NATIONAL ENDOWMENT FOR THE

Humanities

DIVISION OF **EDUCATION**

HUMANITIES INITIATIVES AT HISPANIC-SERVING INSTITUTIONS

Deadline: June 27, 2012 (for projects beginning January 2013)

Catalog of Federal Domestic Assistance (CFDA) Number: 45.162

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

□ Budget instructions
□ Budget spreadsheet
□ Sample budget
□ 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 Education Programs at 202-606-8471 and hi@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

NEH Humanities Initiatives are intended to strengthen and enrich humanities education and scholarship at Hispanic-Serving Institutions. These grants may be used to enhance the humanities content of existing programs, develop new programs, or lay the foundation for more extensive endeavors in the future.

Each project must be organized around a core topic or set of themes. For examples, see the sample project narratives, which are available on the program resource page.

NEH Humanities Initiatives may

- create opportunities for faculty members to study together while improving their capacity to teach the humanities;

- help faculty members and administrators develop new humanities programs, which may include but are not limited to academic writing programs, foreign language programs, new humanities minors, first-year seminars, capstone courses, or summer bridge programs for at-risk high school students;

- help institutions take advantage of humanities resources, especially in the digital humanities;

- enhance or develop areas of basic need in an institution's core humanities programs; or

- build ties among faculty at more than one institution of higher learning; among college teachers, secondary school teachers, and students; or among faculty members at institutions of higher learning and their colleagues in museums, libraries, or other organizations such as historical and cultural societies.

Applications for projects in all humanities disciplines are welcome and will receive equal treatment in review.

For the 2012 competition, NEH is particularly interested in proposals in the following categories:

- humanities connections to professional training (in such fields as business, law, economics, technology, medicine, and nursing);

- languages; and

- projects that respond to NEH's *Bridging Cultures* initiative. Such projects could focus on cultures internationally, or within the United States. International projects might seek to enlarge Americans' understanding of other places and times, as well as other perspectives and intellectual traditions. American projects might explore the great variety of cultural influences on, and myriad subcultures within, American society. These projects might also investigate how Americans have approached and attempted to surmount seemingly unbridgeable cultural divides, or examine the ideals of civility and civic discourse that have informed this quest.

Applicants are encouraged to draw on the knowledge of outside scholars who may contribute expertise and fresh insights to the project.

Applicants are also encouraged to collaborate with other institutions to share resources and expand the project's potential audience.

Grant funds may be used to pay for travel expenses and honoraria for guest scholars and visiting consultants, books and other materials, modest purchases of computer equipment and materials directly related to the project, logistical support, staff salaries during project pilot phases, and release time for the project director. Project participants should also be remunerated for their participation.

NEH Humanities Initiatives may not be used for

- creative or performing arts;

- empirical social science research;

- specific policy studies;

- educational or technical impact assessments;

- work undertaken in the pursuit of an academic degree;

- the preparation or publication of textbooks;

- the acquisition of equipment not closely related to the purposes of the project;

- projects that focus on pedagogical theory, or research on educational methods, tests, or measurements;

- projects that seek to promote a particular political, religious, or ideological point of view; and

- projects that advocate a particular program of social advocacy.

II. Award Information

Successful applicants for NEH Humanities Initiatives may be awarded up to $75,000.

The grant period may run between twelve and thirty-six months, depending on the project, but it must begin between January 1, 2013, and May 1, 2013, to accommodate travel to the project directors' meeting. Funds may be disbursed according to project needs.

III. Eligibility

This program accepts applications from Hispanic-Serving Institutions. Any U.S. nonprofit 501(c)(3) tax-exempt college or university that is a Hispanic-Serving Institution is eligible to apply.

If you are uncertain about the status of your institution, begin by consulting this list (PDF), compiled by the Department of Education, which includes both Title III institutions and Title V (Hispanic-serving) institutions. Your institution is eligible a) if it appears on the list; AND b) at least 25 percent of its undergraduate full-time equivalent enrollment consists of Hispanic students, as determined by the College Navigator tool at the website of the National Center for Education Statistics. (To use this tool, type in the name of your institution and then click on "Show Results." A clickable version of the institution's name will appear to the right of where you typed it in. Click on it, which will yield a series of items on which you can click. Click on "Enrollment," the fifth choice in the column, and then examine the data for "Student Race/Ethnicity." If the figure for "Hispanic/Latino" enrollment is 25 percent or more, your institution meets this requirement.)

Alternatively, if your institution is not on the list, you may establish its eligibility by submitting a 2011 or 2012 letter or other document from the Department of Education, certifying Title V eligibility. Submit the document to the program as an appendix to the application.

Individuals are not eligible to apply.

Collaboration with other organizations is welcome, but the project director must be from an eligible institution.

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

Application advice and proposal drafts

Applicants are encouraged to contact program officers who can offer advice about preparing the proposal, provide samples of previously funded projects, and review proposal drafts that are submitted at least four weeks before the deadline. Drafts should be submitted to hi@neh.gov. Responses to late-arriving drafts cannot be guaranteed.

In responding to drafts, staff may explain how the application review criteria apply to a proposal, note material that may be missing from the proposal draft, and anticipate the questions that panelists are likely to raise during the review process. These 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 an applicant formally submits an application, NEH will not comment on its status except with respect to issues of completeness and eligibility.

Sample project narratives of successful proposals are available on the [program resource page](#). Please keep in mind that these are samples, not models. Each application must make its own case for funding.

HOW TO PREPARE YOUR APPLICATION

Applicants should begin by reviewing the evaluation criteria listed below in Section V.

The application should be clear, free of jargon, and accessible to nonspecialists. Applicants should refrain from proposing advocacy and other activities not supported by NEH (listed above, at the end of Section I of the guidelines).

Your application should consist of the following five parts:

1. **Table of contents**

   Include all parts of the application, with page numbers. Pages should be numbered consecutively through all sections, including the appendices.

2. **Summary**

   Provide a one-page, single-spaced summary of the narrative.

3. **Narrative (including Confirmation of Eligibility)**

   The narrative is an extended discussion of the project's content, activities, and intended audience. Limit the narrative to *ten* double-spaced pages with one-inch margins and a font size no smaller than *twelve* points. Use appendices to provide concise supplementary material that directly bears on the project. Include the following sections in the narrative.

   - **Intellectual rationale**

Explain the central issue that the project will address, the audience it is intended to reach, and how it will improve the quality of humanities teaching and learning at the institution.

- **Content and design**

  Describe the project's humanities content in detail, discussing topics that will be explored. Describe all of the project activities and the texts to be used, and explain why they were chosen. Use an appendix to provide a work plan, schedule of activities, and list of readings for the project.

- **Institutional context**

  Briefly describe (in one paragraph) how the project relates to the mission, curricular history, and students of the institution.

  Briefly describe (in another paragraph) the humanities programs and resources at your institution and those of collaborating institutions.

  Briefly show (in a third paragraph) how the resources (for example, faculty, library, or archival or museum holdings) of the participating institution(s) support the project, and describe any previous efforts to address the objectives of the project. If the proposal is related to a project previously funded by NEH, describe how the current effort builds on past work, and include in an appendix an evaluation of the initial project.

  If more than one institution is involved, describe any previous collaboration and include in an appendix letters of commitment from each institution.

- **Follow-up and dissemination**

  Describe the anticipated long-term impact of the project and any activities (for example, workshops with colleagues, presentations at conferences, or dissemination of new curricula) planned after the grant period. If digital materials will be developed, describe arrangements for maintaining them after the end of the grant period.

- **Evaluation**

  Include a specific internal evaluation plan that is appropriate to the project. Explain the benchmarks for evaluating the project while it is ongoing. Describe the anticipated impact and dissemination of the project and the criteria by which these will be measured. The plan should include an evaluation of the grant products and the success of dissemination efforts.

Outside evaluation is not required for NEH Humanities Initiatives grants.

Conclude the narrative with a sentence confirming that your institution is a Hispanic-Serving Institution. You must do so in one of two ways. You may confirm its eligibility by stating that it appears on the Department of Education's list (PDF) of Title III and Title V institutions and that at least 25 percent of its undergraduate full-time equivalent enrollment consists of Hispanic students, as determined by the College Navigator tool at the website of the National Center for Education Statistics. Alternatively, you may confirm its eligibility by submitting a 2011 or 2012 letter or other document from the Department of Education, certifying Title V eligibility, as an appendix to the application.

4. **Budget**

Using the instructions, complete the budget spreadsheet. A sample budget is also available. You can find links to the budget instructions, budget spreadsheet, and sample budget on the program resource page. If you wish, you may attach separate pages with notes to explain any of the budget items in more detail. Applicants are advised to retain a copy of their budget form.

The following is additional guidance for preparing your budget.

- **Item 1: Salaries and wages**

   Include all project personnel employed by the applicant institution. Calculations for faculty compensation must conform to the policies of the institution. Commonly, the budget includes a percentage of academic year or annual salary for those faculty members participating in the project. Such amounts may be used to release faculty members from normal duties for a specified amount of time or, alternatively, to pay them for time that they devote to the project over and above their normal duties. In some cases, such as professional development activities conducted in the summer, a uniform stipend may be provided for faculty participation. In no case, however, may this grant support replacement teachers or pay faculty members for performing their regular duties. Compensation for support staff may be calculated as a percentage of salary or based on an hourly rate.

   Salary compensation for employees of colleges and universities should be shown in the project budget as follows:

   o For project directors during the academic year, release time normally should not exceed one course per quarter or semester.

   o For project directors during the summer, compensation is based on a percentage of the director's academic year salary. For example, one month of full-time work would equal one-ninth or 11.1 percent of a nine-month academic year salary.

    o   Faculty participants and any school teachers who may be involved in a workshop or who may have other responsibilities in the implementation of a project may receive stipends, typically $100 per day or $500 on completion of a week-long summer workshop, or as appropriate for other responsibilities in a project.

- **Item 2: Fringe benefits**

  Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect-cost pool (discussed in Item 8 below) may be shown as direct costs.

- **Item 3: Consultant fees**

  List individuals contributing to the project as visiting lecturers or leaders of faculty study sessions. The honoraria for visiting faculty and other consultants range from $350 to $750 per person per day or up to a maximum of $3,750 per person per week, not including travel and subsistence costs. Travel and subsistence costs should be entered under budget Item 4.

- **Item 4: Travel**

  Calculate travel and subsistence costs, including participant travel, in conformity with institutional policy. The lowest available commercial fares for coach or equivalent accommodations must be used.

  All project directors will attend a planning meeting at NEH's offices in Washington, D.C. Directors should budget accordingly for a one-day meeting for the first year of the requested grant period. Other project leaders may wish to attend the meeting; if so, their expenses should also be detailed here.

- **Item 5: Supplies and materials**

  List all purchases of consumable supplies, materials to be used in the project, and items of expendable equipment (that is, equipment costing less than $5,000 and with an estimated useful life of less than one year) to be purchased with grant funds. Eligible items include supplies, such as computer and instructional materials, educational software, etc. Please note that costs for these items may be included only if they are not part of the indirect-cost pool (discussed in Item 8 below). See also the list of "Inadmissible Budget Items," below.

- **Item 6: Services**

Services include the cost of duplication and printing, long-distance telephone charges and postage, rental of films and equipment, technical support, rental of buses and vans for site visits, and subcontracts of any kind. The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be appended to the budget. If there is more than one contractor, each must be budgeted separately on the form, with itemization appended to the budget. If you plan to cooperate with another institution, the grants office of the applicant institution may wish to consult with the NEH Office of Grant Management.

- **Item 7: Other costs**

  Include purchases of permanent equipment (having a useful life of more than one year and an acquisition cost of $5,000 or more) and stipends for any project participants not employed by the applicant institution. Equipment is to be used solely for project activities during the life of the grant and is not intended for personal use.

  (Reminder: consultant fees are entered under budget Item 3.)

- **Item 8: Indirect costs (overhead)**

  These 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. Typical examples of indirect costs are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

  Indirect costs are computed by applying a federally negotiated indirect-cost rate to a distribution base (usually the direct costs of the project). If your institution already has a federally negotiated indirect-cost rate, please indicate on the budget form the rate, the base, the name of the federal agency with which the agreement was negotiated, and the date of the agreement. Please attach a copy of your institution's current federally negotiated indirect cost rate agreement to the budget form.

  Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect-cost rate or have not submitted a pending indirect-cost proposal to a federal agency may choose one of the following options:

  o NEH will not require the formal negotiation of an indirect-cost rate, provided that the charge for indirect costs does not exceed 12 percent of direct costs, less distorting items (including but not limited to capital expenditures, participant stipends, fellowships, and the portion of each individual subgrant or subcontract in excess of $25,000). This option is

not available to sponsorship (umbrella) organizations. Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.

o   If your organization wishes to use a rate higher than 12 percent, an estimate of the indirect-cost rate and the charges should be provided on the budget form. If the application is approved for funding, instructions will be provided in the award document on how to negotiate an indirect-cost rate with NEH.

If you choose one of these two options, please indicate on your budget form that you are doing so.

- **Inadmissible budget items**

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

  o   the cost of replacement teachers or compensation for faculty members performing their regular duties;

  o   the rental of recreational facilities and costs related to social events such as banquets, receptions, and entertainment;

  o   tuition fees for participants;

  o   the cost of travel associated with independent scholarly research; and

  o   the cost of developing educational technologies or materials that are solely pedagogical.

- **Budget narrative (optional)**

  If needed, include a brief supplement to the budget, explaining projected expenses or other items in the financial information provided on the budget form.

5. **Appendices**

Use appendices to provide supplementary but essential materials. As appropriate, include the following:

- the work plan, schedule of activities, and list of readings for the project;

- letters of commitment from each institution involved in the project, including the applicant institution;

- brief résumés or biographies (two pages each) and letters of commitment from each scholar involved in the project;

- a one-page appendix providing a brief institutional history, as well as key institutional data, including number of faculty, number of departments, graduate programs (if applicable), student enrollments, etc.;

- an evaluation of the initial project, if the proposal is related to a project previously funded by NEH;

- if applicable, a 2011 or 2012 letter or other document from the Department of Education, certifying Title V eligibility; and

- if applicable, a list of materials to be mailed separately (that is, those that cannot be submitted electronically via Grants.gov).

Include only relevant information concisely presented. Each appendix should be identified clearly and listed in the table of contents. Remember that pages should be numbered consecutively through all sections, including the appendices. The proposal narrative should refer to items included in the appendices or samples of digital work.

Projects proposing a digital component (for example, a website, CD-ROM, or DVD) may wish to provide samples that demonstrate the proposed component and its relationship to the goals of the project. Applicants may provide a website address, screen shots, or material on CD-ROM or on DVD (eight copies). Any samples that cannot be included in the Grants.gov application must be mailed to the program, and must be clearly labeled with the name of the project director, the applicant institution, and the title of the project. When applicable, include operating instructions. (See How to Submit Supplementary Materials, below.)

Use the Application Checklist to verify completion of all parts of the application.

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.

HOW TO SUBMIT SUPPLEMENTARY MATERIALS

If you are sending supplementary materials (those that cannot be submitted electronically), please send **eight copies of each item** and include in your Grants.gov submission a list of the materials to be mailed separately. Label each item with the name of the project director, the

applicant institution, and the title of the project. When applicable, include operating instructions.

NEH continues to experience lengthy delays in the delivery of mail by the U.S. Postal Service, and in some cases materials are damaged by the irradiation process. We recommend that supplementary materials be sent by a commercial delivery service to ensure that they arrive by the receipt deadline.

Send the materials to:

NEH Humanities Initiatives
Division of Education Programs
National Endowment for the Humanities
Room 302
1100 Pennsylvania Avenue, NW
Washington, DC 20506
202-606-8471

If you wish to have the materials returned to you, please include a self-addressed, pre-paid mailer.

DEADLINES

Draft proposals (optional): The staff recommends that preliminary proposals be sent to hi@neh.gov at least four weeks before the application deadline.

Applications must be received by Grants.gov on or before June 27, 2012. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after that date will not be accepted. Supplementary materials must also arrive at NEH on or before June 27, 2012, to be considered as part of the application.

V. Application Review

Proposals for NEH Humanities Initiatives are evaluated according to three general criteria: intellectual quality, design quality, and potential for significant impact.

- **Intellectual quality**

  - Is the rationale for the project clear and persuasive?

  - Does the project engage significant humanities topics or texts?

  - Does the project draw on sound humanities scholarship?

  - Are the proposed study plans thoughtful and stimulating?

- Does the project effectively address the appropriate issues of teaching and learning in its subject area?

- Is the proposal free of jargon and accessible to nonspecialists?

- **Design quality**

  - Are the activities well planned and described in adequate detail?

  - Are the personnel qualified to carry out their responsibilities?

  - Are the plans for administering the project sound and well developed?

  - Does the applicant refrain from proposing advocacy and other activities not supported by NEH (listed above, at the end of Section I of the guidelines)?

  - Do the letters from scholars, other consultants, and prospective participants demonstrate their interest in and commitment to the project?

  - Is evidence provided that the participating institution(s) are committed to the project and support it?

  - Do the plans include appropriate evaluation?

  - Are the costs of the project reasonable in view of the project design and likely results?

- **Potential for significant impact**

  - Will the project lead to opportunities for enhanced humanities teaching and learning?

  - Will the results be disseminated to those who would find them most useful?

  - Will the results extend beyond the period of the grant?

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 December 2012. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail by January 2013. Applicants may obtain the evaluations of their applications by sending an e-mail message to hi@neh.gov.

Administrative requirements

Before submitting an application, applicants should review their responsibilities as an award recipient.

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.

Interim and final performance reports will be required. Further details can be found in Performance Reporting Requirements.

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.

VII. Points of Contact

If you have questions about the program, contact:

Division of Education Programs
National Endowment for the Humanities
Room 302
1100 Pennsylvania Avenue, NW
Washington, DC 20506
202-606-8463
hi@neh.gov

If you need help using Grants.gov, refer to

Grants.gov: www.grants.gov
Grants.gov help desk: support@grants.gov
Grants.gov customer support tutorials and manuals:
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: One-page summary (name the file "summary.pdf")

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

   ATTACHMENT 4: Budget and copy of your institution's current federally negotiated indirect cost rate agreement (name the file "budget.pdf")

   ATTACHMENT 5: Appendices (name the file "appendices.pdf")

   □ Work plan, schedule of activities, and list of readings for the project

   □ Letters of commitment from each institution involved in the project

   □ Brief résumés or biographies (two pages each) and letters of commitment from each scholar involved in the project

   □ A one-page appendix providing a brief institutional history, as well as key institutional data, including number of faculty, number of departments, graduate programs (if applicable), student enrollments, etc.

   □ An evaluation of the initial project, if the proposal is related to a project previously funded by NEH

   □ If applicable, a 2011 or 2012 letter or other document from the Department of Education, certifying Title V eligibility

   □ If applicable, a list of materials to be mailed separately (that is, those that cannot be submitted electronically via Grants.gov)

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.