used on RFID tags to avoid linking a specific item to information about its content.

- Train staff not to release information about an item's unique identifier in response to blind or casual inquiries.
- Store no personally identifiable information on any RFID tag. Limit the information stored on RFID-enabled borrower cards to a unique identifier.
- Label all RFID tag readers clearly so users know they are in use.
- Keep informed about changes in RFID technology and review policies and procedures in light of new information.
- Enable user barcode and PIN authentication for all self-service systems to prevent basic data breaches.

## Talking to Vendors about RFID

When dealing with vendors, librarians should do the following:

- Assure that vendor agreements guarantee library control of all data and records and stipulate how the system will secure all information.
- Investigate closely vendors' assurances of library users' privacy.
- Evaluate vendor agreements in relationship with all library privacy policies and local, state, and federal laws.
- Influence the development of RFID technology by issuing Requests for Proposals requiring the use of security technology that preserves privacy and prevents monitoring.

The Request for Information developed by the San Francisco Public Library provides a helpful list of sample questions (Appendix B (<http://www.ala.org/advocacy/sites/ala.org.advocacy/files/content/intfreedom/statementspols/otherpolicies/rfidguidelinesappendixb.pdf>); PDF) to ask when talking to vendors about privacy and their RFID products and is linked in the web version of this document.

## NOTES

<sup>1</sup> Stuart Ferguson, Clare Thornley, and Forbes Gibb, "How Do Libraries Manage the Ethical and Privacy Issues of RFID Implementation? A Qualitative Investigation into the Decision-Making Processes of Ten Libraries," *Journal of Librarianship and Information Science* 47, no. 2 (2015): 117-130. doi:10.1177/0961000613518572.

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