



NATIONAL ENDOWMENT FOR THE
Humanities

DIVISION OF RESEARCH PROGRAMS

**FELLOWSHIP PROGRAMS
AT INDEPENDENT
RESEARCH INSTITUTIONS**

Deadline: August 16, 2012 (for projects beginning January 2014). Applicants will be notified of the decision in March 2013.

Catalog of Federal Domestic Assistance (CFDA) Number: 45.161

Items referred to in this document needed to complete your application:

- FPIRI one-year budget form for existing fellowship program
- FPIRI three-year budget request form
- Grants.gov application package and instructions

Also see the **application checklist** at the end of this document.

Questions?

Contact the staff of NEH's Division of Research Programs at 202-606-8200 and fpiri@neh.gov. Hearing-impaired applicants can contact NEH via TDD at 1-866-372-2930.

Submission via Grants.gov

All applications to this program must be submitted via Grants.gov. We strongly recommend that you complete or verify your registration at least two weeks before the application deadline, as it takes time for your registration to be processed.

I. Program Description

Grants for Fellowship Programs at Independent Research Institutions (FPIRI) support fellowships at institutions devoted to advanced study and research in the humanities. NEH fellowships provide scholars with research time and access to resources that might not be available at their home institutions.

Fellowship programs may be administered by independent centers for advanced study, libraries, and museums in the United States; American overseas research centers; and American organizations that have expertise in promoting research on foreign cultures. Individual scholars must apply directly to the institutions themselves. [A list of currently funded institutions is available.](#)

In evaluating applications from programs at institutions located in the United States, priority is given to those with library holdings, archives, or other special collections—either on site or nearby—that are available as resources for NEH fellows. American overseas research centers should demonstrate a particular benefit to NEH fellows by virtue of their location and other resources. American organizations should demonstrate the special assistance that they offer NEH fellows in carrying out their research abroad.

FPIRI grants provide funding to programs for humanities fellowships of four to twelve months. Fellowship tenure must be fulltime and continuous.

FPIRI grants support fellowship stipends and a portion of the costs of selecting the fellows. Indirect costs are not allowed in this program.

Institutions are expected to pay FPIRI fellows stipends at a rate of \$4,200 a month. A grantee institution may supplement the stipends of NEH fellows from its own funds, and fellows may receive additional funds from other sources. NEH fellows must be granted the benefits, services, and accommodations that are normally accorded other fellows. In their fellowship announcements and award letters institutions must clearly state the stipend amount that is drawn from NEH funds.

Grantee institutions must ensure the fair and informed selection of recipients of NEH fellowships by relying on the recommendations of an external committee composed of qualified scholars drawn from outside the institution's staff and governing bodies. The committee should meet in person, and all members should be replaced each year. NEH recommends a committee of five; three is the minimum.

It is the responsibility of grantee institutions to avoid real or perceived conflicts of interest in the composition of the selection committee and its deliberations. Staff, officers, board members, and trustees of the institution may not serve as voting members on committees that review applications for NEH awards. The same restrictions apply to staff, officers, and trustees of parent organizations. Persons holding individual memberships at an institution should not constitute a majority on that institution's selection committee.

NEH funds may be awarded only to applicants recommended by the external committees.

Note: Applicants are encouraged to consult with the [Office of Challenge Grants](#) about building endowment support to ensure the long-term funding of their fellowship programs. Please contact challenge@neh.gov or 202-606-8309. The Challenge Grants guidelines are available [here](#).

Grantee institutions are subject to a number of specific conditions governing the administration of a FPIRI grant. (See Section VI, Award Administration Information.)

II. Award Information

Awards are made to support fellowships, generally for three years. Recent grants have ranged from \$109,350 to \$473,400.

Applicants should propose a grant period that begins on January 1, 2014, and ends on June 30, 2017.

Successful applicants will be awarded a grant in outright funds, matching funds, or a combination of the two, depending on the request of the applicant and the availability of funds.

(Learn more about different [types of grant funding](#).)

NEH may offer funding at a level different from that requested. In some instances, NEH may offer matching funds only, or it may offer a combination of matching and outright funds in response to a request for outright funds.

Cost sharing includes cash contributions to a project by the applicant and third parties, as well as in-kind contributions, such as donated goods and services. Cost sharing also includes nonfederal gift money raised to release federal matching funds. Cost sharing is not required in this program, unless federal matching funds are awarded.

III. Eligibility

To apply for a FPIRI grant, an organization must

- be a U.S. nonprofit institution with IRS 501(c)(3) tax-exempt status, a state or local governmental agency, or a federally recognized Indian tribal government;

- be financed, governed, and administered independently of institutions of higher education; and
- have established and maintained a fellowship program with its own or other funding.

Individuals are not eligible to apply.

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

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

IV. Application and Submission Information

Applications must be submitted by the August 16, 2012 deadline.

HOW TO PREPARE YOUR APPLICATION

Application advice and proposal drafts

Applicants may submit drafts of their proposals by e-mail to fpiri@neh.gov. Drafts should be submitted at least six weeks before the deadline. A response cannot be guaranteed if the draft arrives later. The preliminary proposal gives an applicant the opportunity to receive staff comments about the substance and format of the application. Staff comments 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. Once NEH has received a formal application, its staff will not comment on its status except with respect to questions of completeness or eligibility.

You are encouraged to review the list of questions evaluators are asked to consider when judging the quality of your application. (See Section V, Application Review.)

All applications must be downloaded, completed, and submitted via Grants.gov.

Your application should consist of the following five parts:

1. Table of contents

List all parts of the application with corresponding page numbers.

2. Narrative

Limit the narrative to twenty-five double-spaced pages with one-inch margins, using at least eleven-point type.

Information requested in this section may already exist in annual reports, auditors' reports, and brochures. Where appropriate, refer to URLs that publish this information online. Institutions may refer to such material when preparing a detailed description that includes the following sections in this order:

A. The institution and its programs

Provide an overview of the institution, describing

- the intellectual significance of the work that the institution supports, including its value to scholars and general audiences in the humanities;
- the institution's purpose, philosophy, history, governance, and sources of funding;
- the administrative structure, size of the staff, and location;
- the size and scope of library holdings, archives, or special collections available on site or nearby;
- the resources and facilities available for study, research, and discussion (for example, offices, computer equipment, carrels, and common rooms);
- the services available to NEH fellows (for example, secretarial, research, or technical assistance; photocopying; and meals); and
- the housing offered fellows, or the efforts to assist them in finding it.

B. The fellowship program

Provide an overview of the fellowship program, describing

- the mission of the fellowship program and the role of NEH-supported fellowships within the existing structure;
- the history of the program, recent developments, and future goals;
- special fields of interest and any particular mix of scholars that the institution attempts to achieve;
- the activities of fellows; and
- the ways in which the institution nurtures collegiality among scholars and interaction with the local scholarly community, including programs such as seminars, colloquia, lunch meetings, and other means of fostering intellectual interaction.

C. Publicity procedures

Identify target audiences. Explain how the institution will publicize fellowships to qualified applicants, especially through websites, listservs, or other online means. Describe the publicity methods that the institution will use to attract a diverse group of scholars with related interests. Assess the effectiveness of past publicity efforts.

D. **Selection procedures**

New applicants: Describe the sequence of events during the current selection process and, if applicable, the changes that would be made to meet the conditions of an NEH-supported program. (See Section VI, Award Administration Information.)

Returning applicants: Describe the schedule and process for selecting fellows and any changes made to improve its quality and effectiveness.

All applicants: Describe how the institution's process ensures the selection of the best possible candidates and projects (see the pertinent section of the [Responsibilities of Institutions](#) [PDF] memorandum).

- List the criteria for selecting fellows.
- Explain how the diversity, impartiality, and expertise of the selection committee are achieved. Describe the process for choosing members of the committee and its composition, with respect to discipline, experience, geographical diversity, institutional characteristics, and other factors.
- List the criteria for selecting members and state the size of the committee. If members serve for more than one year, explain the rationale for an extended tenure.
- List the conflict-of-interest rules by which deliberations are governed.
- If awards are made by more than one program or committee, describe the selection procedures used by each and explain how funds are allocated among programs or committees.

E. **Program evaluation**

Describe the kinds of reports that the institution requests from fellows and the most recent assessment of the value of the institution's programs to these scholars. If the program assesses itself in other ways, please describe those as well.

F. **Institution staff and fellowship program administration**

Identify the fellowship program's permanent professional staff. Explain how responsibility for the program is divided among staff members and the extent to which they are directly involved in its administration.

G. **Program funding**

New applicants: Briefly lay out the size, tenure periods, and funding structure of your current fellowship program(s). Explain how the addition of NEH-supported fellows would affect the current structure.

All applicants: List the number of prospective fellows, their tenure, and the corresponding NEH stipend amounts (calculated at \$4,200 per month). If applicable, list the amount of additional funds from other sources that are used to augment the stipends. If portions of the stipend will be deducted to pay for fellows' housing, meals, or travel, indicate and justify these amounts.

Note that expenses (other than those noted in the previous sentence) and indirect costs may not be deducted from fellows' stipends.

Provide an overview of the budget from the most recent fiscal year for the complete fellowship program as it currently exists, including funds budgeted from the institution's own resources and from other sources. Use the one-year budget form for existing fellowship programs to divide the budget into categories of expenses similar to those in the NEH sample one-year budget for existing fellowship programs. (Links to the sample one-year budget and the one-year budget form for existing fellowship programs are available on the [program resource page](#).)

Note that this budget includes items that would not be supported by FPIRI grants. FPIRI grants support only fellowship stipends and a portion of the costs of selecting the fellows. Clearly distinguish long-term from short-term research awards and predoctoral from postdoctoral awards. If other funds will be used to augment NEH-supported fellowships, describe, if applicable, any restrictions that they carry.

If the institution received an NEH Challenge Grant to endow fellowships, explain how the annual income from the endowment generated by the Challenge Grant is currently used.

H. **Future of the institution's fellowship program**

Describe any proposed changes in the institution's mission and intellectual vision, scope, administrative structure, funding, or mix of fellows. Discuss how these changes will affect the work of scholars supported through the institution's programs. Explain any changes in the number of fellows (NEH-supported and other) or stipend levels needed to achieve the institution's purposes.

3. **Proposed grant budget**

Use the three-year budget request form to provide a three-year budget for the fellowship program for which funds are requested from NEH; the budget should include additional funding (if any) for fellows' stipends that is drawn from non-NEH sources. A sample three-year budget request is available for guidance. (Links to the sample three-year budget request and the three-year budget request form are available on the [program resource page](#).) Note that the budget subcategories used in the sample budget are meant to be illustrative; applicants should substitute or add other subcategories, as appropriate.

Payments to grantees: NEH funding for fellows' stipends is calculated at a rate of \$4,200 per month of tenure (four to twelve months). Identify any additional payments to fellows—drawn from non-NEH sources—that would supplement the NEH stipends. If applicable, indicate any costs for housing, regular meals, or prepaid travel that will be deducted from the stipend amount.

Selection: Applicants may request up to \$9,000 per year to defray costs associated with selecting NEH fellows. Supported selection costs are limited to the travel expenses, per diem expenses (covering lodging and meals), and honoraria of selection

committee members. Indicate the number of selection committee members and itemize these costs, as applicable.

Indirect costs are not allowed in this program.

Grant period

The grant period begins on January 1, 2014 (the first year in which fellowships are awarded), and ends on June 30, 2017 (the end of the final academic year in which fellowships are awarded). Allowable pre-award costs for the selection of fellows may be included in the budget, as long as they are incurred no more than ninety days before the January 1 start of the grant. Pre-award expenditures are made at the recipient's risk and the 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 grant period.

4. Appendices

- **Résumés:** Brief résumés (two-page maximum) of the director of the institution and the principal staff involved in the program listed under section F of the narrative.
- **Reviewers:** Lists of members of the selection committee and, if applicable, the slate of outside reviewers who chose the fellows or other grantees for the current year and the two preceding years, annotated as to discipline, institutional affiliation, and academic rank.
- **Fellows:** Lists of all fellows for the current year (fiscal or academic) and for the two preceding years, including their fields, home institutions, and two- to three-paragraph descriptions of the projects of the long-term fellows. This list should distinguish long-term fellows (that is, those supported for four or more months) from short-term fellows (that is, those supported for fewer than four months). Applicants for renewal grants should list the NEH fellows separately.
- **Publications:** Lists of publications of previous fellows. Where applicable, list the publications of NEH fellows separately. Provide full citations for all publications.
- **Announcements:** Lists of the URLs of websites advertising the availability of the institution's fellowships; names of publications, organizations, and institutions receiving announcements of the grant program (addresses are unnecessary).
- **Statistical analysis:** A comparative statistical analysis of the applicant pool and the resulting awards for the current year and for each of the two preceding years. Where applicable, distinguish applicants for NEH fellowships from others. Include an explanation of significant trends and a statement of efforts that the institution is making to influence the trends. The most important general categories of analysis are fields of study, types of institution (for example, research university versus four-year college), academic rank, and geographical distribution.

- Review guidance: A statement of the guidance, instructions, and selection criteria provided to those who take part in the selection of fellows and other grantees.
- Application materials: Copies of application forms and instructions and form letters used in responding to inquiries from potential applicants.
- Misconduct policy: A copy of the institution's research misconduct policy.
- Reports: Copies of reports from long-term postdoctoral fellows (that is, those supported for four or more months) for the last three years. Applicants for renewal grants should supply reports only from NEH fellows.

5. Statement of history of any federal grants

If an institution has received previous support from any federal sources, including NEH, in the five years preceding this application, list the sources, dates, and total dollar amount of each contribution. If an institution has had a long history of support, organize and summarize the sources and contributions so that the list fits on one page.

HOW TO SUBMIT YOUR APPLICATION

The application must be submitted to Grants.gov. Links to the Grants.gov application package and instructions for preparing and submitting the package can be found on the [program resource page](#).

DEADLINES

Draft Proposals (optional): 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 received by Grants.gov on or before August 16, 2012.

Grants.gov will date- and time-stamp your application after it is fully uploaded. Late, incomplete, or ineligible applications will not be reviewed.

V. Application Review

Reviewers will be asked to answer the following questions when evaluating applications:

1. Humanities significance: How important to the advancement of the humanities is the fellowship program for which funding is requested?
2. Resources, facilities, and assistance: Are fellows likely to pursue their research more successfully because of the research collections, facilities, services, and other resources provided by the applicant institution? In the case of centers with residential programs, does the application provide evidence that the fellows' projects benefit

significantly from the location of the center and the intellectual exchange among the fellows? In the case of organizations, do they help fellows secure research opportunities abroad?

3. Performance: How strong is the institution's previous record in offering fellowships? Have former fellows been productive? Have the scholarly contributions resulting from their FPIRI fellowships been of value to scholars and general audiences in the humanities?
4. Fairness of selection: Is the fellowship selection process expert and objective? Has the institution chosen highly qualified and impartial selection committee members, with diverse viewpoints, who will help the institution achieve its goals? Does the institution avoid conflicts of interest (or the appearance of conflicts) in establishing the selection committee and choosing the fellows? Does the process, as described, ensure that the best possible candidates are selected?
5. Applicant pool and budget: Does the application make a persuasive case for the amount of NEH support requested for fellowships? Is the applicant pool appropriate to the size of the program?
6. Publicity: How effective is the publicity for the fellowship competition?
7. Administration: How effective is the administration of the fellowship program? Is the institution's research misconduct policy adequate?
8. Improvements: In what ways (if any) could the fellowship program be improved?

Review and selection process

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

VI. Award Administration Information

Award notices

Applicants will be notified of the decision by e-mail in March 2013. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail in April 2013. Applicants may obtain the evaluations of their applications by sending a letter to NEH, Division of Research Programs, Room 318, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506, or an e-mail message to fpiri@neh.gov.

Administrative requirements

Before submitting an application, applicants should review their [responsibilities as an award recipient](#) and the [lobbying certification requirement](#).

Award conditions

The requirements for awards are contained in the [General Terms and Conditions for Awards](#), the [Addendum](#) to it, any specific terms and conditions contained in the award document, and the applicable [OMB circulars governing federal grants management](#).

Reporting requirements

A schedule of report due dates will be included with the award document. Reports must be submitted electronically via [eGMS](#), NEH's online grant management system.

Annual fellowship selection reports and a final performance report will be required. See the [Instructions for Fellowship Selection Reports](#) (PDF) and the [Performance Reporting Requirements](#) for further details.

Upon completion of tenure, NEH fellows are required to submit a brief report on their activities and accomplishments to the NEH Division of Research Programs at <https://securegrants.neh.gov/Misc/CentersEvaluation.aspx>.

A final [Federal Financial Report](#) (SF-425, PDF) will be due within ninety days after the end of the award period. For further details, please see the [Financial Reporting Requirements](#).

Conditions governing the administration of an NEH fellowship program

The conditions and requirements governing the administration of an NEH fellowship program are explained in the [Responsibilities of Institutions](#) (PDF) memorandum and the [Responsibilities of Fellows](#) (PDF) memorandum.

VII. Points of Contact

If you have questions about the program, contact

Division of Research Programs
National Endowment for the Humanities
Room 318
1100 Pennsylvania Avenue, NW
Washington, DC 20506
202-606-8200
fpri@neh.gov

If you need help using Grants.gov, refer to

Grants.gov: <http://www.grants.gov/>
Grants.gov help desk: support@grants.gov
Grants.gov customer support tutorials and manuals:
http://www.grants.gov/applicants/app_help_reso.jsp
Grant.gov support line: 1-800-518-GRANTS (4726)
Grants.gov [troubleshooting tips](#)

VIII. Other Information

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. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.

Application completion time

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

Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the completion time, to the Chief Guidelines Officer, at guidelines@neh.gov; the Office of Publications, National Endowment for the Humanities, Washington, 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

- Verify your institution's registration or register your institution with Grants.gov.** Complete at least two weeks before deadline.
- Download the application package from Grants.gov.** The [program resource page](#) on NEH's website has a direct link to the package or you can search Grants.gov for this program. The program resource page also has a direct link to the instructions for completing the package.
- Complete the following forms contained in the Grants.gov application package.**
 1. Application for Federal Domestic Assistance - Short Organizational
 2. Supplementary Cover Sheet for NEH Grant Programs
 3. Project/Performance Site Location(s) Form

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

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

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

ATTACHMENT 3: Proposed grant budget for requested NEH funds (including any additional funding for fellows’ stipends drawn from non-NEH sources), year by year (name the file “budget.pdf”)

ATTACHMENT 4: Brief résumés (name the file “resumes.pdf”)

ATTACHMENT 5: Lists of members of the selection, rating, or review committee (name the file “reviewers.pdf”)

ATTACHMENT 6: List of fellows (name the file “fellows.pdf”)

ATTACHMENT 7: List of publications by fellows (name the file “publications.pdf”)

ATTACHMENT 8: Lists of URLs of websites advertising the fellowships, and of the names of publications, organizations, and institutions receiving announcements (name the file “announcements.pdf”)

ATTACHMENT 9: Statistical analysis (name the file “statisticalanalysis.pdf.”)

ATTACHMENT 10: Statement of guidance for the review process (name the file “reviewguidance.pdf”)

ATTACHMENT 11: Copies of application materials provided to potential applicants (name the file “applicationmaterials.pdf”)

ATTACHMENT 12: Research misconduct policy (name the file “researchmisconduct.pdf”)

ATTACHMENT 13: Copies of reports from long-term postdoctoral fellows (name the file “reports.pdf”)

ATTACHMENT 14: Statement of history of any federal grants (name the file “granthistory.pdf”)

Your attachments must be in Portable Document Format (.pdf). We cannot accept attachments in their original word processing or spreadsheet formats. If you don’t already have software to convert your files into PDFs, many low-cost and free software packages will do so. You can learn more about converting documents into PDFs [here](#).

Upload your application to Grants.gov. NEH **strongly** suggests that you submit your application no later than 5:00p.m. Eastern Time on the day of the deadline. Doing so will leave

you time to contact the Grants.gov help desk for support, should you encounter a technical problem of some kind. The Grants.gov help desk is now available seven days a week, twenty-four hours a day (except on [federal holidays](#)), at 1-800-518-4726. You can also send an e-mail message to support@grants.gov.