



NATIONAL ENDOWMENT FOR THE  
**Humanities**

OFFICE OF CHALLENGE GRANTS

**NEXT GENERATION  
HUMANITIES PHD  
IMPLEMENTATION GRANTS**

Deadline: February 17, 2016 (for projects beginning August/September 2016)

Catalog of Federal Domestic Assistance (CFDA) Number: 45.130

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

- Budget instructions
- Budget 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 Office of Challenge Grants at 202-606-8309 or [challenge@neh.gov](mailto:challenge@neh.gov). Hearing-impaired applicants can contact NEH via TDD at 1-866-372-2930.

**Draft proposals (optional)**

You are strongly encouraged to submit a draft proposal by January 13, 2016.

**Submission via Grants.gov**

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

## System for Award Management Entity records

The Federal Funding Accountability and Transparency Act (FFATA) requires federal agencies to make information about the expenditure of tax funds available to the public. To facilitate this, the applicant organization must maintain current information in its Entity record in the System for Award Management (SAM). You must therefore review and update the information in your Entity record at least annually after the initial registration, and more frequently if required by changes in your information or another award term. In order for you to apply for an award via Grants.gov, receive an award, or receive payment on an award, the information in your Entity record must be current. You can update your organization's Entity record [here](#). You may need a new SAM User Account to register or update your Entity record. NEH strongly recommends that applicants update (or, if necessary, create) their SAM Entity record at least four weeks before the application deadline.

## I. Program Description

In recent years, research published by [Humanities Indicators](#), among others, has revealed that humanities PhDs pursue careers in many different professions—both inside and outside academia. Yet most humanities PhD programs in the United States still prepare students primarily for tenure-track professor positions at colleges and universities. The increasing shortage of such positions has changed students' expected career outcomes. NEH therefore hopes to assist universities in implementing a new model of doctoral education, which can both transform the understanding of what it means to be a humanities scholar and promote the integration of the humanities in the public sphere.

Next Generation Humanities PhD Implementation Grants support universities in instituting wide-ranging changes in humanities doctoral programs. Humanities knowledge and methods can make an even more substantial impact on society if students are able to translate what they learn in doctoral programs into a multitude of careers. Next Generation PhD Implementation Grants are designed to produce plans that will transform scholarly preparation in the humanities at the doctoral level. Students will be prepared to undertake various kinds of careers, and humanities PhD programs will increase their relevance for the twenty-first century.

NEH will support activities specific to each institution's needs: these may include (but are not limited to) multi-departmental collaboration, transformations in curricula, modifications in stipend structures, altered formats for dissertations, commitment to collection of alumni career information and outcomes, partnerships with non-university entities, as well as a pledge to encourage doctoral students to explore and prepare for multiple career trajectories. NEH intends the Implementation Grants program to promote best practices on the part of its awardee institutions, and thereby to establish a new model for graduate education in the humanities.

**Grantee institutions must provide funds (either their own funds or funds raised from nonfederal third parties) equal to the grant funds released by NEH.**

Note that NEH also offers a Next Generation Humanities PhD Planning Grants program. The planning program is for applicants that are devising plans to institute wide-ranging changes in their humanities doctoral programs, to better prepare graduate students for nonacademic as well as academic careers. Applicants should choose the program that is appropriate for their level of preparation to institute changes in their humanities PhD programs.

## II. Type of Award

NEH will offer successful applicants a 1:1 cost-share grant of no more than \$350,000 for as long as 36 months. Thus the total grant will come to a maximum of \$700,000: up to \$350,000 provided by the grantee institution, and up to \$350,000 provided by NEH. The requested grant amount should be appropriate to the needs of the institution, the scope of the activities, and the institution's capacity to contribute funds of its own or to raise funds from nonfederal third parties.

### Cost sharing

Cost sharing consists of the cash contributions made to a project by the applicant, third parties, and other federal agencies, as well as third-party in-kind contributions, such as donated services and goods. Cost sharing also includes nonfederal gift money raised to release federal matching funds.

## III. Eligibility

Eligible institutions are U.S. nonprofit institutions of higher learning with PhD programs in the humanities. 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

### Application advice

Applicants are strongly encouraged to contact program officers, who can offer advice about preparing the proposal and can review draft proposals. Although draft proposals are not required, potential applicants are strongly encouraged to take advantage of this preliminary review. Staff comments on draft proposals are not part of the formal review process and have no bearing on the final outcome of the application.

To ensure timely review, applicants may submit a preliminary draft proposal no later than **January 13, 2016**. NEH regrets that drafts submitted after this date cannot be reviewed. This preliminary draft should include the full narrative section of the application and the proposed budget; it may be sent directly by email attachment to [challenge@neh.gov](mailto:challenge@neh.gov).

Once NEH has received a formal application, the staff will not comment on its status except with respect to questions of completeness or eligibility.

## HOW TO PREPARE YOUR APPLICATION

You must submit your application to Grants.gov.

The application consists of a narrative, a sustainability plan, a budget, and supplementary materials (materials produced in the planning stage, résumés, and letters of commitment and support).

### 1. Narrative

The narrative should not exceed **fifteen single-spaced pages with one-inch margins**. **You should use at least eleven-point type**. The narrative should not assume any specialized knowledge on the part of its readers, and it should be free of jargon.

The narrative should consist of the following sections.

- **Abstract and Overview**

In a few paragraphs, describe the principal activities and expected results of the implementation process. Explain your understanding of the need for new directions in humanities doctoral education, outlining priorities for broadening the career preparation of humanities PhDs, and referring to other projects to transform graduate education if applicable. Mention relevant research or data collected for the programs or disciplines outlined in the proposal, and provide a brief budget summary.

- **Survey of Similar Endeavors**

In a paragraph or two, discuss comparable efforts to transform doctoral programs in the humanities or in other disciplinary areas, such as biomedical sciences. Provide a clear and concise summary of relevant work undertaken at other institutions or organizations, and discuss how your work will make a unique contribution.

- **Planning History**

This program funds endeavors that have already created a road map for action in an earlier planning phase. Please describe this planning process and its results, and explain why you are now ready to implement the plan. You may add references to materials produced in a planning phase as URLs or attachments in the supplementary materials section.

○ **Intended Activities**

Describe the specific programmatic activities that will transform humanities doctoral programs at your institution. Explain in detail how graduate students will be encouraged to consider multiple career options from the beginning of their doctoral experience, how you will integrate activities relevant to nonacademic careers into existing programs for graduate students, and how faculty will participate in this process.

Proposed programmatic activities may include but are not limited to the following:

- development of multi-departmental, multi-program, or multi-school collaborations;
- development of new coursework or curricula;
- alteration of formats or requirements for the dissertation;
- creation of non-teaching-based graduate student funding and stipend structures;
- creation of a mentorship/advisory program that enlists humanities PhD alumni from various fields;
- creation of significant partnerships with non-university entities (that would provide fellowships and internships or other collaborations); and
- development of a plan for tracking and publicizing long-term data (covering a period up to twenty years) about retention rates and post-doctoral career paths for all candidates and graduates.

○ **Work Plan with Timeline**

Provide a month-by-month schedule of the specific tasks to be undertaken and the individuals responsible for them. It may be helpful to present this section in a grid format. Describe each task in some detail, noting the participants who will be involved.

Create a deadline for completing a white paper/report of activities to be posted on NEH's website.

Identify any risks and note how they might adversely affect the overall schedule. Show a strategy to mitigate these risks to keep the grant on budget and on schedule.

○ **Participants**

Name the project director and all collaborators who would work on the project during the proposed grant period. Describe their responsibilities and qualifications. State anticipated commitments of time for the project director and all collaborators, and explain the reasons for and nature of their participation. Project directors must devote a significant portion of their time to their projects. Provide résumés of the principal collaborators (maximum of two pages each) in the supplementary materials attachment.

The project team should consist at a minimum of graduate students, alumni, faculty, and high-level administrators such as deans and provosts. In addition, NEH strongly encourages the inclusion of representatives of other institutional and community entities, such as teaching and learning center professionals; professors and administrators from other fields or schools within the university (for example, from the social sciences or medical sciences); representatives from university presses; potential prospective employers (for example, disciplinary and professional

societies, cultural organizations, government agencies, and corporations); consultants; and content specialists from other funding entities.

- **Fundraising and/or Institutional Cost-Sharing**

Discuss the fundraising strategy to raise the required 1:1 matching or cost-shared funds.

- **Evaluation Plan**

Describe your plan to evaluate this endeavor and outline how you will disseminate information about its results (in part by submitting a white paper/report of activities that will be posted on the NEH website).

## **2. Sustainability Plan**

Prepare a sustainability plan (one single-spaced page) for the endeavor. This plan should discuss the project's long-term financial needs and show how the project activities will continue after the grant period has ended.

## **3. Budget**

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

Eligible budget items for this program may include the payment of a salary or partial salary to the project director and other project participants, stipends for participation, course releases, grants to administrators, expenses for site visits, travel to conferences, re-granting to partner institutions, and the acquisition of resources.

NEH will host a workshop for Next Generation Humanities PhD Implementation Grant project directors in Washington, DC during the first half of the grant period, to discuss strategies and potential outcomes. Please include a line item for this expense (approximately \$1,000/project director) under Travel Costs (budget item 4).

If the applicant institution is claiming indirect costs and 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 also submit a copy of its current federally negotiated indirect-cost rate agreement. Do not attach the agreement to the budget form. Instead you must attach it to the Budget Narrative Attachment Form. (See the instructions for this form in the Application Checklist at the end of this document.) Alternatively, you must attach a statement to the form, explaining a) that the applicant institution is not claiming indirect costs; b) that the applicant institution does not currently have a federally negotiated indirect-cost rate agreement; or c) that the applicant institution is using the government-wide rate of up to 10 percent of the total 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).

#### 4. Supplementary Materials

Include in this section

- relevant materials produced during the project’s planning phase (if any);
- two-page résumés for the project director and other members of the project team; and
- letters of commitment (from project participants and the institutional applicant) and letters of support.

You must include letters of commitment from all project participants (other than the project director), as well as a letter of commitment from the institutional applicant. Appropriate institutional commitment should include the provision of adequate staff, facilities, and educational resources to facilitate the attainment of the grant’s objectives. The letter of institutional commitment must also address the grantee’s long-term commitment to the goals of the endeavor and anticipated plans for maintaining the curriculum alterations, internships, etc. after they are developed through this grant. The letter must furthermore describe how the institution will enable interested graduate students (regardless of their salary support mechanisms) to participate in the program. If partner organizations are expected to provide long-term support by enabling their staff to participate in the program and/or providing internships or other training opportunities, you must also include letters of support from these organizations.

#### 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](#).

Please note the following addendum to the instructions for preparing and submitting the Grants.gov application package: in part 3 of the Supplementary Cover Sheet for NEH Grant Programs (“Project Funding”), applicants should use the left column (for “Programs other than Challenge Grants”). In the “Outright Funds” box an applicant should insert an amount equivalent to the amount that the institution will itself provide (if it will provide its own funds). In the “Federal Match” box an applicant should insert an amount equivalent to the amount that the institution will raise from nonfederal third parties (if it will raise funds from nonfederal third parties). The amount in the “Total from NEH” box will be the sum of the amounts in the first two boxes. The amount in the “Cost Sharing” box should be the same as the amount in the “Total from NEH” box. The amount in the “Total Project Costs” box will be the sum of the amounts in the “Total from NEH” and “Cost Sharing” boxes.

Information on how to confirm that you successfully submitted your application is available [here](#) (PDF).

## DEADLINES

**Applications must be received by Grants.gov on or before February 17, 2016**, for projects beginning in August/September 2016. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after February 17, 2016, will not be accepted.

## V. Application Review

Evaluators are asked to apply the following criteria in assessing applications:

- 1. Preparation for Implementation**  
The appropriateness and efficacy of the previously undertaken activities laying the groundwork for implementation.
- 2. Potential for Transformation**  
The quality, breadth, and scope of the implementation plan, and its potential impact in transforming humanities doctoral education.
- 3. Staff**  
The qualifications and level of commitment of team members, and the breadth of their representation of all relevant constituencies.
- 4. Data Collection and Evaluation Plan**  
The demonstration of commitment to long-term data collection and evaluation.
- 5. Work Plan/Timeline/Project Sustainability**  
The likelihood that the institution will achieve the project's goals in a timely and efficient manner and will be able to sustain the project's activities beyond the end of the grant.
- 6. Budget**  
The appropriateness and reasonability of the project's costs, and the ability of the institution to contribute the necessary funds and/or to raise them from nonfederal third parties.

### 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. More details about NEH's review process are available [here](#).

## VI. Award Administration Information

Applicants will be notified of the decision by e-mail in July 2016. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail in August 2016. Award documents will identify the relevant terms, conditions, and administrative requirements that pertain to successful applications. The [Grant Management](#) section of the NEH website outlines all the responsibilities of award recipients, including anti-lobbying restrictions, in great detail. Applicants may obtain the evaluations of their proposals by sending an email to [challenge@neh.gov](mailto:challenge@neh.gov).

## VII. Points of Contact

If you have questions about the program, contact

[challenge@neh.gov](mailto:challenge@neh.gov)  
202-606-8309

If you need help using Grants.gov, refer to

Grants.gov: [www.Grants.gov](http://www.Grants.gov)  
Grants.gov help desk: [support@grants.gov](mailto:support@grants.gov)  
Grants.gov customer support tutorials and manuals:  
<http://www.grants.gov/web/grants/applicants/applicant-tools-and-tips.html>  
Grants.gov support line: 1-800-518-GRANTS (4726)

## 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](mailto: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 and if necessary update your institution’s Entity record, or create an Entity record for your institution, at the System for Award Management (SAM).** Complete at least four weeks before the deadline.
- **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. Alternatively, you can search Grants.gov for this program. (Note that Grants.gov tells you to download the “application instruction” as well as the “application package.” The “application instruction” is this document, so there’s no need to download it.) 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: Narrative (name the file “narrative.pdf”)
    - ATTACHMENT 2: Budget (name the file “budget.pdf”)
    - ATTACHMENT 3: Sustainability plan (name the file “sustainability.pdf”)
    - ATTACHMENT 4: Supplementary materials (planning documents, résumés, and letters of commitment and support) (name the file “supmaterials.pdf”)
  5. Budget Narrative Attachment Form—Using this form, attach **only** a copy of your institution’s current federally negotiated indirect-cost rate agreement (or an explanation why you are not attaching such an agreement). (See the Grants.gov instructions for institutional applicants, which are available on the program resource page, for additional information.)

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 5:00 p.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](mailto:support@grants.gov).

Information on how to confirm that you successfully submitted your application to Grants.gov is available [here](#) (PDF).