

NEH/DFG

Bilateral Digital Humanities Program

Deadline: September 25, 2014

I. Program Description

The National Endowment for the Humanities (NEH) in the United States and the Deutsche Forschungsgemeinschaft e.V. (DFG, *German Research Foundation*) are working together to offer support for projects that contribute to developing and implementing digital infrastructures and services for humanities research.

In order to encourage new approaches and develop innovative methods in any field of the humanities, these grants provide funding for up to three years in any of the following areas:

- developing innovative methods—as well as standards and best practices—for building and merging digital collections that are significant and of major current interest for use in humanities research;
- developing and implementing generic tools, methods, and techniques for accessing and processing digital resources relevant to humanities research;
- creating new digital modes of scholarly communication and publishing that facilitate international cooperation and dissemination of humanities scholarship;
- developing models and for effectively managing digital data generated in humanities research projects (for example, texts, audio files, photographs, 3D objects) and exemplifying those models in case studies.

Collaboration between U.S. and German partners is a key requirement for this grant category. Each application must be sponsored by at least one eligible German individual or institution, and at least one U.S. institution (see *Section III, Eligibility*, below), and there must be a **project director from each country**. The partners will collaborate to write a **single application package**. The U.S. partner will submit the package to NEH via Grants.gov, and the German partner will submit it to DFG via regular postal service and preferably also by e-mail.

All potential applicants should note that, while NEH and DFG each host a version of the guidelines on their respective websites, the requirements for the application package as outlined below in *Section IV, Application and Submission Information* are identical. However, each set of guidelines contains some variations in grant administration procedures to be followed by successful applicants. These variations reflect the local administrative and organizational requirements of each country.

Applications should explain the need for the U.S.-German partnership and the ways in which the transatlantic cooperation will be of special value to the field.

Successful applicants will be expected to create and make publicly available a final report, or “white paper,” as one of their work products. This report should document the project, including lessons learned, so that others can benefit from their experience.

DFG/NEH Bilateral Digital Humanities grants may not be used for

- projects that involve digitization only of a single collection or amendments to a collection;
- projects that primarily involve digitization of resources in the property of institutions in a third country;
- the digitization of materials that are the responsibility of an agency of the U.S. federal government;
- the digitization of materials that are not made regularly accessible for research, education, or public programming;
- the retrospective conversion of a library’s general card catalog or the basic inventory of a museum’s collections;
- the creation of software or the purchase of computer systems for records management;
- the maintenance or upgrading of computer systems;
- the acquisition of collections; or
- the creation of teaching and learning resources, tools, and reference works designed exclusively for classroom instruction.

Open access and grant products

Both NEH (as a taxpayer-supported federal agency) and DFG (as a publicly financed independent agency) endeavor to make the products of their grants available to the broadest possible audience. Our goal is for scholars, educators, students, and the international public to have ready and easy access to the wide range of NEH and DFG project outcomes. For projects that lead to the development of digital content, all other considerations being equal, NEH and DFG give preference to those that provide free access to the public. Detailed guidance on access and dissemination matters can be found in the instructions for the narrative in *Section IV*, below (see the heading “*Final product and dissemination*”).

II. Award Information

Awards range from \$100,000 to \$350,000 (approximately €70,000 to €250,000) for up to three years. A representative institution from each country will receive its portion of the grant funds from the funding agency in its country (NEH in the U.S.; DFG in Germany). Projects must include a project director with an institutional affiliation from each country, so that funds may be distributed according to respective national laws and funding guidelines. Successful applicants to NEH will be awarded a grant in outright funds or federal matching funds, depending on the applicant's preference and the availability of NEH funds.

The amounts requested from each funding agency should not differ by more than 20 percent and cannot exceed a **total combined amount of \$350,000**; any disparity over 20 percent requires justification in the budget. See the instructions for the budget, in *Section IV* below, for more information.

Cost sharing

NEH does not require cost sharing for this program. 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 gift money raised to release federal matching funds. If the participating institution is contributing cost sharing, please indicate contributions in the proposal budget and narrative.

DFG expects that participating institutions will make a reasonable contribution to the cost of the project. This contribution must be specified in the proposal.

III. Eligibility

Applications must be submitted to both NEH and DFG. Applications sent to only one agency will not be considered for review. See "*How to Submit your Application*" (at the end of *Section IV* below), for the relevant instructions for each granting agency.

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

U.S. partner eligibility

Any U.S. nonprofit organization with IRS tax-exempt status is eligible, as are state and local governmental agencies and tribal governments. 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.

German partner eligibility

Eligible applicants include scientific service institutions (such as libraries, archives, and media and computer centers), research institutes, and scientists or academics (Ph.D. required) from any discipline working at German research institutions. As a rule, only publicly funded institutions are eligible to apply. For further details, see the eligibility requirements in [DFG form 12.01 \(PDF\)](#).

IV. Application and Submission Information

HOW TO PREPARE YOUR APPLICATION

Application advice and proposal drafts

Prior to submitting a proposal, applicants are encouraged to contact program officers, who can offer advice about preparing the proposal. These comments are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants have found them helpful in strengthening their applications. You may submit a draft proposal to DFG or NEH (or to both of them) until six weeks prior to the deadline.

You will submit your single application to both funding agencies. Co-applicants should collaborate in order to create this single application package. The application materials should be **exactly the same** in the copies submitted to NEH and DFG, with the following **exception**: the section on the requested budget has to be prepared according to the differing templates of NEH and DFG (see the instructions for the budget below).

Applications submitted to NEH should list a primary project director affiliated with a U.S.-based institution; applications submitted to the DFG should list a primary project director (*Hauptantragsteller*) affiliated with a German institution. Please note that the title of the project and the names of both project directors (and their institutional affiliations) should appear at the top of the list of participants (the first component of the application).

Proposals should be submitted in English. In exceptional cases and only following consultation with NEH staff and the DFG Head Offices, proposals may be submitted in German as well as English. In these cases the English version is binding.

The application should consist of the following parts.

1. List of participants

The list should begin with the title of the project and the names and affiliations of both project directors. Next, list all project participants and collaborators and their institutional affiliations, if any. The names on this list should match the names mentioned in the staff section of the project's narrative description. The list is used to ensure that prospective reviewers have no conflict of interest with the projects that they will evaluate. This list should include advisory board members, if any.

2. Table of contents

List all parts of the application and corresponding page numbers.

3. Description of the project and its significance

Provide a one-page abstract written for a nonspecialist audience, clearly explaining the project's importance to the humanities, its principal activities, and its expected results.

4. Narrative

Limit the narrative to eight to ten single-sided and single-spaced pages. All pages should have one-inch (2.5-centimeter) margins, and the font size should be no smaller than eleven point. Use appendices to provide supplementary material.

- Significance

Provide a clear and concise explanation—comprehensible to a general audience—of the project activities and the ultimate project results. Describe the scope of the project activities and the major issues to be addressed, and justify the importance of the project on the basis of its long-term benefits to research in the humanities. Discuss the central humanities themes, questions, or disciplines to be addressed.

State the direct benefit to be derived from the collaboration of the two international partners.

For proposed reference works and research tools, define the selection criteria and explain how your project relates to existing resources. Demonstrate what this work or tool will provide that other resources cannot.

Discuss actual and anticipated use of the grant products. Identify the audience(s) that the project would effectively serve. Provide evidence of use, when possible, through examples of outcomes such as scholarly publications, educational activities, exhibitions, or media programming.

- History, scope, and duration

Provide a concise history of the project, including information about preliminary research or planning, financial support already received, and resources or research facilities available. If a project will require more than three years to complete, describe the scope and duration of the entire project, but show clearly the specific accomplishments or products intended in the period for which funding is requested. Explain how the project intends to broaden its base of support to allow updates and maintenance without additional NEH or DFG support.

If the project has been previously supported by NEH or DFG, compare the accomplishments in the current or past grant period with the intended goals. List any products or publications in print or electronic form. When appropriate, indicate print runs, sales, and royal-

ties relating to publications. In the case of existing online projects, include the URL and provide use statistics and other relevant information.

- Methodology and standards

Explain the manner in which the project will be executed. Activities should conform to appropriate national standards and accepted professional practices. If your project's methodology departs from usual standards and procedures, explain why the project's goals require this approach and how the results would be compatible with other relevant endeavors that follow existing standards.

If your project entails digitization, make sure to take into account the [DFG Practical Guidelines on Digitisation](#) (PDF) when preparing this section.

Wherever applicable, proposals should include sample materials or reports that show the final or anticipated form of the project or illustrate the experience of the project's staff in doing comparable work. See the Appendices section below.

Include an outline of the risks that could pose a threat to the project's success, including their likelihood and severity, and explain how you would avoid them (or manage them if they occurred).

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

- Intellectual property rights (IPR) and copyright

Discuss any intellectual property or privacy issues that might affect the availability of materials provided as results of the project and whether permissions and informed consents have been obtained. Do the project directors or their institutions have the rights to disseminate the works outlined in the proposal? If IPR or copyright issues nevertheless remain, how will these be addressed during the course of the project?

- Environmental scan

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

late to the proposed project. The environmental scan should make it clear that you are aware of similar work being done and should explain how your proposed project contributes to and advances the field.

- Work plan

Describe the work plan in detail, including the work to be done by each partner in the collaboration. A schedule indicating benchmarks of accomplishment during each stage of the project should be included in the appendices.

- Nature of collaboration and staff

Describe the nature and strengths of the intended collaboration and the methods planned to ensure the coordination of the partners.

Identify the project staff, including consultants, and describe their duties and qualifications for the specific responsibilities assigned to them. Indicate the amount of time that the principal members of the project staff will devote to the project. If the project has an advisory board, explain its function. In the appendices provide two-page résumés for major project staff and all consultants.

- Final product and dissemination

Describe the plans to disseminate the project results through various media (printed articles or books, presentations at meetings, electronic media, or some combination of these). Discuss how your white paper or final report will detail the activities of the project and how it could be useful to the field.

Grantees should provide broad access to all grant products through the Internet, on-site use, interlibrary loan, or duplication of materials at cost, insofar as the conditions of the materials and intellectual property rights allow. We strongly encourage projects that offer free public access to online resources. All other considerations being equal, preference will be given to projects that provide free online access to digital materials produced with grant funds.

Projects developing new software are encouraged to make the software free in every sense of the term, including the use, copying, distribution, and modification of the software. Open-source software or source code should preferably be made publicly available through an online repository such as [SourceForge](#) or [GitHub](#).

5. Sustainability plan

Prepare a sustainability plan (of three pages or less) for the project. This plan should discuss the long-term financial needs of the project and show how the project will continue to be able to meet its goals after the grant has ended. The plan must address potential institutional support or future funding streams necessary to allow the project to thrive beyond the grant period. The content of the plan will, of course, vary, depending on the activities being undertaken during the grant period. Applicants may wish to consult the NEH-funded

Ithaka report [Sustaining Digital Resources: A Briefing Paper for Leaders of Projects with Scholarly Content](#) (PDF) for tips on putting together their plan.

6. Data management plan

Prepare a data management plan (of two pages or less) for the project. The plan should describe how the project team will manage and disseminate data generated or collected by the project. For example, projects in this category may generate data such as software code, algorithms, digital tools, websites, or digitized materials. For further guidance on the content of this plan, please see [Data Management Plans for NEH Office of Digital Humanities Proposals and Awards](#) (PDF).

Describe the institution's plans for storing, maintaining, and protecting the data. Discuss both the technical and the administrative provisions for ensuring the preservation of long-term access to the information. Explain how the data will be archived (independent of the processing or delivery software and interface), to enable them to be moved to future media and formats. Document the institution's ability to update and provide long-term access to the materials, as well as its commitment to doing so.

If the presentation of digital resources is a major part of the project, you may find it useful to consult [A Framework of Guidance for Building Good Digital Collections](#) (PDF), which contains links to other useful resources and is supported by the National Information Standards Organization, or the [DFG Practical Guidelines on Digitisation](#) (PDF) for technical advice on digitization standards.

7. History of grants

If the project has received previous support from any federal or nonfederal sources, including NEH or DFG, list on one page the sources, dates, and amounts of these funds. If the project has a long history of support, the sources and contributions may be grouped and summarized.

8. NEH Budget and

9. DFG Budget

8. Using the instructions and the sample budget, **U.S. partners** must complete the budget form (MS Excel format) or a format of their 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](#).) Submit your budget in a font of at least eleven points. If you wish, you may attach separate pages with notes to explain any of the budget items in more detail. You should retain a copy of your budget form.

If you are claiming indirect costs, attach a copy of your institution's current federally negotiated indirect cost rate agreement to the budget form. Alternatively, you can use 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 subgrant or subcontract in excess of \$25,000).

9. **German partners** must prepare a budget detailing costs and the amount requested from DFG, following the structure and guidelines outlined under Section 4 (pp. 7-8) of [DFG form 12.01](#) (PDF). Under this call, you may submit the following modules: [Basic Module](#) and [Project-specific workshops](#). For more details, please see the respective guidelines for each module.

8.+9. The combined total amount requested must fall within the limits stated in the Award Information section above: \$100,000 to \$350,000 (approximately €70,000 to €250,000).

You should try to ensure that the budget amounts requested from each agency differ by no more than 20 percent, in order to maintain an equitable distribution of funds. For example: a German institution could request \$110,000 (approximately €77,000), and the U.S. institution could request \$100,000. In some rare cases, budgets may have more than a 20 percent difference in requested costs, but such cases should include a justification. Requests for \$120,000 and \$75,000 respectively would differ by more than 20 percent and thus would require justification. If you anticipate that the amounts requested from NEH and DFG respectively will differ by more than 20 percent, you should contact agency representatives to discuss the proposal.

The following applies to U.S. partners only:

For any outsourced work, include third-party contractor costs in the budget category “Services.” Attach a complete itemization of these costs to the budget form. If there is more than one contractor, each one must be listed (as a separate line item under “Services”) on the budget form, and the costs must be itemized separately.

To the maximum extent practical, all procurement contracts must be made through an open and free competition. Awards shall be made to the bidder or offerer whose bid or offer is responsive to the solicitation and is most advantageous to the recipient, considering price, quality, and other factors. You must justify procurement contracts in excess of \$100,000 that are not awarded by competitive bids or offers.

You may purchase permanent equipment for a project, if an analysis demonstrates that purchasing is more economical and practical than leasing. Permanent equipment is defined as nonexpendable personal property costing \$5,000 or more and having a useful life of more than one year.

Consistent with the Buy American Act (41 U.S.C. 10a-c and Public Law 105-277), grantees and subrecipients who purchase equipment and products with grant funds should purchase only American-made equipment and products.

10. Appendices

Use appendices to provide

- a. a work plan;
- b. sample materials and reports;

- c. comparative offers for work to be outsourced (for example, to private firms for digitization work);
- d. brief résumés (no longer than two pages) for staff with major responsibilities for the project's implementation and for consultants to the project;
- e. job descriptions for any additional staff who will be hired specifically to work on the project; and
- f. letters of commitment from outside participants and cooperating institutions, as well as letters of support (if provided).

HOW TO SUBMIT YOUR APPLICATION

The **U.S. partner** must submit the application 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](#).

The **German partner** must mail the signed application to the Deutsche Forschungsgemeinschaft, z. Hd. Christoph Kümmel, Kennedyallee 40, 53175 Bonn. The German partner should also send a digital version of the application as a PDF via e-mail to christoph.kuemmel@dfg.de.

Deadlines

Applications submitted by **U.S. partners** must be received by Grants.gov on or before **September 25, 2014**. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after that date will not be accepted.

Applications submitted by **German partners** must be received by the Deutsche Forschungsgemeinschaft in hard copy and as an attachment to an e-mail message to Christoph Kümmel on or before **September 25, 2014**. Applications submitted after that date will not be accepted.

V. Application Review

Reviewers will be asked to apply the following criteria in assessing applications.

- **Project Aims:** the project's intellectual contribution, including how it will contribute to research in the humanities.
- **Project Plans:** the project's methodological soundness, including its adherence to accepted standards and professional practices; the viability, efficiency, and productivity of the project, including its staffing and equipment, as indicated by the work plan; the quality and soundness of the sustainability and data management plans; the qualifications of the project's staff; and the appropriateness of the project's budget.
- **Partnership:** the degree to which the proposal demonstrates the willingness of the institutions to work in an international partnership, and the potential for an extended partnership beyond the funding period.
- **Open Access and Dissemination:** the project's plan for providing access to grant products and disseminating project outcomes.

All other considerations being equal, preference will be given to projects that provide free online access to digital materials produced with grant funds.

Review and selection process

Each proposal submitted to NEH and DFG will be evaluated by at least two independent reviewers. A panel of peer reviewers will be selected jointly by NEH and DFG. Reviewers will read each application and advise NEH and DFG about the application's merits. DFG and NEH staff will comment on matters of fact or on significant issues that otherwise would be missing from these reviews and then will jointly prepare recommendations to the DFG Scientific Library Services and Information Systems Committee and the National Council on the Humanities.

The NEH Chairman takes into account the advice provided by the review process (on the basis of the recommendations formulated by the joint DFG/NEH panel) and the National Council on the Humanities and, by law, makes all final NEH funding decisions. The DFG Joint Committee takes into account the advice provided by the review process (on the basis of the recommendations formulated by the joint DFG/NEH panel) and the DFG Scientific Library Services and Information Systems Committee and, by DFG statutes, makes all final DFG funding decisions. DFG and NEH will notify applicants in March 2015 whether proposals have been funded.

VI. Award Administration Information

Information for U.S. Partners

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, an applicant organization must maintain current information in its Entity record in the System for Award Management (SAM), which now administers the former Central Contractor Registry (CCR). 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.

Award notices

Applicants will be notified by e-mail of the decision in March 2015. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail in April 2015. Applicants may obtain the evaluations of their applications by sending an e-mail message to odh@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.

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](#).

A white paper will be required and will be due within ninety days after the end of the grant period. This white paper should document the project, including lessons learned, so that others can benefit. This white paper will be posted on the NEH website.

Information for DFG Partners

German partners are encouraged to review the [DFG Guidelines for the Use of Funds and for the Final Report \(form 2.01, Verwendungsrichtlinien\)](#) (PDF) for award administration information specific to institutions in Germany.

VII. Points of Contact

If you have questions about the program, contact:

NEH Contact for U.S. Partners

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

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:

http://www.grants.gov/applicants/app_help_reso.jsp

Grants.gov support line: 1-800-518-GRANTS (4726)

Grants.gov [troubleshooting tips](#)

DFG Contact for German Partners

Dr. Christoph Kümmel

Scientific Library Services and Information Systems (Wissenschaftliche Literaturversorgungs-
und Informationssysteme LIS)

Tel. +49 (228) 885-2857

Christoph.Kuemmel@dfg.de