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Appalachian Colleges Collaborating for Equity

Planning Your Funding Roadmap Workbook

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Planning Your Funding Roadmap

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Meet Your Presenter

- Natalie Sweet, Executive Director of the Office of Research, Grants, and Sponsored Programs at Lincoln Memorial University
- PI/PD experience: Appalachian College Association, Gilder Lehrman Institute, the White House Historical Association, Humanities Tennessee (an affiliate of the National Endowment for the Humanities), East Tennessee Foundation, the Tennessee Arts Commission, and South Arts
- Grants management highlights: Health Resources and Services Administration, the United States Department of Agriculture, Appalachian Regional Commission, National Institute of Standards and Technology

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Meet Your Facilitators

Beth Rushing, President, Appalachian College Association

- Received funding from the Canadian Embassy, National Science Foundation, National Endowment for the Humanities, Appalachian Regional Commission, Arthur Vining Davis Foundations, Mellon Foundation, Ohio Urban Universities, Campus Compact, and the National Institutes of Health.

Alexa Arndt, Project Director, Appalachian College Association

- Experience in funding research, million-dollar budget proposals, and literature reviews.

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Overview of Workshop: Day 1

9am-1pm

- Introduction
- Breakout: Reflecting on Your Opportunity
- Roles and Responsibilities
- What’s in an RFP (Request for Proposal)?

2pm-5pm

- Using the Logic Model to Kickstart Your Planning
- Breakout: Planning for Your Application
- Conveying Need: Crafting the Grant Narrative

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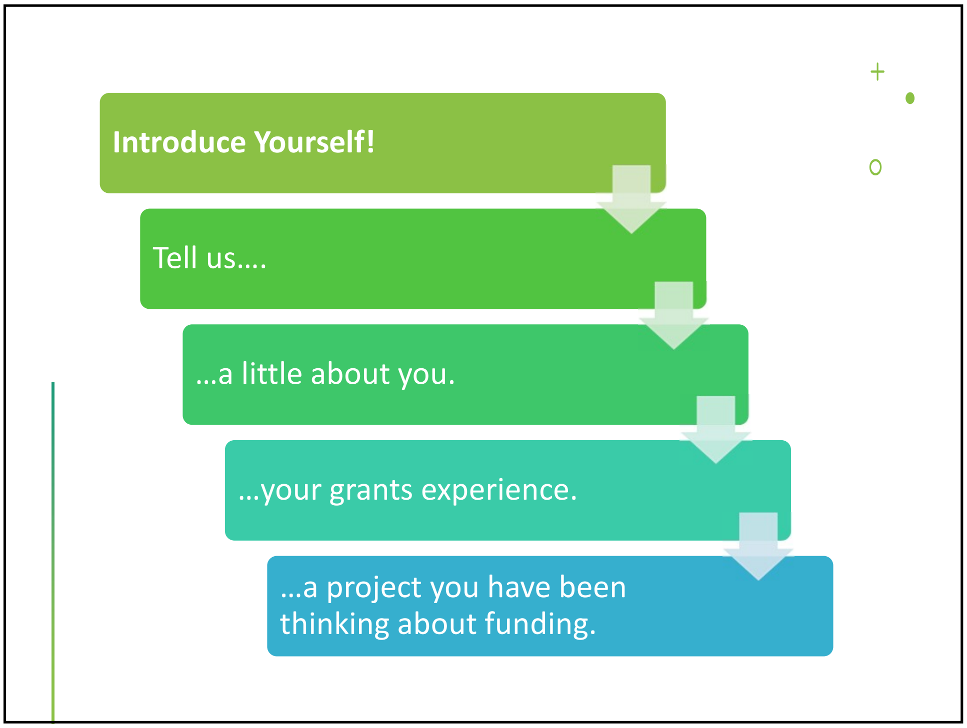
Introduce Yourself!
Tell us….
…a little about you.
…your grants experience.
…a project you have been thinking about funding.

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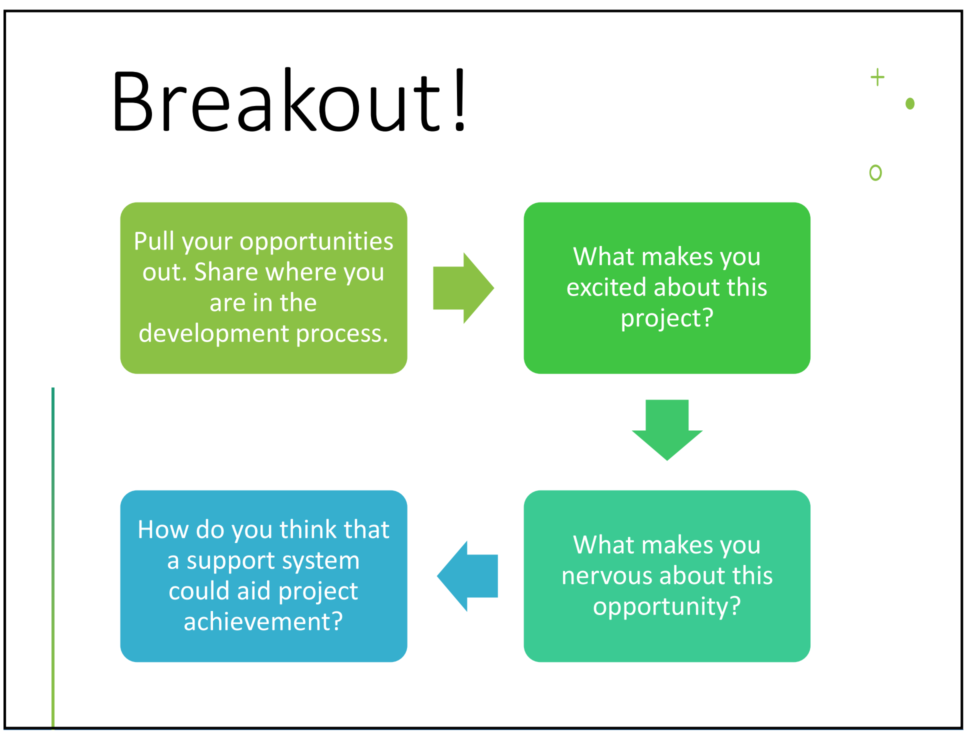
Breakout!
Pull your opportunities out. Share where you are in the development process.
What makes you excited about this project?
What makes you nervous about this opportunity?
How do you think that a support system could aid project achievement?

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Grant Roles and Responsibilities

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Introduction to Grants Administration

Grant application, authorization, and management is a team effort. It includes individuals who…

- …can write the application.
- …formulate a budget.
- …formally accept a grant on your institution's behalf.
- …run the project.
- …financially manage the project.
- …keep you in compliance with the sponsor's requirements.

It is important to identify individuals within your institution who can serve as checks on your project.

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The Primary Investigator/Project Director

Sometimes shortened to the "PI" or "PD."

While the institution will formally accept a grant, it is the PI/PD who acts as the grant's steward.

The PI/PD is responsible for…

…conducting the research and/or project.	…submitting reports required by the sponsor.	…compliance with the sponsor's requirements.

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Co-Investigators and Co-Directors

- Grants can have multiple Primary Investigators/Project Directors attached.
- PIs/PDs equally share responsibility for the overall success of the project in the sponsor's eyes.
- Multiple PIs/PDs can minimize the stress of running a larger grant.
- Not everyone who will be a part of a grant must be identified as a Co-PI or Co-PD – only those who will share responsibility in its direction should be named as such.

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The Grant Writer

Responsibilities
- Prepares proposals and conducts research to align the mission of the sponsor with that of potential project

Skills Required
- Time management
- Editing
- Crafting a compelling narrative/storytelling
- Targeting the requirements of an RFP/NOFO

Importance in the Grant Process
- Some PIs/PDs have a vision but need assistance in translating that vision to a written form.
- Grant writers are also useful for reviewing what a PI/PD has written.

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The Administrative Manager(s)

Responsibilities
- Assists in award and reports submissions, reviewing award requirements, obtaining the signatures of those who can authorize acceptance of an award, and in keeping track of a project timeline.

Skills Required
- Time management
- Organization
- Calendar keeping
- Communication

Importance in the Grant Process
- Aids the PI/PD with the minutiae of an award – keeps items from falling between the cracks.
- If you have a grants office at your institution, this body assists in this role.

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The Financial Manager(s)

Responsibilities

- Assists in financial review both pre- and post-submission, approving expenditures in line with the approved budget, and prepares and submits financial reports.

Skills Required

- Time management
- Budgeting
- Financial knowledge and system access
- Communication

Importance in the Grant Process

- **Acts as a check on the use of granted funds**.
- If you have a grants office at your institution, this body assists in this role. If you do not, you will want to speak with the financial officer at your institution to identify this individual.

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The Compliance Officer

Responsibilities

- Carefully reviews award requirements and contracts both before submission and throughout the life of an award to act as a guide to the PI/PD. Can assist in the negotiation and set-up of contracts.

Skills Required

- Analysis
- Negotiation
- Communication skills
- Knowledge of federal and state awards guidance

Importance in the Grant Process

- Minimizes the risk of taking on a sponsored award.
- If you have a grants office at your institution, this body assists in this role. If you do not, you will want to speak with the legal officer at your institution to identify this individual.

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The Communications Liaison

Responsibilities	Skills Required	Importance in the Grant Process
• Publicly promotes knowledge of the institution's receipt of an award – many sponsors require or request evidence of public promotion.	• Recognizes impact opportunities • Team player with the institution's public relations team • Ability to tell a compelling story	• Critical to working with an institution's public relations team • Ensures public recognition of the relationship between the sponsor and the institution • Can lead to continuing partnerships and future awards.

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The Authorized Official

- Is legally authorized to commit the institution to contracts or other forms of agreement.
- May be the President, Chief Financial Officer, Chairman of the Board, or Grants Executive Director of an institution.
- Consult your institution's policies to identify this individual.

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Collaboration and Teamwork

Identify a grants team at your institution before you apply for a sponsored award. This support network ensures…

Easing the burden of labor.	Staying in compliance.	Sound financial management.

Collaboration will lead to success in award application and management…and that translates to future awards.

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What's In an RFP/NOFO?

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What is an RFP/NOFO?

A Request for Proposals (RFP) and a Notice of Funding Opportunity (NOFO) are documents issued by a grant sponsor to solicit proposals from potential applicants for a specific project.

These documents serve as a tool for a sponsor to gather detailed information and competitive applications from qualified parties.

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Understanding the RFP/NOFO Document from the Sponsor's Point of View

Mission-focused.

Encourages innovative ideas and solutions from diverse sources.

Invites collaboration across departments, universities, or systems in the hopes of creating novel approaches to a problem.

Plays a crucial role in mobilizing resources, fostering collaboration, and driving innovation.

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Clarifying Expectations

Hundreds of applicants can answer a call. Paying close attention to the RFP/NOFO is crucial to not being eliminated from consideration early in the process.

The RFP/NOFO will include a…

Scope of Work (Your "Roadmap")	Requirements ("Rules of the Road")	Submission Guidelines ("Driver's Handbook")	Evaluation Criteria (The "Driver's Test")

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Review Your Sponsor

It is important to understand the sponsor's needs and expectations.

- ***Remember:*** *The successful applicant is not the one who simply explains how the grant will benefit them. Rather, it is the applicant who effectively communicates how awarding the grant to them will* ***enable the sponsor to fulfill their own mission****.*

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Reviewing Your Opportunity

- Techniques for interpreting and analyzing RFP/NOFO requirements:
  - Read carefully
  - Highlight key information
  - Break down requirements
  - Create checklists
  - Clarify ambiguities with Program Officer
  - Cross-reference with agency guidelines
  - Consider context and objectives of your sponsor
  - Review previous awards

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Formatting and Submission Guidelines

- Some sponsors - particularly some federal sponsors - have formatting guidebooks that are separate from the NOFO/RFP.
- These guidelines must be followed. By doing this, you…
  - …demonstrate compliance and professionalism.
  - …show respect for the sponsor's time.
  - …ensure that your project will be reviewed – careless errors can lead to projects being tossed before the content is considered

Bottom Line: Sponsors will wonder if you cannot follow the RFP/NOFO, can you mange a sponsored project that is potentially worth thousands of dollars?

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Stand Out!

Competition means that you need to make your proposal stand out.

- Strategies for customizing your proposal to meet RFP requirements:
  - Tell a compelling story.
  - Highlight where the project fits in both the sponsor's mission and your institution's mission.
  - Showcase expertise, experience, facilities, and equipment
  - Provide clear and measurable outcomes.
  - Draft a communication plan that fits with the RFP/NOFO.
  - Acknowledge potential challenges – and show that you have a mitigation plan.
  - Highlighting your unique selling points – where can you show innovation and creativity?

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Leverage the RFP/NOFO to Find the Program Officer's Contact Information

The RFP/NOFO includes the Program Officer's name, mailing address, email, and phone number.

It is important to seek feedback and clarification during the application process. Program Officers…

…know a funded opportunity's goals.	…know guidebooks inside-out.	…can see where a potential project fits into the overall picture of the sponsor agency.	…will sometimes offer a review period before a project receives final review.

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Does the Program Officer Evaluate My Submission?

- While your Program Officer helps answer questions about the RFP/NOFO, they will not evaluate your submission.
- Many sponsors utilize panels of independent experts in a field to rank or scale projects based on a rubric.
- Some RFPs/NOFOs include the rubric. If a rubric is included…
  - Carefully review it.
  - Share the full RFP/NOFO and rubric with colleagues who will help you review your submission.

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You've Got This!

- If you have followed the RFP/NOFO, take confidence – following directions is 90% of the struggle!
- Confidently submit your proposal ***after*** internal review by other parties of both your RFP/NOFO and your proposal.

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Get Their Attention: Creating a Letter of Intent

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What is a Letter of Intent (LOI)?

Some sponsors request a Letter of Intent (LOI)

These serve several purposes. These allow sponsors…

- …to quickly assess whether an applicant's project aligns with their funding priorities and objectives.
- …to gauge an institution's capacity to undertake the proposed project.
- …to gain early insights into the types and number of applications that they can expect.
- …to establish relationship with potential grantees.

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Show What You Know

This is your first chance to demonstrate to the sponsor that you understand their mission.

It is also your first opportunity to demonstrate how your project aligns with the funder's priorities and guidelines.

Revisit the RFP/NOFO – while you will not have to go into extreme detail in your LOI, highlighting key points from these documents can help you stay on track in your LOI response.

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Structure of the Letter of Intent

An LOI should be carefully constructed to get your point across in one page

This takes…

- …an introduction where you briefly introduce your organization and project
- …a body where you clearly articulate your project's objectives, methods, and expected outcomes.
- …a conclusion where you express gratitude and willingness to provide further information.

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Questions to drive your LOI's argument

- What is the problem that you hope to address?
- Why does this problem need to be addressed now?
- What is your solution to the problem?
- Why are you the one who must address the proposed solution?
- How is the sponsor the ideal partner for this solution?

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Writing Tips

A compelling LOI should be carefully edited to meet its goals of detailing the nucleus of a proposed project.

The writing should be…

- …clear.
- …concise.
- …properly formatted.

Some sponsors will request that an LOI be mailed to an office, while others will provide a form for submission. Avoid assumptions that a form invites a casual LOI.

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Submission

Pay close attention to the invitation for the LOI to determine how the sponsor requires the LOI to be submitted.

Meeting deadlines is important – this is your first opportunity to demonstrate your time management skills.

This is also the initiation of your communication with the sponsor – for some sponsors, this initiates an informal period of communication.

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Tips for communication with the sponsor

Personalize	Ask	Show
Personalize your approach • Program Officers are people, too! • Reference specific aspects of their organization or previous grants they've awarded – this shows your genuine interest and attention to detail.	Ask questions at any point in the LOI process. • This shows your interest and commitment to understanding their requirements.	Show gratitude • Express gratitude for the opportunity to apply for funding and for any assistance or guidance provided by the sponsor. A polite and appreciative tone can help foster a positive relationship.

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The Logic Model: Mapping Your Proposal

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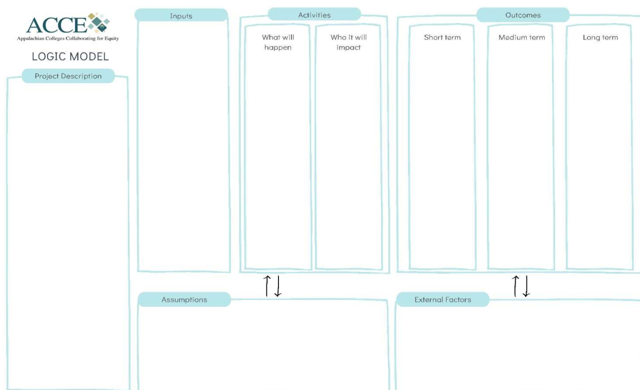
Logic Model Tool



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Elements of a logic model

- Resources or Inputs
- Tasks or Activities
- Results or Outputs
- Short-term Outcomes
- Medium-term Outcomes
- Long-term Outcomes or Impact

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Resources

- Existing or new staff
- Equipment
- Supplies
- Physical Space
- Advisory Board
- Partners
- Experts
- Funding

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Tasks or Activities

What will you DO as part of this project?

- Research study
- Training or education
- Recruitment
- Provide an intervention
- Develop new partners
- Collect data
- Replicate other projects
- Disseminate results

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Outcomes

What changes do you expect to achieve?

Short-term:	Medium-term:	Long-term:
1-3 years Attitudes, knowledge, skills	4-6 years Attitudes, knowledge, skills, behaviors	7-10 years Organizational, community, system level changes

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Conveying Need: Crafting the Grant Narrative

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Crafting the Grant Narrative

Shake-up the framework: It's not about what the sponsor will do for you, but about what you will do for your sponsor when they invest their dollars into your project.

This takes…

- …compelling storytelling.
- …facts and research.
- …a clear vision.

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Give Your Audience the Executive Summary

The executive summary is a brief overview of the project – sometimes casually referred to as the "elevator pitch."

Your key objectives and expected outcomes should be listed here.

Your goal is to engage the funder's interest to the start – much like we advise our students to capture the reader's interest at the beginning of an essay, the same approach should be taken here.

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Statement of Need

1. Identify the problem or opportunity
2. Provide relevant data and statistics
3. Demonstrate the significance and urgency of the project

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Goals and Objectives

- Create clearly defined goals
- Create SMART outcomes that address the identified need
  - Specific
  - Measurable
  - Achievable
  - Relevant
  - Time-bound

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Methodology – How will you get the job done?

Describe	Describe the project activities
Explain	Explain how the goals will be achieved
Highlight	Highlight innovation and unique approaches

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Project Sustainability – Questions to Address

How will you ensure long-term impact?	Detail your plans beyond the grant period.
What happens when the grant period is over?	Share your strategies for continued funding or resource. Avoid listing future grants support for continued funding – grants are never guaranteed.

How will this project be integrated with existing programs or systems at your institution?

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- Evaluation Plan – How do you know that your project has an impact?
- What are the indicators that your project is succeeding?
  - Establish your metrics for success.
- How will you monitor the progress of the project?
  - Outline your methods.
- What tools will you use to measure and monitor progress?
  - Outline evaluation tools and create a timeline of how frequently you will

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Organizational Capacity: Show Them That You've Got This

Highlight	Highlight your team's experience and expertise.
Describe	Describe existing partnership that may be beneficial to your project.
Detail	Detail the unique resources and equipment that make your team ready to take on the project.
Demonstrate	Demonstrate your ability to successfully execute the project.

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Conclusion and Call to Action

- Summarize the key points of your narrative
- Reiterate your need for funding support from the sponsor
- Encourage further engagement or discussion
  - What will completing this project poise you to do in the future?
  - How might it inspire others?
  - What will it add to collective knowledge?

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Final Thoughts

- A compelling narrative can be the difference between a sponsor seeing your project as “good” or “great.”
- Always thank the sponsor for their consideration.
- Utilize the narrative to create ongoing funding opportunities between yourself and the sponsor – even if this project is not a fit, showing your passion can keep you in their mind for future opportunities.

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Takeaways from Day 1

Know	Know who to ask for help.
Follow	Follow the instructions listed in the RFP/NOFO.
Plan	Plan your steps and your responses – then let your passion come through in your narrative.

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Overview of Workshop: Day 2

9am-12pm

- Budgets and Budget Narratives
- Know Yourself, Know Your Institution, and Know Your Sponsor
- Case Studies: Application Review

1pm-2pm

- The Waiting Game: What to Do While You Wait for a Decision
- You're Funded! Next Steps
- Not Accepted, But Not Out: Resubmitting Your Application
- Final Discussion and Questions

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Budget: Navigating the Numbers (And the Acronyms!)

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Importance of a Well-Planned Budget

- A well-planned budget…
- Clearly delineates how grant funds will be utilized
- Allocates resources strategically to achieve project goals.
- Allows for adjustments in resource allocation based on evolving project needs and external factors
- Demonstrates accountability to grantors and stakeholders by adhering to budget guidelines and regulatory requirements.
- Promotes long-term project sustainability by allocating funds for ongoing maintenance, capacity building, and stakeholder engagement.

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Craft Your Project Scope

- Refers to the detailed description of all the work that needs to be accomplished to successfully deliver a project. It outlines…
  - **Objectives:** Clear, measurable goals that the project aims to achieve.
  - **Deliverables:** Tangible outcomes or results produced by the project.
  - **Requirements:** Specific features, functionalities, or criteria that the deliverables must meet.
  - **Constraints:** Limitations or boundaries that may impact the project, such as budget, time, resources, or regulations.
  - **Assumptions:** Factors or conditions considered to be true for planning purposes but may change during project execution.

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Personnel Costs

Refers to the base salaries for project staff.

Fringe Benefits are employee compensations such as health insurance, life insurance, tuition assistance, childcare reimbursement, etc.

- Your HR and/or Finance staff can help you determine your institution's average percentage.

Justify personnel expenses based on roles and responsibilities.

- The "percentage of effort" is the amount of time spent on any activity.

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Example

Jane receives a base salary of $80,000. She is on a 12-month contract.

The fringe rate at her institution is 28%, or $22,400.

She is submitting a grant application where she needs to devote 10% of effort over a given year.

In her application, she will request $8,000 + $2,240, or $10,240.

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Direct Project Expenses

- Direct costs are the costs of an award that directly support a project. These include…
  - …Supplies and Materials
  - …Equipment
  - …Travel and Transportation Costs
  - …Subcontracts and Consultants

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Indirect Costs

Indirect costs are the "hidden" costs of a project. In other words, they are not easily identifiable, but are still needed to support a project.

Sometimes referred to as "F&A" or "Facilities and Administration" costs.

These include…

- …overhead and administrative expenses
- …facilities, utilities, and administrative staff
- …depreciation

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Indirect Costs Continued

Some institutions have federally negotiated rates for on-campus and off-campus project.

Contact your grants or finance office to learn your indirect rate and policy.

- Example: Lincoln Memorial University's is 32.2% for on-campus research, and 12.2% for off-campus research.

Total Direct Costs: All Direct Costs

Modified Total Direct Costs: Salaries, fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each subaward.

- **DOES NOT** include tuition/scholarships, equipment capital expenses, rental costs, charges for patient care.

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Example

Jane is submitting a grant that requests	Her Indirect Cost Rate is 32.2%.	How much should she request in indirect costs?
• $8,000 in salary • $2,400 in fringe benefits • $2,000 in supplies • $10,000 in equipment • $2,000 on travel.		

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Example

- Calculate MTDC. Then, calculate indirects.
  - $8,000 in salary
  - $2,400 in fringe benefits
  - $2,000 in supplies
  - $10,000 in equipment
  - $2,000 on travel

= $24,400 - $10,000 (Equipment)

- = $14,400 x .322
- (Indirect rate)
- =4,636.80 (Indirect costs)

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Budget Justification: The Budget Narrative

- Provides a detailed explanation of each budget line item
- Organized by category (personnel, fringe, supplies, etc.)
- Demonstrates need and impact
- Aligns expenses with project activities

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Matching Funds

Are funds provided by one party on the condition that an equivalent amount is contributed by another party.

Sometimes required, sometimes not. Why might a sponsor request these?

- To enhance sustainability
- To ensure commitment

Example: A 1:4 match on a grant means that the sponsor will contribute $400 in response to a grantee contributing $100.

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In-Kind Contributions

- This is the assigning of a monetary value to non-cash contributions.
- Valuing and Documenting In-kind Support
  - **Determine Fair Market Value:** This is the price that the contribution would typically fetch in an open market transaction between knowledgeable, willing parties
  - **Gather Documentation:** Collect any documentation or evidence that supports the valuation of in-kind contributions. This may include invoices, receipts, quotes, or wage rates for similar services.
  - **Document Methodology:** This helps ensure transparency and accountability when reporting to sponsors
  - **Report Consistently:** Consistently apply the chosen valuation method across all in-kind contributions to maintain accuracy and consistency in reporting.

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Review and Revision

- Seek feedback from colleagues
- Do not submit your budget without a member of your grants or finance team confirming your budget numbers.
- Adjust your budget as needed based on feedback and changes in project scope.
- Questions?

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Know Yourself, Your Institution, and Your Sponsor

Natalie Sweet

Executive Director, ORGSP

Lincoln Memorial University

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The Curriculum Vitae

A curriculum vitae (CV) is a comprehensive document that provides an overview of an individual's….

- Education
- Academic qualifications
- Work experience
- Skills
- Professional accomplishments

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The Biosketch

Also known as a biographical sketch or professional biography, is a summary of an individual's professional background, accomplishments, and areas of expertise

Provides a **concise** overview of the individual's qualifications and experience, often **highlighting key achievements and contributions relevant to a specific context or audience.**

Should include

Identifying information.	Organization and location.	Professional preparation.	Appointments and positions.	Products.	Synergistic activities.

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Get to Know SciENcv!

Science Experts Network Curriculum Vitae

https://www.ncbi.nlm.nih.gov/sciencv/

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Conciseness and Clarity: Key to Both Documents

Conciseness and clarity are key to both biosketches and CVs.

- Most sponsors request only a few pages at most, and sometimes, only one page.

Never use the same CV twice – keep it updated to show why you are uniquely qualified to tackle a project.

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Know Your Institution

- Institutions have various policies and procedures for submitting grants.
  - These can range from hands-off to controlled.
- Increasingly, smaller institutions are taking a stronger role in managing the grant process to mitigate risk.
- This is especially true for federal grants, which much abide by the rules set in 2 CFR 200
  - https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1

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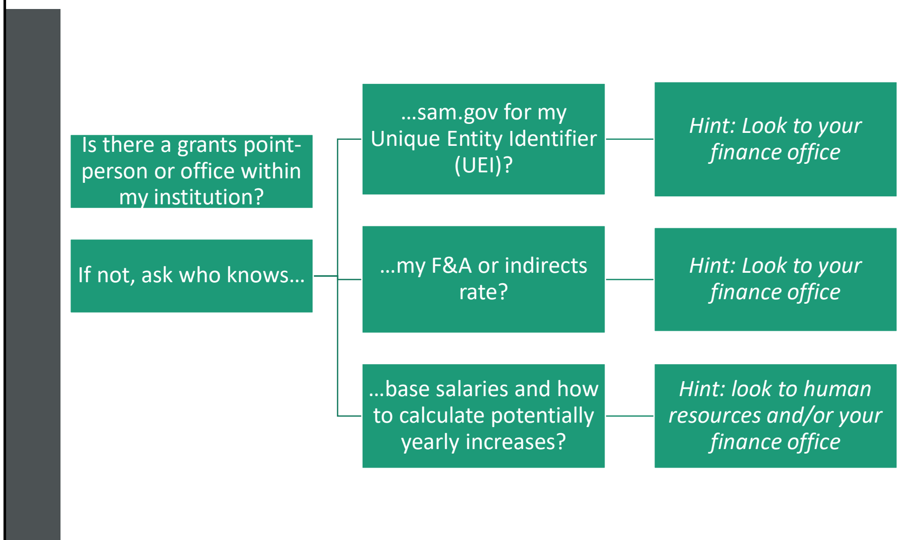

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Who can…

…verify a cost match?

- *Hint: Look to your chief financial officer*

…verify we have the policies in place to accept a grant?

- *Hint: Look to your legal office or vice presidents*

…authorize my grant award?

- *Hint: It could be your grants officer, but it is likely your President or another high-ranking official or board member at your institution.*

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Who do I talk to…

- **If my research involves human research?**
  - Funded projects must undergo review by your Institution's Institutional Review Board (IRB).
- **If my research involves animal research?**
  - Funded projects must undergo review by your Institution's Institutional Animal Care and Use Committee (IACUC).
- **If my project includes biological and chemical materials, material transfer agreements, memorandums of understanding, or exports?**
  - Begin with the legal consult at your University if you do not have a grants office. Your institution may have a biological safety committee, an export controller, or another research assistant who can aid you in answering these questions.

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Know…Their Reputation and Track Record

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Know Your Sponsor's Mission

- Understand the sponsor's mission
- Know their primary focus areas.
- This helps you align your proposal with their goals, increasing the likelihood of success.

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Know…Their Funding Cycle

- When do they…
- …typically release grant opportunities?
- …make funding decisions?
- Align your application timeline accordingly.

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Know....Their Grant Types and Programs

FAMILIARIZE YOURSELF WITH THE TYPES OF GRANTS AND PROGRAMS OFFERED BY THE SPONSOR.

DETERMINE WHICH GRANT OPPORTUNITIES BEST MATCH YOUR PROJECT OR ORGANIZATION'S NEEDS.

KEY: NOT EVERY PROJECT FITS EVERY PROGRAM!

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Know...Their Eligibility Criteria

Review the sponsor's eligibility requirements carefully to ensure your organization and proposed project meet their criteria.

Note considerations such as...

- Geographic location
- Nonprofit or institutional status
- Project scope

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Know…
Their Application Process

- The application process includes
- Deadlines
- Submission requirements
- Specific instructions
- Formats required
- Who can submit a grant on the institution’s behalf (as is the case with grants.gov)

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Know…
Their Evaluation Criteria

- Learn how the sponsor evaluates grant proposals.
- Understanding the criteria used for review helps you tailor your proposal to address key areas of importance to the sponsor.
- Search for…
  - Sample Projects
  - Rubrics

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Know…
Their Communication Channels

Identify appropriate communication channels with the sponsor.
This can include…

Email	Phone	Online portals

Establishing clear lines of communication can help address any questions or concerns during the application process.

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The Waiting Game: What to Do While You Wait for a Decision

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Maintain Communication

Stay in contact with the grant funder or sponsoring organization for updates on the review timeline and any potential announcements.

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Manage Expectations

Understand that waiting for grant news can be a lengthy process. Manage expectations within your team and maintain a positive outlook.

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Plan for various outcomes

PREPARE FOR BOTH ACCEPTANCE AND REJECTION SCENARIOS.

DEVELOP CONTINGENCY PLANS FOR HOW TO PROCEED BASED ON THE GRANT DECISION.

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Continue Project Planning

Use the waiting period to further refine…

- Project plans
- Budgets
- Timelines

Ensure readiness for immediate action upon grant approval.

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Maintain Communication

- Explore additional grant opportunities or funding sources that align with your organization's mission and project goals.
- Engage with peers, partners, and stakeholders to explore potential collaborations or partnerships that could enhance your project's impact.
- Invest time in professional development activities such as training, workshops, or conferences relevant to your project or field.
- Continue outreach efforts to build community support, gather feedback, and raise awareness about your project or organization.

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Stay Informed

- Stay informed about relevant developments in your field, industry trends, or policy changes that may impact your project.

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Practice Self-Care

Take care of your well-being during the waiting period.

Manage stress levels, prioritize self-care activities, and seek support from colleagues or mentors.

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You're Funded! Next Steps

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Celebrate and Share the News

Take a moment to celebrate your success and share the news with your team, colleagues, and stakeholders who contributed to the proposal's success.

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Review Grant Award Letter

- Carefully review the grant award letter or notification to understand the grant's
- Terms,
- Conditions
- Expectations

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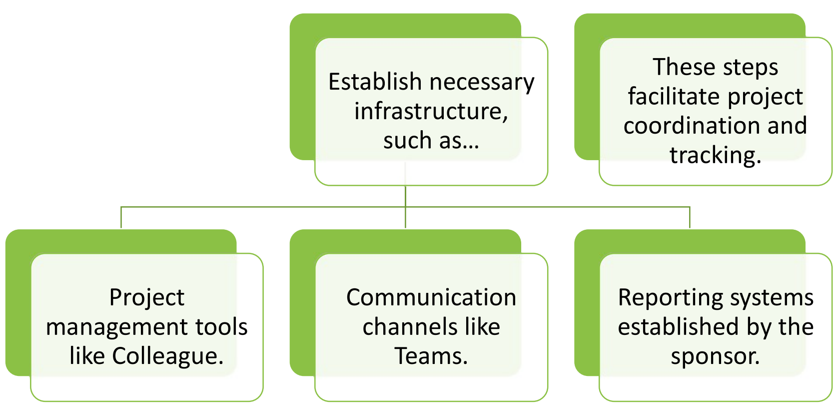
Review Project Timeline and Initiate

- Review the project timeline outlining…
  - Key milestones
  - Deliverables
  - Deadlines
- By accepting a contract, your institution ensures efficient project implementation – based on the narrative and budget that you provided to the sponsor.
- Follow the plan: responsibilities, communication protocols, and decision-making processes outlined in your management plan should be followed.

109

Set Up Project Infrastructure



110

Initiate Project Kickoff Meeting

Schedule and conduct a project kickoff meeting with key stakeholders to introduce the project, clarify objectives, and align expectations.

111

Set Up Financial Management

Review and finalize the project budget, ensuring alignment with funding guidelines and requirements.

Establish procedures for financial management and reporting.

Speak with your grants or finance office to determine…

Where funds should be sent.	To whom funds should be sent.	When funds should be sent.	How funds should be sent.

112

Secure Necessary Resources

Secure any additional resources, such as equipment, personnel, or partnerships, needed to successfully execute the project.

113

Communicate with Sponsor

- Maintain open communication with the funding agency or organization, providing updates on…
- Project progress
- Challenges
- Achievements.

114

Monitor and Evaluate Progress

Implement your monitoring and evaluation plan to track project progress, measure outcomes, and assess impact throughout the grant period.

115

Report and Disseminate Results

Prepare regular progress reports and deliverables as outlined in the grant agreement.

Disseminate project results and lessons learned to relevant stakeholders and the wider community.

This is where a communication plan is critical – sponsors want to see that you are getting their name out there!

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Not Accepted, But Not Out: Resubmitting Your Application

117

Reflect on Feedback

- Grant proposal rejections happen. It does not feel good, but it should not stop you from applying again.
- The bigger the grant, the greater the possibility that you will encounter this cycle.
- Grant seeking is a cycle of resilience and persistence.

118

- Assess and Adapt

Review the feedback given.

What did the reviewers see as the strengths?

What did the reviewers see as the weaknesses?

Determine necessary adjustments for future applications.

If you received a score, request feedback on the average score of projects that received funding.

Take advantage of offers by the potential sponsor to chat about your application.

119

Seek Additional Funding Opportunities

Explore other grant programs and funding sources.

Is there a better funding fit elsewhere?

Reassess whether to resubmit to the same sponsor or weigh the merits of trying a new sponsor.

120

Make the Narrative Do Double Duty

- Narratives can take significant work on the part of the submitter.
- Some applicants recycle applications as articles for publication, particularly if a great deal of research went into crafting the submission.

121

Collaborate and Network

Engage	Engage with peers and colleagues in your field about the feedback.
Receive	Receive their advice on other funding opportunities.
Seek	Seek collaborative partnerships for future proposals.

122

Develop a Timeline for Resubmission

Establish clear deadlines and milestones for revising and resubmitting proposal.

Allocate sufficient time for…review, revision, and improvement.

123

Stay Positive and Persistent

Acknowledge setbacks as learning opportunities.

Maintain a positive attitude and persevere in pursuing funding for your projects.

Questions?

124

Takeaways from Day 2

- Grant budgets demonstrate your organizational and management skills and are a team effort.
- Know your institution, yourself, and your potential sponsor and be able to communicate that knowledge for the best opportunities at achieving awards.
- You can do this – whether your first application is accepted or rejected, grant application skills are valuable assets for today's higher education faculty and staff.

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Worksheets and Helpful Links to Get Your Search Started

Funding Opportunity Examples

ACA Faculty Fellowships: https://www.acaweb.org/fellowships

Foundation Opportunities

Foundations can offer funding for a variety of projects, from research, to education, to program development. For example, at the East Tennessee Foundation, you will find opportunities for childhood cancer studies, Alzheimer's research, art programming, and environmental conservation.

East Tennessee Foundation: https://easttennesseefoundation.org/nonprofits/grants-we-offer/

Bluegrass Community Foundation: https://www.bgcf.org/grant-opportunities/

State Opportunities

State governments have a variety of opportunities, but so do state organizations that receive flow-through funds from federal affiliations. Below are a few examples.

North Carolina: https://www.nc.gov/your-government/all-nc-state-services/grant-opportunities

Georgia: https://opb.georgia.gov/active-grant-programs

Virginia Humanities: https://virginiahumanities.org/grants/

West Virginia Higher Education Policy Commission: https://www.wvhepc.edu/grant-opportunities/

Kentucky Arts Council: http://artscouncil.ky.gov/KAC/Applications.htm

Regional Opportunities

Appalachian Regional Commission: https://www.arc.gov/grants-and-opportunities/

South Arts: https://www.southarts.org/grants-opportunities

Federal Opportunities

Grants.gov

National Science Foundation: https://new.nsf.gov/funding/opportunities

National Institute of Health: https://www.nih.gov/grants-funding

National Endowment for the Humanities: https://www.neh.gov/grants

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Grant Brainstorming

Project I would like to fund

Estimated cost

$0-$10,000

$10,001-$50,000

$50,001-$150,000

$150,001 and up

3 Goals for the Project

1. ______________________________
   ____
2. ______________________________
   ____
3. ______________________________
   ____

Notes:

3 Outcomes for the Project

1. ______________________________
   ____
2. ______________________________
   ____
3. ______________________________
   ____

Notes:

Ideas to Actions

Drop ideas here to later shape them into action steps

Ideas & Thoughts

Action Steps

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Grant Team Worksheet

Primary Investigator/Project Director:______________________

Email:____

Co-Investigator:______________________________________

Email:____

Co-Investigator:______________________________________

Email:____

The Grant Writer:_____________________________________

Email:____

Financial Manager:____________________________________

Email:____

Administrative Manager:_______________________________

Email:____

Compliance Officer:___________________________________

Email:____

Communications Manager:______________________________

Email:____

Authorized Official: __________________________________

Email:____

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RFP Response Tool

RFP:________________________

Due Date:___________________

Budget:___________________

Contact:____________________

Email:____________________

Phone:____________________

Project Goals

1.
2.
3.
4.
5.
6.

Scope of Work (in detail)

Current Barriers to Success

1.
2.
3.
4.
5.
6.

Evaluation Metrics and Criteria

1.
2.
3.
4.
5.
6.

Submission Requirements

1.
2.
3.
4.
5.
6.

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LOGIC MODEL

Project Description

Inputs

Activities

What will happen

Who it will impact

Outcomes

Short term

Medium term

Long term

Assumptions

External Factors

Budget Justification Template
Page Limit – 5 Pages. A .doc or .docx of this template is available by request from ORGSP.

Red Font indicates where you should fill in blanks/make changes.

Green Font indicates notes or references for guidance when drafting.

Budget Justification

A. Senior Personnel ($ XXX)

[Insert Name] will serve as the Principal Investigator on the project. We have budgeted [Insert amount of time budgeted] in each year of the project for his/her/their time. Dr. [Insert Name] will be responsible [Insert]. (Includes an estimated annual salary increase of 3%)

[Insert Name] will serve as Co-Principal Investigator on the project. We have budgeted [Insert amount of time budgeted] in each year of the project for his/her/their time. Dr. [Insert Name] will be in charge of [Insert]. (Includes an estimated annual salary increase of 3%)

Repeat Paragraph #2 for each CoPI on the grant.

[Insert Name] will serve as Senior Personnel on the project. We have budgeted [Insert amount of time budgeted] in each year of the project for his/her/their time. Dr. [Insert Name] will be responsible for [Insert]. (Includes an estimated annual salary increase of 3%)

Repeat Paragraph #3 for each senior personnel role.

Language for how LMU defines a year:
Lincoln Memorial University uses the following definitions:

- A calendar year is the 12-month period starting January 1 and ending December 31.
- A fiscal year is the 12-month period starting July 1 and ending June 30.

B. Other Personnel ($ XXX)

Post Doctoral Associates: We are requesting funds to support a Post Doc. We have budgeted [Insert amount of time budgeted]. This person will be responsible for [Insert]. (Includes an estimated annual salary increase of 3%)

Other Professional: We are requesting a [insert type other professional budgeting] for this project. This person will be responsible for [Insert]. We are requesting [Insert amount of time budgeted]. (Includes an estimated annual salary increase of 3%)

Graduate Students:

Graduate Student Research Assistants: We have budgeted for the participation of [insert number of GSRA's budgeted] graduate students as GSRAs on this project. These students are critical both to the work to be done and to the mission of propagating the work into the world outside of Lincoln Memorial University. The students will be responsible for [Insert].

Hourly: We have budgeted time to utilize graduate students at Lincoln Memorial University on a part time basis. These students will be responsible for [Insert]. [Insert Estimated cost – Example – 2 students @ $20/hr x 10 hrs/week x 36 weeks = $XXX.]

Undergraduate Students: We have budgeted time to utilize undergraduate students at the Lincoln Memorial University on a part time basis. These students will be responsible for [Insert]. [Insert Estimated cost – Example – 2 students @ $10/hr x 10 hrs/week x 36 weeks = $XXX.]

Other: We are requesting an [insert type other professional budgeting] for this project. This person will be responsible for [Insert responsibility]. We are requesting [Insert amount of time budgeted]. (Includes an estimated annual salary increase of 3%)

C. Fringe Benefits ($ XXX)

We have calculated the fringe rates as follows: 28% for faculty and staff, 28% for graduate students and 0% for temporary students. These rates are the average for these positions at Lincoln Memorial University.

D. Equipment ($ XXX)

We have budgeted [insert amount budgeted] for [insert type of equipment]. This equipment will be dedicated to this project. This [insert type of equipment] will be used for [Insert].

E. Travel ($ XXX)

We have budgeted funds to support travel to [conferences, meetings, fieldwork] related to the grant.

Site Visits: We estimate travel to [site location(s)] for fieldwork [insert number of trips each year] per year for the senior personnel on the project [if applicable - as well as the post-doc, other professionals, and graduate students].

- Each trip has been budgeted at $1,650 and includes: $600 airfare, $600 lodging ($200 x 3 nights), $150 ground transportation/airport parking, $300 per diem/incidentals ($75 per day x 4 days).

Conference Travel: We estimated [insert number of trips each year] trips per year for the senior personnel on the project [if applicable - as well as the post-doc and graduate students].

- Each domestic trip has been budgeted at $2,000 and includes: $350 conference registration, $600 airfare, $600 lodging ($200 x 3 nights), $150 ground transportation/airport parking, $300 per diem/incidentals ($75 per day x 4 days).

- Each international trip has been budgeted at $2,650 and includes: $400 conference registration, $1,000 airfare, $800 lodging ($200 x 4 nights), $150 ground transportation/airport parking, $300 per diem/incidentals ($75 per day x 4 days).

If travel is for conferences and location is not known, include the following:
Possible conferences to attend (locations TBA) include: [Insert].

F. Participant Support Costs ($ XXX)

Stipend: We are requesting [insert amount requested] for stipends for participants. These stipends are for [Insert].

Travel: We are requesting [insert amount requested] for travel expenses related to airfares for the participants to attend this workshop. [Insert Estimated cost – Example: We estimate $600 for airfare per participant. 10 Participants @ $600 = $6,000.] We have also budgeted [insert amount requested] to cover the cost of the hotel and the ground transportation of each participant. [Insert Estimated cost – Example - 10 Participants @ $250 per day for 3 days = $7,500.]

Subsistence: We have budgeted [insert amount requested] per day per participant to cover the costs of their travel meals). [Example - We are budgeting 3 days of meals for each participant. 10 Participants @ $75 per day for 3 days = $2,250.]

Other:

G. Other Direct Costs ($ XXX)

If any of the items below are 'not applicable' you do not need to include the line at all in the justification.

1. Materials and Supplies:

Make sure to include costs or cost breakdowns & explicitly call out LMU-monitored items in the justification. Examples:

We have budgeted $22,687.66 to acquire materials and supplies needed for collection, measurement, labeling, storage, and data management related to the research. This includes specimen jars (60 at $992.50 total), clear glass bottles (12 @ $1,158.00 total), Alcian blue ($1,138.00), trypsin 3 @ $5,670.00 total), alizarin red ($333.00), 4% PFA (4 @ $231.00 total), Ethanol 95% (8 @ $2,180.00 total), Ethanol 100% (4 @ $886.50 total), Glycerol (5 @ $472.50 total), Sodium hydroxide ($161.60), Potassium hydroxide (6 @ $763.00 total), Beakers ($307.00), Gloves (30 @ $875.60 total), scalpels (10 @ 67.70 total), Scalpel blades (100 @ $139.90 total), Forceps (12 @ 429.50 total), Pipettes (2 sets @ $2,866.00 total), 50ml tubes (100 @ $521.00 total), Tube racks (8 @ $404.50 total), Pipette tips (10

@ 1,197.50 total), Graduated cylinders ($569.65), Disposable pipettes (5000 @ 501.31 total), Thermometer (2 @ 46.60), Waders (10 @ 599.90 total), Nets (5 @ 100.00 total), and Orajel (10 @ $74.80 total).

2. Publication Costs/Documentation/Dissemination:
   We have budgeted [insert amount budgeted] per year to cover publication/dissemination expenses, which include duplication costs for papers for all the project personnel.

3. Consultant Services:
   We are requesting funds to support consultants. These consultant's duties will include [Insert]. [Insert Estimated cost – Example – 4 days @ $250 per day for 3 years = $3,000.]

4. Subawards:
   We have budgeted funds to support the work of [Insert Name of Subcontract PI and their University or Organization], for more details regarding the work of the subcontractor see the Budget Justification for [insert name of university] accompanying their detailed budget.

5. Other:
   This section is where you include other allowable costs that do not fit in the above categories. Below are example categories.
   Cloud Computing/Storage: We have budgeted [insert amount budgeted] in each year of the project to cover the cost of ongoing cloud storage for [Insert justification]. This amount will cover [insert calculation – for example $100 per month over 36 months].

   Human Subject Payments: We have budgeted [insert amount budgeted] in each year of the project to cover the cost of subject payments for volunteers who participate in the user studies involved with this proposal. This amount will cover [insert calculation – for example 100 subjects at $25 per experiment].

   Transcription: We have budgeted [insert amount budgeted] in each year of the project to cover the cost of transcribing interviews. This amount will cover [insert calculation – for example 60 minutes of interview = 180 hours of transcription at $20 per transcription hour.

   Hosting: We have budgeted [insert amount requested] to cover the costs of working meals and breaks at the conference site (this includes the hosting of these events). [Insert Estimated cost – Example - We are budgeting 3 days of meals/snacks for each participant. 100 Participants @ $100 per day for 3 days = $30,000]

Tuition: We have budgeted for the cost of tuition for the graduate student(s). The rate budgeted is the [federal or candidate] tuition rate for Graduate Student Research Assistants.

H. Indirect Costs ($ XXX)

The indirect cost rate used for this proposal is 32.2% of the Modified Direct Cost Total. This is the "on campus research" rate negotiated with the Department of Health and Human Services effective 7/1/2023.

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Institutional Fact Sheet

Application Organization:______________________________

Address:____

Type of Organization:_________________________________

Authorized Official:__________________________________

Tax ID (TIN):____

Unique Entity ID (UEI):_______________________________

Facilities & Administrative Costs (Indirects)____________

Congressional District:_______________________________

Federal-Wide Assurance #, IRB: _______________________

Institutional Organization Research Group #:

____

Office of Human Research Protections (OHRP) and Biomedical Social Science IRB #_______________________

Institutional Animal Care and Use Committee #:

____

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Sample Materials

APPALACHIAN COLLEGE ASSOCIATION FACULTY FELLOWSHIP GUIDELINES

The Appalachian College Association (ACA) is proud to provide substantial support toward the professional development of faculty members at its member institutions. The fellowships provide up to $20,000 for pre- or post-doctoral study. Fellowships are awarded in three categories: professional leave fellowships (maximum one semester and $20,000); summer research fellowships (maximum $7,500); and in-year research fellowships during the academic year (maximum $10,000). To be considered for support, ACA faculty must have served for at least two years in full-time status at her/his current ACA institution and must return to teach full-time at same school for at least one additional year after completion of the fellowship.

- ***One-Semester Professional Leave Fellowships:*** Faculty may apply for funding to support professional leave/sabbatical from their institution for a full semester. An application may seek up to a maximum of $20,000 to cover institutional expenses associated with the absence of the faculty member from her/his normal duties and/or costs associated with the research project. These funds may be used for post-doctoral research or to support pre-doctoral progress toward completion of one's terminal degree.
- ***Summer Research Fellowships:*** Faculty may apply for support for their research during a summer term, up to a maximum of $7,500. These funds may cover costs associated with the research project, e.g., travel, research materials, and up to a maximum of $3750 as direct stipend to the recipient. The proposed stipend will be evaluated by the Review Committee as it regards time and effort related to the project.
- ***In-Year Research Fellowships:*** Faculty may apply for support for release from their standard institutional duties during a semester in the academic year, or over a full academic year. These funds may be used to cover replacement expenses incurred by the institution and/or research costs associated with the applicant's project. Projects entailing a standard one-course release are available up to a maximum of $5,000. Projects supported by release from two or more standard classes (or equivalent duties) may seek up to $10,000.

Fellowship funding must be designed to occur within a single academic/fiscal year, and support cannot be carried over into a new year. All recipients will be expected to furnish the ACA a final report on their projects at the end of the academic year in May, at which time final disbursement of funding will be provided to the institution.

APPLICATION MATERIALS

Qualified faculty members from ACA institutions may submit online application for fellowships each year during the fall semester. Normally, the application cycle will open in August and close at or near the end of October. (To assist member institutions in their personnel and budgetary planning, the ACA seeks to determine the fellowship recipients before the end of each fall semester.) In the application, candidates will denote which type of fellowship they are seeking. The required application materials include:

1) A project narrative explaining in detail the research and/or project, including the project goals, methodology, anticipated outcomes, and timeline. The narrative is limited in length, and it should also include a brief statement on the importance of this project to the individual, the institution, and/or the academic discipline. The methodology, anticipated outcomes, and timelines must be clear and realistic. The applicant should address how this work will inform the broader knowledge of the discipline. A page of works cited may be included.

2) Outline of the anticipated expenditures related to the fellowship request, e.g., amounts to be applied to offset the expenses of the leave or course releases (to institution or applicant), to cover other institutional expenses, to be used to cover legitimate expenses incurred by the applicant related to the research project.
3) Documentation that satisfies (at least) one of the following requirements:
    a. *For applicants working toward a terminal degree seeking a pre-doctoral fellowship*: Proof of admission to the terminal degree program and a transcript of work already completed in that program.
    b. *For applicants seeking support for post-doctoral research*: Applicants should submit a letter from a colleague from another institution who possesses expertise in the area of study, indicating the applicant's competence to complete the project within the time allotted.
4) Letters of Support from the following persons:
    a. One's Chief Academic Officer: This letter is very important as it should identify and explain the importance of the project to the institution and furnish an assessment of the applicant's capacity to complete the proposed project in a competent and timely manner. It must also verify that the applicant and CAO have reviewed the anticipated expenditures in the proposal and agree with the final itemized budget. Letters should be on institutional letterhead.
    b. (For pre-doctorate proposals only) The advisor/mentor at the doctoral institution indicating the applicant's ability to complete the proposed project (coursework) within the time allotted.
5) Current Curriculum Vitae, not to exceed five pages.

GENERAL GUIDELINES AND INFORMATION

1) Only completed electronic applications submitted through the ACA's web portal will be reviewed by the committee.
2) The applicant is responsible for ensuring that all parts of the final application, including letters of support, are uploaded in a timely manner. (The CAO's letter of endorsement will be submitted electronically directly to the ACA.) Colleague endorsement letters may be submitted directly to the ACA electronically (rather than through the applicant), if preferred. Incomplete applications will not be reviewed by the committee.
3) All proposals should avoid professional jargon and be written so that individuals not in the specific discipline can understand the project.
4) If the applicant has previously received ACA funding for a similar project, include in the project narrative when the grant was received and evaluate the success of the previous effort.
5) The amount for the one-semester professional leave fellowship will depend in part upon the applicant's salary during the application year and any other external support. If the fellowship is being used to offset the applicant's lost salary, it will not allow for the individual to exceed lost income from her/his institution.
6) Other funding sources should be applied to faculty compensation before ACA funding. If all funding sources add up to more than the applicant's salary, then the ACA will reduce the fellowship award accordingly. If other external funding comes through after the ACA Faculty Fellowship has been awarded, the ACA requires the ACA funding overage to be refunded to the ACA up to the amount of ACA's original award.
7) The fellowship is provided to institution rather than individual applicant. When the institution receives fellowship funds from the ACA, the institution determines how the faculty fellowship funding will be allocated based upon the initial proposal. The applicant is required to include the budget regarding expected expenditures from the fellowship support, with confirmation that the applicant and her/his CAO agree with the proposed budget.
8) The itemized budget may include expenditures related to reduced salary, replacement costs for the institution (if related to a one-semester fellowship or to an in-year grant for release from teaching or other institutional duties) and/or expenditures to be incurred by the applicant related to the specific

proposal. In addition, pre-doctoral applicants may include in their budgets the costs of tuition or other direct costs associated with progress toward the completion of degree, i.e., instructional expenses. Replacement costs for a one-semester leave may not exceed $20,000. Replacement costs for in-year grants may not exceed $5,000 per standard course release or equivalent, and up to no more than $10,000 per recipient.

9) The maximum award for a summer research grant is $7,500. No more than $3750 may be requested in direct stipend to the applicant. Proposals for the Summer Research Fellowship require an itemized budget, and any proposed stipend will be evaluated by the Review Committee as it regards time and effort related to the project.
10) Faculty who have signed a contract for a book with a for-profit press (i.e. not a university press) and want a fellowship to conduct additional research or to revise their manuscript are ineligible.
11) Member institutions may not have reviewed more than four applications for any form of fellowships in a single year. A single institution may not receive awards totaling more than $40,000 funding in each application cycle. For institutions submitting multiple applications, the CAO is encouraged to prioritize the proposals for the Review Committee; however, final determination of awards remains with the Review Committee. Schools will determine internally which applications will be reviewed if more than four candidates exist.
12) While it is expected that fellowship research will inform course development, proposals with the primary goal of developing courses are discouraged.
13) The ACA does not withhold any taxes or fees from the award amount. Any necessary deductions are the responsibility of the institution or the individual.
14) An individual who receives a fellowship is responsible for following all guidelines of the award:
    a. A report on the project is expected by no later than May 15 of the year the funding is expended. The report must include a final expenditure budget. If any remaining expenditures are outstanding, these should be included in the report as best estimates. (If there are unusual circumstances regarding spending later in the cycle, the recipient should work directly with the ACA to establish an alternate timeline.)
    b. Each fellow is expected to provide a final report (no more than two typed single-space pages) that captures the essence of the project, e.g., its goals and outcomes. The final report should include a general accounting of expenditures from the fellowship, which is expected to abide by the original proposal agreed upon by applicant and CAO (unless approved for adjustment by the ACA and CAO during the project).
    c. Recipients are required to return to full-time duty at their ACA institution for at least one full year after completion of the fellowship.
    d. Fellowship recipients may also be required to participate in assessment activities (such as a one-year follow up questionnaire and a five-year follow up questionnaire) requested by ACA program staff.

The ACA reserves the right to withhold any final allotments of the fellowship until the recipient's final report, with record of expenditures, is furnished to the ACA.

EVALUATION AND AWARDS

The quality of the proposal is the top priority in evaluating and awarding fellowships; however, other factors also affect the final decision. Listed below are the ratings topics and values the committee uses for each final application. These ratings are a starting place for the Fellowship Review Committee's discussion, not the final arbiter. The five-person Fellowship Review Committee is composed of Chief Academic Officers from ACA institutions, elected by the Council for Chief Academic Officers; CAOs on the committee, per policy, do not review applications from their home institutions. Members of the committee have opportunity to discuss each application individually and apply their professional judgment with each application.

Ratings Scale for ACA Fellowship Applications

- Presentation of Proposed Project: Quality and Substance (scored between 0 and 10 points)
- Feasibility of the proposed timeline (0 to 2 points)
- Benefit/importance to home institution (0 to 8 points)
- Importance to one's academic field (0 to 3 points)
- CAO Endorsement (0 to 5 points)
- Reviewer Recommendation(s) (0 to 3 points)
- ACA Resource Use Priority (up to 5 points)
    - 5 points for faculty who will complete terminal degree
    - 4 points for faculty who will make substantive progress toward (but not complete) a terminal degree
    - 3 points for faculty engaged in post-doctoral research
- Recent Fellowships at Applicant's Institution (up to 4 points)
    - 4 points if institution's last fellowship recipient was in award cycle four years previous or earlier
    - 3 points if institution had a fellowship recipient in award cycle three years previous
    - 1 point if institution had a fellowship recipient in award cycle two years previous
    - 0 points if institution had a fellowship recipient in previous most recent awards cycle

Maximum Score: 40

A high scoring proposal is not a guarantee of funding. Typically, the requests for fellowships far exceed the funds available in any given year. Therefore, it is quite probable that some strong proposals will not receive awards.

DIRECT YOUR QUESTIONS AND COMMENTS TO:

Dr. Larry M. Hall
Vice President for Academic Programs
Appalachian College Association

larry.hall@acaweb.org

Tennessee State Board Programming Regrants

State Board Programming Regrants (SBPG)

State Board Programming Regrant Application Fillable Form

WATCH THE INFO SESSION HERE

VIEW THE POWERPOINT HERE

EXPLORE PREVIOUSLY FUNDED PROJECTS HERE

The Tennessee Historical Records Advisory Board (THRAB) is pleased to provide a grant opportunity for improving the preservation of and access to Tennessee's historical records, educate and train records custodians, and support archival program development and enhancement.

The 2023-2024 grants will be available up to $5,000 per institution and are available to any government entity or not-for-profit organization that holds permanent, historically valuable archival collections. There is no match requirement,

These funds are made available by the National Historical Publications & Records Commission.

Grant funds are available for the following:

- Technology
    a. This category provides funding for hardware, software, peripherals, and other technology items used to create online digital collections.
    b. Items requested may not exceed $5,000.
- Training
    a. This category provides funding for registration costs for webinars or workshops related to conservation, digitization,

and digital project planning for archivists and museum personnel.

- Contracted Services
    a. This category provides funding to hire a vendor or independent contractor for the purpose of digitization or conservation services.
    b. You must include a quote for these services from a specific vendor as part of your application.
- Contract/Part-Time Archivist
    a. This category provides funding to hire a contract or part-time archivist for the duration of the grant period to scan documents and create corresponding metadata.
    b. This person cannot already be employed by or paid by your organization. This cannot be supplemental to an existing salary or hourly employee.
- Supplies
    a. This category provides funding for archival shelving units, acid-free, lignin-free folders and boxes, and other necessary archival supplies or environmental monitoring devices.

Please be aware that everyone is required to create a fee-free, web-based, digital product.

THRAB will review and evaluate all eligible applications. THRAB may award all or none of the funds requested, offer partial or conditional funding, and encourage revision and/or resubmission. In determining whether an applicant shall receive a grant, THRAB will consider the following factors:

- Statement of Need: In archival records projects, explain the significance of the records in question, why they need to be preserved, processed, and digitized, and how those scans will be made accessible. For education and training, explain how the project increases the archival knowledge and/or skills of archivists and other historical records custodians.

- Plan of Work: How will the project result in increased public access to archival collections through digitization? The result of a fee-free online collection is required. The soundness of the work plan is critical, focused, clearly defined, and achievable.
- Participants: The qualifications and/or plans for training project personnel, including resumes.
- Budget: Is the budget realistic, cost-effective, and accurate?

The deadline for applications is **Monday, September 11, 2023.**
Send all applications to Nat Taylor at nathaniel.l.taylor@tn.gov

Important Dates

Date	Activity
August 1, 2023	Application available
August 8, 2023	Informational webinar and Q&A session via Microsoft Teams. The link will be shared via the TN Archives Listserv.
September 11, 2023	Application deadline; Applications due by 4 pm (CST)
October 2, 2023	SBPG grant awards announced on or around this date
February 16, 2024	Interim reports due by 4 pm (CST)
May 31, 2024	SBPG grant projects completed; spending of funds complete
June 14, 2024	Final day to submit reimbursement requests
June 28, 2024	Final reports due by 4 pm (CST)
July 26, 2024	Title VI reporting due

NATIONAL ENDOWMENT FOR THE HUMANITIES

Notice of Funding Opportunity

Humanities Connections

Funding Opportunity Number: 20230907-AKA-AKB

Funding Opportunity Type: New

Federal Assistance Listing Number: 45.162

Application Deadline: September 7, 2023

Ensure your SAM.gov and Grants.gov registrations and passwords are current.
It may take several weeks to register with SAM.gov and Grants.gov.
NEH will not grant deadline extensions for lack of registration.

Division of Education Programs
Telephone: 202-606-8337
Email: hc@neh.gov
Telecommunications Relay Service: 7-1-1

OMB control number 3136-0134, expiration date October 31, 2024

Executive Summary

The National Endowment for the Humanities (NEH) Division of Education Programs is accepting applications for the Humanities Connections program. This program seeks to expand the role of the humanities in undergraduate education at two- and four-year institutions by encouraging partnerships between humanities faculty and their counterparts in other areas of study. Awards support the planning or implementation of curricular projects connecting the humanities to the physical and natural sciences; pre-service or professional programs, including law and business; computer science, data science, and other technology-driven fields; or other non-humanities departments or schools. Projects must incorporate the approaches and learning activities of both the humanities and the non-humanities disciplines involved.

Funding Opportunity Title	Humanities Connections
Funding Opportunity Number	20230907-AKA-AKB
Federal Assistance Listing Number	45.162
Optional Draft Deadline	July 21, 2023, 11:59 p.m. Eastern Time
Application Deadline	September 7, 2023, 11:59 p.m. Eastern Time
Anticipated Award Announcement	April 2024
Anticipated FY 2024 Funding	Approximately $1,500,000
Estimated Number and Type of Awards	Approximately 12 Planning and 6 Implementation grants
Award Amounts	Planning: up to $50,000 Implementation: up to $150,000
Cost Sharing/Match Required	No
Period of Performance	Planning: 12 months Implementation: 18 to 36 months All projects must start between June 1, 2024, and September 1, 2024.
Eligible Applicants	U.S. two- or four-year public or private 501(c)(3) accredited institutions of higher education. See C. Eligibility Information for additional information.
Program Resource Page	https://www.neh.gov/grants/education/humanities-connections
Pre-Application Webinar	Pre-recorded webinars will be posted to the program resource page by June 7, 2023. **Live Q&A Session:** Click here to participate in a live Q&A session at 1:00 p.m. Eastern Time on June 29, 2023. Or call in (audio only): +1 202-600-8430, Meeting code 982 023 751#
Published	May 22, 2023

Table of Contents

A. Program Description

1. Purpose

This notice solicits applications for the National Endowment for the Humanities (NEH) Division of Education Programs' Humanities Connections program. This program seeks to expand the role of the humanities in undergraduate education at two- and four-year institutions by encouraging partnerships between humanities faculty and their counterparts in other areas of study. Awards support the planning or implementation of curricular projects connecting the humanities to the physical and natural sciences; pre-service or professional programs, including law and business; computer science, data science, and other technology-driven fields; or other non-humanities departments or schools. Projects must incorporate the approaches and learning activities of both the humanities and the non-humanities disciplines involved.

Competitive Humanities Connections proposals will demonstrate:

- how the proposed project expands the role of the humanities in the undergraduate curriculum at the applicant institution(s)
- substantive and purposeful integration of the subject matter, approaches, and learning activities of two or more disciplines (with a minimum of one in and one outside of the humanities)
- collaboration between faculty from two or more departments or schools (with a minimum of one in and one outside of the humanities)
- a curricular structure that your institution could sustain over the long term, including interdisciplinary minors or certificates; curricular pathways such as concentrations within majors or general education programs; and other models appropriate to the institution

NEH encourages you to review the sample project narratives on the program resource page.

See D6. Funding Restrictions for unallowable activities.

See E1. Review Criteria for the standards NEH will use to evaluate applications under this notice.

Funding categories

The Humanities Connections program includes two funding levels: **Planning** and **Implementation**. Implementation proposals may, but are not required to, be based on projects previously funded at the Planning level. An award from NEH for one stage of a project does not commit the agency to continued support. NEH evaluates applications for each stage of a project independently. See C3. Other Eligibility Information.

Planning

Planning awards (up to $50,000 and for 12 months) support the interdisciplinary collaboration of faculty from two or more departments or schools (a minimum of one in and one outside of the humanities). The award provides institutions the opportunity to create a firm foundation for an interdisciplinary undergraduate curricular program or initiative. Projects may build on existing programs or initiatives, including those currently managed by a single department, or may develop entirely new ones.

The outcome of a successful Planning award should be a preliminary proposal that clearly defines the steps necessary to progress towards an interdisciplinary curriculum or initiative.

You may use a Planning award to:

- establish and convene a collaborative team to develop project goals and outcomes
- consult outside experts on curriculum design or interdisciplinary learning opportunities, including, but not limited to, individual or collaborative undergraduate research projects; field or laboratory research; and community-based, project-based, or site-based learning
- organize workshops or other professional development for faculty and administrators on substantive issues related to the success of the project
- coordinate focus or discussion groups, which may include students, around issues central to project rationale
- design or revise courses, instructional models, and learning activities
- work with institutional leadership about the potential for long-term support
- complete other tasks that align with the project's goals

Implementation

Implementation awards (up to $150,000 and from 18 to 36 months) support the introduction or revision of sustainable and interdisciplinary undergraduate curricula or initiatives at two- and four-year colleges and universities. Projects must involve faculty from two or more departments or schools (a minimum of one in and one outside of the humanities) and integrate the approaches and learning activities of the disciplines involved. Implementation proposals must show unambiguous evidence of prior planning and present a defined rationale with clear intellectual and logistical objectives supported by institutional leadership. The award provides the opportunity to build on faculty, administrative, or institutional partnerships and to develop and refine the project's intellectual content, design, and scope. You should clearly demonstrate any partners' or collaborators' commitments; outline preferred approaches to curriculum building/consolidation; and explain outreach strategies to attract students to the new educational opportunity.

The outcome of an Implementation award should be a sustainable curriculum or initiative ready to enroll students.

You may use an Implementation award to:

- convene a core faculty team and develop working groups on issues central to project rationale
- engage outside experts on issues pertinent to project content, design, and sustainability
- develop, implement, assess, and refine curricula (such as new courses, modules, and pathways) and instructional models for effective interdisciplinary pedagogy
- create and implement outreach strategies to attract students to new educational opportunities
- conduct mid- and long-range feasibility studies
- complete other tasks that align with the project's goals

2. Background

NEH offers this funding opportunity under the authority of 20 U.S.C. § 956. Awards are subject to 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and the General Terms and Conditions for Awards to Organizations (for grants and cooperative agreements issued January 1, 2022 or later).

Under Section 3(a) of the National Foundation on the Arts and the Humanities Act of 1965, as amended, "The term 'humanities' includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism and theory of the arts; those aspects of the social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life."

Use the Funded Projects Query Form to find examples of NEH-supported projects.

Learn more about NEH.

American Tapestry: Weaving Together Past, Present, and Future

American Tapestry: Weaving Together Past, Present, and Future is a wide-ranging special initiative at NEH that leverages the humanities to tackle some of the most pressing challenges of our time: strengthening our democracy, advancing equity for all, and addressing our changing climate. The initiative encourages humanities projects that elevate the role of civics in schools and public programs, advance knowledge of the country's history and political institutions, and examine threats to its democratic principles. The initiative also encourages projects that explore the untold stories of historically underrepresented groups and build capacity at cultural and educational institutions to benefit underserved communities. Finally, the initiative welcomes projects that promote research into the historical roots and cultural effects of climate change and support the cultural and educational sectors in building climate resilience. By supporting humanities projects that align with these three themes—strengthening our democracy, advancing equity for all, and addressing our changing climate—the *American Tapestry* initiative seeks to tell our country's history in all its complexity and diversity.

United We Stand: Connecting Through Culture

Hate must have no safe harbor in America – especially when that hate fuels the kind of violence we've seen from Oak Creek to Pittsburgh, from El Paso to Poway, and from Atlanta to Buffalo. When ordinary Americans cannot participate in the basic activities of everyday life – like shopping at the grocery store or praying at their house of worship – without the fear of being targeted and killed for who they are, our security as well as democracy are at risk. In coordination with the White House "United We Stand" Summit in September 2022, NEH launched a new initiative titled *United We Stand: Connecting Through Culture* that uses the humanities to combat hate-motivated violence and promote civic engagement, social cohesion, and cross-cultural understanding. As a part of this initiative, NEH encourages humanities projects that further our understanding of the nation's racial, ethnic, gender, and religious diversity; examine the sources of hate and intolerance in the United States; and explore progress towards greater inclusiveness.

NEH also encourages projects that include Native American organizations and communities as applicants and project partners. NEH will give all applications equal consideration in accordance with the program's review criteria.

B. Federal Award Information

1. Type of Application and Award

NEH seeks new applications in response to this notice.

NEH will provide funding in the form of grants.

2. Summary of Funding

Award amounts

You may request up to $50,000 for Planning or up to $150,000 for Implementation. This includes direct and indirect costs.

NEH anticipates approximately $1,500,000 to fund an estimated twelve Planning and six Implementation recipients.

NEH will award successful applicants outright funds, which are not contingent on additional funding from other sources.

NEH will not determine the amount available until Congress makes appropriations for FY 2024. NEH will issue awards subject to the availability of appropriated funds. NEH is publishing this notice as a contingency action to ensure that NEH can process applications and issue awards in a timely manner, should sufficient funds become available.

Period of performance

You may request a period of performance of 12 months for Planning or 18 to 36 months for Implementation with a start date between June 1, 2024, and September 1, 2024.

The period of performance is the time during which you may incur expenses to carry out the work under the award. It must start on the first day of the month and end on the last day of a month.

C. Eligibility Information

1. Eligible Applicants

Eligible applicants include U.S. two- or four-year public or private 501(c)(3) accredited institutions of higher education, including community colleges, four-year public and private colleges and universities, liberal arts colleges, research universities, Historically Black Colleges and Universities, Tribal Colleges and Universities, Hispanic-Serving Institutions, and Asian American and Native American Pacific Islander-Serving Institutions.

Individuals and other organizations, including foreign and for-profit entities, are ineligible.

If your organization is eligible, you may apply on behalf of a consortium of collaborating organizations. If NEH selects your proposal for funding, you will be programmatically, legally, and fiscally responsible for the award.

To be eligible, your organization must make substantive contributions to the success of the project and must not function solely as a fiscal agent for another entity.

2. Cost Sharing

NEH does not require cost sharing in this program.

Cost sharing or matching is the portion of the project costs you pay for with non-NEH funds. Peer reviewers will not consider cost sharing in their evaluation of applications.

You may contribute voluntary cost share to your project if the total costs exceed the amount awarded by NEH. Voluntary cost share includes:

- cash contributions made to the project by you or a third party
- your unrecovered indirect costs
- in-kind contributions (non-cash contributions, such as property or services, that benefit the project and are contributed without charge) by you or a third party

While you may describe voluntary cost share in your budget justification, you should not include it on your Research and Related Budget.

You must maintain auditable records of the source and use of cost share. See 2 CFR § 200.306.

Learn about types of funds NEH offers.

3. Other Eligibility Information

You may submit multiple applications for separate and distinct projects under this notice. Recipients of open Humanities Connections awards may apply.

Collaboration with other postsecondary institutions is welcome, but the project director must be employed by or affiliated with the applicant institution. The project director may not hold a full-time NEH individual award during the period of performance.

You may revise and resubmit previously rejected applications. Submissions are subject to the application requirements and review criteria of the current competition.

If NEH has previously made an award in support of your project, you may apply for a new or subsequent stage of the project, which NEH will assess using the review criteria of the current competition.

Per 2 CFR § 200.403(f), you must not include the same project costs in more than one application for federal funding and/or approved federal award budget. However, you may submit multiple proposals for **complementary** aspects of the same overall project. NEH may disallow costs or reject applications that include overlapping project costs. An individual’s level of effort cannot exceed 100% across multiple active federally funded awards.

NEH does not issue awards to other federal entities. If your project is so closely intertwined with a federal entity that the project takes on characteristics of the federal entity's own authorized activities, it is ineligible. You may use funds from, or sites and materials controlled by, other federal entities in your project.

NEH does not provide financial assistance to foreign institutions or organizations. If you are an eligible domestic entity, you may apply for collaborative projects involving foreign organizations provided you do not use NEH funds for the purpose of issuing subawards to any foreign organization, as defined in 2 CFR §§ 200.1 and .331(a). You may obtain the services of foreign individuals and consultants to carry out programmatic activities on a fee-for-service basis, as specified in 2 CFR § 200.459. You may obtain goods and services from foreign vendors, such as in-country transportation services, in accordance with 2 CFR § 200.331(b). If you plan to submit an application involving international collaboration, contact program staff at hc@neh.gov.

Except for the rare cases covered by its late submission policy, NEH will not consider applications submitted after the deadline.

NEH will not consider incomplete, nonresponsive, or ineligible applications for funding.

NEH will not consider applications that exceed page limits or deviate from formatting instructions. See the Application Components Table.

D. Application and Submission Information

1. Application Package

You must apply using Grants.gov Workspace or a Grants.gov system-to-system solution. You can find this funding opportunity in Grants.gov under number 20230907-AKA-AKB. There is also a link on the program resource page.

This funding opportunity includes two application packages, which you can find under the "Package" tab. Select the appropriate one based upon your project type. Each package includes a series of required and conditionally required forms. You will upload additional application components using the Attachments Form.

- Planning: AKA2023
- Implementation: AKB2023

You must complete a multistep registration process prior to submitting your application. See D3. Unique Entity Identifier and System for Award Management.

Contact hc@neh.gov to request a paper copy of this notice.

If you are deaf, hard of hearing, or have a speech disability, please dial 7-1-1 to access telecommunications relay services.

2. Content and Form of Application Submission

Your application will include a narrative, budget, and other forms and attachments. You will complete the forms within Grants.gov Workspace and upload other components into the Attachments Form. See the Application Component Table.

NEH has assigned each application component one of the following designations:

- Required: You must submit this component.
- Conditionally Required: You must submit this component if your proposal meets the specified conditions.
- Optional: You may submit this component, but NEH does not require it.

You must submit all required components and conditionally required components relevant to your proposal. **NEH will not review applications missing any required documents or relevant conditionally required documents.**

In addition, NEH has established page limits for some application components:

- Mandatory: You must not exceed the page limit.
- Suggested: NEH encourages, but does not require, you to abide by the page limit.

Note page limits and formatting instructions in this notice. **NEH will not review applications that exceed mandatory page limits or deviate from formatting instructions.**

Your application components must conform to the following formatting requirements, unless otherwise indicated:

- pages no larger than standard letter (8 ½" x 11")
- at least one-inch margins on all sides for all pages
- a font no smaller than 11 points

In addition, NEH encourages you to format your components consistent with the following:

- single-spacing
- a readable font such as Arial, Georgia, Helvetica, or Times New Roman
- any standard citation style (include citations in page counts)

Application Component Table

Application Component	File Name	Designation	Page limit
Grants.gov forms			
SF-424 Application for Federal Assistance - Short Organizational		Required	
Supplementary Cover Sheet for NEH Grant Programs		Required	
Project/Performance Site(s) Location Form		Required	
Research and Related Budget		Required	
Attachments Form		Required	
Certification Regarding Lobbying		Conditionally required	
Standard Form-LLL "Disclosure of Lobbying Activities"		Conditionally required	
Attachments			
1: Narrative	narrative.pdf	Required	8 pages for Planning; 10 pages for Implementation (mandatory)
2: Work plan	workplan.pdf	Required	2-3 pages (suggested)
3: Readings and resources	readings.pdf	Required	1-2 pages (suggested)
4: Relevant research or data	data.pdf	Required for Implementation; optional for Planning	
5: Résumés for key personnel	resumes.pdf	Required	2 pages per résumé (suggested)
6: Letters of commitment and support	letters.pdf	Required	
7: Subrecipient budget(s)	subrecipient.pdf	Conditionally required	
8: Federally negotiated indirect cost rate agreement	agreement.pdf	Conditionally required	
9: Explanation of delinquent federal debt	delinquentdebt.pdf	Conditionally required	

Narrative

Compose a comprehensive description of your proposed project. Your narrative should be succinct, well organized, and free of technical terms and jargon so that peer reviewers can understand the proposed project.

You must limit the narrative to eight single-spaced pages for Planning and ten single-spaced pages for Implementation. Do not include an executive summary, cover page, or a table of contents. You may include images, charts, diagrams, footnotes, or endnotes if they fit within the page limit.

Organize your narrative using the following headings. Each section aligns with one or more review criteria NEH will use to evaluate your proposal.

Intellectual rationale (aligns with review criteria Intellectual quality and Impact)

This section of the narrative should:

- identify the topic or issue that the project addresses and explain how the project brings the resources and perspectives of the humanities into students' broader educational goals and on the larger intellectual and cultural life of the institution
- address how your project will integrate the subject matter, approaches, and learning activities from two or more disciplines (at least one humanities and one non-humanities)
- if applicable, explain how partnership(s) beyond the institution will help accomplish your goals

For **Planning** proposals, describe the desired outcomes of the planning process. Estimate the potential impact on student engagement over a given span of years (e.g., the expected number of students enrolled per "x" years in a new minor, certificate, or curricular pathway). In Attachment 4, you may include relevant research or data collected for programs or disciplines that may be involved in your project (optional).

For **Implementation** proposals, summarize the conclusions reached as a result of your planning process, and whether or not NEH funded that process. Explain how your initial goals evolved as a result of your planning process. Address project scale, such as the number of faculty and departments/schools involved and the number of other partnerships formed (if any). Describe the anticipated impact on institutional, program, or project goals, such as the expected number of students enrolled in the new curriculum over a given span of years after implementation. In Attachment 4, you must provide relevant quantitative and qualitative data collected during the planning phase that will inform your implementation strategy (required).

Content and activities (aligns with review criteria Intellectual quality and Design quality and feasibility)

As appropriate to the funding level (**Planning** or **Implementation**), outline the stages for developing your project during the award period and the specific project activities you will undertake. This section should:

- explain the project's structure and content, including how the components you will develop will form an integrated whole and which texts and other resources you plan to use

- detail the specific subject areas curriculum components will explore, the project's relationship to existing programs, and how often your institution will offer any courses or other activities your project will revise or create
- outline the steps for collaboration between departments, schools, and/or outside organizations, and explain their relevance to the project
- articulate your outreach strategies to attract students to the new educational opportunities, both initially and long-term

Provide a work plan in Attachment 2 and a list of relevant team readings and resources in Attachment 3.

Collaborative team (aligns with review criterion Design quality and feasibility)

Describe the qualifications and responsibilities of the project director(s) and other personnel who will collaborate in the planning process. Outline the team's composition and explain how it reflects the key stakeholders in the planning process, including any external contributors to the project, such as visiting scholars, consultants, and/or community partners.

Team members may include:

- full-time or adjunct faculty from two or more departments, with a minimum of one in and one outside of the humanities **(required)**
- high-level administrators, such as deans or provosts
- advanced undergraduates/graduate students acting as advisors
- humanities-oriented teaching and learning professionals, such as librarians and media specialists
- experts in specific pedagogical approaches, such as applied humanities, archival research, field or laboratory research, or other learning activities appropriate to the project
- members of cultural or community organizations, professional societies, or other external collaborators relevant to the project

For both **Planning and Implementation** proposals, if you anticipate subsequent additions to the team, describe the process by which you will recruit or select them.

Provide brief résumés or biographies as Attachment 5 and letters or emails of commitment as Attachment 6.

Institutional context and resources (aligns with review criteria Design quality and feasibility and Impact)

Situate the humanities at your institution(s), including information about current enrollment, majors, faculty, and existing resources. Describe how the institution's resources (for example, personnel, library or museum holdings, information technology, learning centers) support the project.

If the project involves more than one institution, describe how the proposed collaboration will enhance any ongoing or previous partnerships or arrangements.

Impact and evaluation (aligns with review criteria Design quality and feasibility and Impact)

For **Planning** proposals, describe your methodology for evaluating the results of the planning stage, incorporating both qualitative and quantitative measures as appropriate. In addition, explain how you will assess the feasibility of proceeding to the next stage of the project.

For **Implementation** proposals, explain how you will assess the project during and after the period of performance. Describe the anticipated long-term impact of the project and explain how you will sustain the curricular innovation and scale student enrollment beyond the period of performance. Incorporate quantitative measures, such as the number of new or revised courses offered, undergraduate participation in new programs (such as certificates or minors), extent of student engagement and enrollment data, and faculty development results.

As a reminder, NEH does not require external evaluation in this program.

Narrative Alignment Each section of the narrative aligns with corresponding review criteria. Use the crosswalk to ensure you address all criteria.	
Narrative Section	**Review Criteria**
Intellectual rationale	Intellectual quality Impact
Content and activities	Intellectual quality Design quality and feasibility
Collaborative team	Design quality and feasibility
Institutional context and resources	Design quality and feasibility Impact
Impact and evaluation	Design quality and feasibility Impact

Research and Related Budget

You must submit a project budget using the Research and Related Budget form included in the Grants.gov application package and attach a budget justification. Complete the SF-424 Application for Federal Assistance - Short Organizational prior to completing your Research and Related Budget.

Complete a single detailed budget for the entire period of performance. The form will generate a cumulative budget.

The form indicates required fields in yellow. Round all costs to the nearest whole dollar. The inclusion of a cost category on the Research and Related Budget form does not automatically indicate that an expense is allowable in this program. See D6. Funding Restrictions to ensure that proposed costs are allowable.

If you provide voluntary cost share, do not include it on the Research and Related Budget form. You may describe it in your budget justification.

All costs must be reasonable, necessary to accomplish project objectives, allowable in terms of 2 CFR 200 Subpart E - Cost Principles, auditable, and incurred during the period of performance. Costs are subject to audit, record retention, and other requirements set forth in 2 CFR 200 Subpart F - Audit Requirements.

You should only include your own employees under A. Senior/Key Person and B. Other Personnel. Include team members in leadership roles in the project under A. Senior/Key Person. Include other team members under B. Other Personnel. Include costs for non-employees under F3. Consultant Services or F5. Subawards/Consortium/Contractual Costs, as appropriate.

If you charge indirect costs to the project, you must not charge the same costs to the project as direct costs. See H. Indirect Costs.

Introductory Fields

Your SF-424 Application for Federal Assistance - Short Organizational form should pre-populate introductory fields. If not pre-populated, indicate your organization's Unique Entity Identifier, name, and the period of performance. This should match the information you provide on your SF-424 Application for Federal Assistance - Short Organizational. Your period of performance must start on the first day of the month and end on the last day of the month. For budget type, check "project."

A. Senior/Key Person

Include personnel who are employed by the applicant institution in leadership roles on the project. Do not include collaborators at other institutions or consultants, as you will include them in F. Other Direct Costs.

Enter the base salary (annual compensation) for each senior/key person and identify the number of months they will devote to the project. If you do not include base salaries, your award may be delayed.

Many non-academic institutions organize their budgets using calendar months. If your organization does not differentiate between academic and summer months, use only the calendar months column.

If your organization follows an academic calendar, you may differentiate levels of effort by using the academic and summer months columns. You may use both columns if your institutional policy requires separate accounting for academic and summer months. If your institution does not use a nine-month academic year and a three-month summer period, include your institution's definition of these terms in your budget justification.

Enter the requested salary and fringe benefits for each senior/key person. Per 2 CFR § 200.431, fringe benefits are allowances and services you provide in addition to salaries and wages. Fringe benefits may include the costs of leave (e.g., vacation, family-related, sick, or military), employee insurance, pensions, and unemployment benefit plans.

Requested salaries and wages must comply with 2 CFR §§ 200.430 and .466 and fringe benefits must comply with 2 CFR § 200.431.

The form will calculate the requested salary and fringe benefits for each key person.

The form has space for up to eight people. If you request funds for additional key personnel, list them in a separate document using the same format as the Research and Related Budget. Save the document as a PDF named additionalpersonnel.pdf and attach it under "Additional/Senior Key Persons." If applicable, enter the total funds requested for additional senior/key persons in the "Total Funds requested for all Senior/Key Persons in the attached file" field.

B. Other Personnel

Include personnel employed by the applicant institution who will play a supporting role on the project. For each project role, identify the number of personnel proposed, the total number of months, total salary, and total fringe benefits requested as described in A. Senior/Key Person. The form will calculate the requested salary and fringe benefits for each group.

Post-doctoral associates, graduate students, and undergraduate students

If applicable, include charges for tuition remission and other forms of compensation paid to students as, or in lieu of, salaries and wages. You must report such costs in accordance with 2 CFR § 200.466(b), and must treat them as direct or indirect costs in accordance with the actual work performed. You may charge tuition remission on an average rate basis.

Administrative/Clerical

In most circumstances, you should include the salaries of administrative, secretarial, or clerical staff as indirect costs (see H. Indirect Costs). Per 2 CFR § 200.413(c), you may charge salaries for administrative or clerical staff as direct costs only if they meet the following conditions:

- The administrative or clerical services are integral to a project or activity.
- The individuals can be specifically identified with the project or activity.
- You explicitly include these costs in your budget or have prior written approval from NEH.
- You do not recover the costs as indirect costs.

If you include administrative or clerical salaries in your budget as direct costs, describe how direct charging meets all four conditions in your budget justification. NEH may request additional information to assess if proposed costs are allowable.

Additional Other Personnel

List additional project roles, if applicable. The form has space for six named roles. If you have more, combine project roles on the form and explain in your budget justification.

Requested salaries and wages must comply with 2 CFR §§ 200.430 and .466 and fringe benefits must comply with 2 CFR § 200.431.

Do not list collaborators at other institutions or consultants here, as you will include them in F. Other Direct Costs.

C. Equipment Description

Equipment is nonexpendable personal property costing $5,000 or more per item and having a service life of more than one year (unless your organization has established a lower level). See 2 CFR §§ 200.313 and .439.

You may purchase equipment if analysis demonstrates that it is more economical and practical than leasing You may charge depreciation in compliance with 2 CFR § 200.436. If you lease equipment, include equipment rental/user fees in F. Other Direct Costs.

Per 2 CFR § 200.322, you should preference goods, products, and materials produced in the United States purchased or acquired under a federal award. If NEH funds your project, you must include the requirements of this section in all subawards, contracts, and purchase orders for work or products.

List each item of equipment you plan to purchase and its estimated cost, including shipping and maintenance. Include supporting information, such as a price quote, in your budget justification.

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

The form will calculate total equipment costs.

D. Travel

Enter the total funds you are requesting for both domestic travel (local and long-distance) and foreign travel (including travel to Canada and Mexico). Detail costs for each trip in your budget justification. **If you make nonrefundable travel arrangements, it is at your own risk. You cannot charge cancelled travel to your award.**

Travel costs must comply with 2 CFR § 200.475 and the General Terms and Conditions for Awards to Organizations. NEH uses the General Services Administration's published per diem rates to assess if proposed travel costs are reasonable.

You may not use NEH funds to attend regularly occurring professional meetings unless the purpose of attending is to disseminate project-related findings.

Include travel costs for participants in E3 and travel costs for consultants in F3.

The form will calculate total travel costs.

E. Participant/Trainee Support Costs

Participants are the beneficiaries, not the providers, of a service or training opportunity (such as a workshop, conference, seminar, or symposium) funded by a federal award.

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

2 CFR § 200.432 defines a conference as a meeting, retreat, seminar, symposium, workshop, or event, the primary purpose of which is the dissemination of technical information beyond the non-federal entity, and which is necessary and reasonable for successful performance under the federal award.

Include supporting information in your budget justification. **If you or your participants make nonrefundable travel arrangements, it is at your own risk. You cannot charge cancelled travel to your award.**

If you claim indirect costs, exclude participant support costs from the MTDC base. The form will calculate total participant support costs.

1. Tuition/Fees/Health Insurance

Leave this field blank.

2. Stipends

Enter the requested funds for participant stipends.

3. Travel

Enter the requested funds for participant travel. In your budget justification, name the travelers (if known) and itemize their travel expenses (e.g., roundtrip airfare, mileage, public transportation fares, parking fees).

4. Subsistence

Enter the requested funds for participant subsistence (e.g., lodging and service charges; meals, including taxes and tips; and incidental expenses).

5. Other

Describe other participant support costs (e.g., local ground transportation to venues, admission fees) and enter the requested funds. Provide additional information in your budget justification.

Number of Participants/Trainees

Enter the number of participants. This field cannot exceed 999.

F. Other Direct Costs

The form will calculate total other direct costs.

1. Materials and Supplies

Enter the requested funds for materials and supplies that cost less than $5,000 per item, regardless of its useful life, unless your organization has established a different capitalization level. See 2 CFR §§ 200.314 and .453.

2. Publication Costs

Enter the requested funds for publication costs, including the costs of documenting, preparing, publishing, or otherwise making available to others the findings and products of the work conducted under the award. Include supporting information in your budget justification.

3. Consultant Services

Enter the requested funds for consultant services. If your project includes an external advisory committee, include associated costs here.

Consultant fees must comply with 2 CFR § 200.459.

4. Automated Data Processing (ADP)/Computer Services

Enter the requested funds for ADP/computer services, including computer-based retrieval of scientific, technical, and education information. Include personal computers and accessories under Materials and Supplies. If a third party will provide these services, include them in Subawards/Consortium/Contractual Costs.

5. Subawards/Consortium/Contractual Costs

Enter the total funds you are requesting (both direct and indirect costs) for activities third parties will perform.

Per 2 CFR §§ 200.1 and .331(a), a subaward is an award you issue to a subrecipient to carry out part of your federal award. Subawards do not include payments to contractors (as defined in 2 CFR §§ 200.1 and .331(b)) or payments to individuals who are beneficiaries of federal programs.

You may provide a subaward through any form of legal agreement, including an agreement you consider a contract. The substance of the relationship between a passthrough entity and a third party is more important than the form of the agreement when determining if the third-party functions as subrecipient or contractor. See 2 CFR § 200.331(c).

NEH may request additional information to assess if proposed costs are reasonable and allowable. See 2 CFR §§ 200.331 and .332.

If your budget includes subawards, you must submit a separate Research and Related budget and budget justification for each subrecipient. See Attachment 7: Subrecipient budget(s).

If a subrecipient claims indirect costs, include its federally negotiated indirect cost rate agreement in Attachment 8: Federally negotiated indirect cost rate agreement. You do not have to include an agreement for any subrecipient that requests the 10% de minimis rate.

See F2. Administrative and National Policy Requirements for additional information on monitoring subrecipients' performance.

6. Equipment or Facility Rental/User Fees

Enter the requested funds for rental fees for equipment and facilities.

If you will use your own equipment and facilities, you may charge depreciation in compliance with 2 CFR § 200.436. Alternatively, if you will use equipment you purchased with federal funds under another award, you may charge user fees consistent with 2 CFR § 200.313(c)(2). You may not charge both depreciation and user fees.

If you will host a conference, you may rent facilities per 2 CFR § 200.432. If you rent facilities under a "less-than-arm's-length" lease, you must comply with 2 CFR § 200.465(c).

Federally funded meetings and conferences must take place in properties that comply with the Hotel and Motel Fire Safety Act of 1990 (Pub. L. 101-391). Consult the U.S. Fire Administration's National Master List for fire code compliant hotels.

7. Alterations and Renovations

Leave this line blank. Per 2 CFR § 200.462, costs you incur for ordinary and normal rearrangement and alteration of facilities are allowable as indirect costs.

8-10. Other

List items you have not included in other previous categories or in the indirect cost pool. "Other" project-specific costs may include fees for promotion, acquisition, rights, evaluation and assessment, and accessibility accommodations (e.g., audio description, sign-language interpretation, closed or open captioning, large-print brochures/labeling). "Miscellaneous" and "contingency" are not acceptable budget categories.

Per 2 CFR § 200.432, allowable conference costs include speakers' fees, costs of meals and refreshments, and other incidental items. You must exercise discretion and judgment to ensure that costs are appropriate, necessary, and managed in a manner that minimizes costs to the award.

Food is only allowable when vendors are unavailable during the scheduled program. You may not use federal funds for meals or refreshments at receptions or networking events. If participants receive complimentary meals or refreshments during meetings, conferences, training, or other events while on NEH-supported travel, you must reduce the per diem you charge to the award. Per 2 CFR § 200.423, you may not use federal funds for alcoholic beverages.

G. Total Direct Costs

The form will calculate total direct costs.

H. Indirect Costs

Indirect costs are costs your institution incurs for common or joint objectives and that you cannot readily identify with a specific project or activity. Indirect costs include such expenses as the depreciation on buildings, equipment, and capital improvements; operations and maintenance expenses; accounting and legal services; and salaries of executive officers.

You do not have to claim indirect costs, but if you do, calculate the amount you may request by multiplying the applicable indirect cost rate by the distribution base, which is typically the project's modified total direct costs (MTDC).

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

Review your institution's negotiated indirect cost rate(s) to ensure you are using the most appropriate rate for your project. Many institutions of higher education negotiate multiple rates, such as "research," "instruction," and "other sponsored activities." An institution's "research" rate is not the appropriate rate for inclusion in NEH project budgets, except in rare cases, since it is reserved for projects involving scientific research, not scholarly inquiry of the type most often supported by NEH.

Except as provided in 2 CFR § 200.414(c)(1), NEH must use the negotiated rate(s) in effect at the time it issues your award and will not adjust the rate(s) throughout the life of your award. NEH will not adjust your award amount due to changes to your negotiated rates.

If an educational institution does not have a negotiated rate with the federal government when NEH issues an award (because it is a new recipient or the parties cannot reach agreement on a rate), but has a provisional rate, NEH must use the provisional rate until a final cost is negotiated and approved by the cognizant agency, except as provided in 2 CFR § 200.414. If the recipient fails to negotiate an indirect cost rate applicable to the period of performance within the period of performance, NEH may disallow indirect costs.

If your organization does not have a federally negotiated indirect cost rate, you may:

- submit an indirect cost proposal to your cognizant federal agency to negotiate a rate within three months of your award's period of performance start date; or
- charge a de minimis rate of 10% applicable to MTDC (see 2 CFR § 200.414(f))

If you choose one of these options, indicate this under Indirect Cost Type. If you do not choose either of the above options, you may only charge costs that are allocable, allowable, and reasonable to the award.

Include a copy of your federally negotiated indirect cost rate agreement, along with subrecipient agreements, as Attachment 8: Federally negotiated indirect cost rate agreement, if applicable.

See NEH's General Guidance on Calculating Indirect Costs for more information.

If NEH is your cognizant agency, see Guidance for Negotiating an Indirect Cost Rate Agreement with NEH.

Indirect Cost Type

Enter the type of indirect cost rate (e.g., "other sponsored activities," "all programs," "instruction," "10% de minimis") and base (e.g., "MTDC," "salaries," "salaries & fringe") and whether the activity and rate are on- or off-site. If your budget includes more than one indirect cost rate or base, list them as separate entries (i.e., if your project includes activities that occur both on and off campus). If you do not have a current indirect rate agreement, but intend to negotiate one, write "None-will negotiate" and provide additional detail in your budget justification.

Indirect Cost Rate (%)

Enter the most recent indirect cost rate(s) established with your cognizant federal agency (or the 10% de minimis rate) as a number without special characters (i.e., 32.5).

Indirect Cost Base ($)

Enter the base for each indirect cost type. Describe any exclusions in your budget justification. If applicable, refer to your federally negotiated indirect cost rate agreement to determine how to calculate the indirect cost base.

Funds Requested ($)

Enter the requested funds for each indirect cost type.

Total Indirect Costs

The form will calculate total indirect costs.

Cognizant Federal Agency

Enter the name of your cognizant federal agency and a point of contact, if applicable.

I. Total Direct and Indirect Costs

The form will calculate total project costs. Total project costs should not exceed $50,000 for Planning awards or $150,000 for Implementation awards.

J. Fee

Leave this field blank.

K. Total Costs and Fee

The form will calculate this field, which will be the same amount as I. Total Direct and Indirect Costs.

L. Budget Justification

You must provide a budget justification to support your project. Specifically describe how each item supports your proposed objectives, detail how you calculated costs, and provide supporting documentation. Organize your budget justification using the section headings on the Research and Related Budget.

If you provide voluntary cost share, you may describe it in the budget justification to contextualize the project. Do not include voluntary cost share on the Research and Related Budget form.

Save the document as a PDF named justification.pdf. Attach only one file to the Research and Related Budget form. Do not use your budget justification to expand your narrative.

A. Senior/Key Person

Detail the salary and wages you will pay to each Senior/Key Person. Provide their names and briefly describe their roles in and suitability to the project. Identify the fringe benefit rate and explain the base for each person. If your organization follows an academic calendar, explain any differences in compensation between academic and summer months.

B. Other Personnel

List names (if known), roles, months, and requested salary and fringe benefits for other personnel, including post-doctoral associates, graduate students, undergraduate students, and administrative /clerical personnel.

If your budget includes administrative /clerical personnel, describe how they meet the four conditions for inclusion as a direct cost.

C. Equipment Description

Detail the number and unit cost for each item and explain how you determined these figures. Provide vendor quotes or price lists, if applicable.

D. Travel

For each trip, provide the name of the key personnel or employee(s) (if known), explain the purpose of the trip, and specify the points of origin and destination. Break out the costs of transportation, lodging, per diem, and any other associated expenses. Explain how you determined these figures. You must justify each trip separately, except for recurring local trips, which you may group together.

For local travel, include the mileage rate, number of miles, reason for travel, and staff members completing the travel. For long-distance travel, calculate per diem amounts for meals and lodging consistent with written institutional policy. You must use the lowest available commercial fares for coach or equivalent accommodations. **If you make nonrefundable travel arrangements, it is at your own risk. You cannot charge cancelled travel to your award.**

E. Participant/Trainee Support Costs

Describe how you calculated participant stipends, travel, subsistence, and other costs. If possible, detail participant travel costs using the instructions above.

F. Other Direct Costs

1. Materials and Supplies
Indicate general categories (e.g., personal computers, digital cameras, archival supplies). Provide a total for each category. Itemize categories totaling $1,000 or more and provide vendor quotes or price lists, if applicable.

2. Publication Costs
Indicate print runs and justify costs, including vendor quotes, if applicable.

3. Consultant Services
Identify each consultant, describe the services they will perform, specify the amount of time they will devote to the project across the period of performance, outline travel costs, and provide total costs. If applicable, include consultants' proposals.

4. Automated Data Processing (ADP)/Computer Services
Itemize the cost for each service and include established service rates, if applicable.

5. Subawards/Consortium/Contractual Costs
List the costs of project activities to be undertaken by third parties. Identify each third party by name, describe its role in the project, the activities it will carry out, and the associated costs. For each entry, designate the third party as either a subrecipient (who receives a subaward) or a contractor (who receives a contract).

For each contractor, itemize costs using the same categories as the Research and Related Budget and provide relevant supporting documents.

You will submit a Research and Related budget and budget justification for each subrecipient, which you will include in Attachment 7: Subrecipient budget(s).

6. Equipment or Facility Rental/User Fees
Identify and justify each rental fee. Provide relevant supporting documentation.

7. Alterations and Renovations
Leave this blank.

8. Other Costs
Itemize, describe, and justify any other direct costs. Include supporting documentation. "Miscellaneous" and "contingency" are not acceptable budget categories.

H. Indirect Costs

If you include indirect costs in your project budget, identify the rate(s), explain the base(s), and describe any exclusions.

Application Components

SF-424 Application for Federal Assistance – Short Organizational

This form requests basic information about your institution, the proposed project, and key contacts. Items 1, 2, and 4 will be automatically filled in; leave item 3 blank.

5. Applicant Information

a-d. Provide your organization's legal name, address, and web address. Select the applicant type that best describes your organization from the drop-down menu.

e-f. Provide your organization's employer/taxpayer identification number (EIN/TIN), and Unique Entity Identifier assigned by the System for Award Management. If you do not know your identifier, contact your grant administrator or chief financial officer. See D3. Unique Entity Identifier and System for Award Management.

g. Provide your congressional district with your two-character state abbreviation followed by your three-character district number. For example, if your institution is located in the 5th congressional district of Alabama, enter "AL-005." If your institution is in a state or U.S. jurisdiction that does not have districts, enter "000" in place of the district number. If your institution is outside the U.S., enter "00-000."

6. Project Information

a. Provide your project's title. It should be brief (no more than 125 characters, including spaces), descriptive of the project, and easily understood by the general public. If NEH funds your project, the agency may retitle your project for clarity in internal and external communications, including the public announcement of awards. Regardless, you may use your preferred title when carrying out the project.

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

c. State your project's period of performance start and end dates. Your project must start on the first day of a month and end on the last day of a month. See B2. Summary of Funding for allowable periods of performance.

7. Project Director

Provide the project director's name, title, and contact information. The project director is responsible for the programmatic aspects and day-to-day management of the proposed project. You must notify the NEH Office of Grant Management immediately if you need to change project directors.

If the project director is not employed by the applicant organization, you must have a formal written agreement with the project director that specifies an official relationship between the parties even if the relationship does not involve a salary or other form of remuneration.

8. Primary Contact/Grant Administrator

Provide the name, title, and contact information for the official responsible for the administration of the award (e.g., negotiating the budget and ensuring compliance with the terms and conditions of the award).

As a matter of NEH policy, the project director and primary contact/grant administrator must not be the same person.

The grant administrator (also called the “institutional grant administrator”) functions as the representative of the recipient organization. This individual should have authority to act on the organization’s behalf in matters related to the administration of the award. The institutional grant administrator must sign or countersign financial reports and prior approval requests such as budget revisions, extensions to the period of performance, and changes in key personnel.

NEH will address official correspondence (for example, the offer letter or Notice of Action) to the institutional grant administrator and copy the project director.

9. Authorized Representative

Provide the name, title, and contact information for the authorized organization representative (AOR) who is submitting the application on behalf of the institution. This person, often called an “authorizing official,” is typically the institution’s president, vice president, executive director, board chair, provost, or chancellor. The institution’s Grants.gov E-Business Point of Contact must designate the AOR. See the Grants.gov Online User Guide.

Supplementary Cover Sheet for NEH Grant Programs

1. Project Director

Select the project director’s major field of study from the drop-down menu.

2. Institutional Information

Select your institution type from the drop-down menu.

3. Project Funding

Enter the amount requested under “Outright Funds.” Do not enter anything under “Federal Match” or “Cost Sharing.”

4. Application Information

Indicate whether you or others will submit complementary proposals to other NEH programs, government agencies, or private entities. If so, specify when and to whom. NEH will not consider this information when evaluating the merits of your proposal. See C3. Other Eligibility Information for restrictions regarding overlapping costs.

For type of application, check “new.”

Select the project’s primary discipline from the drop-down menu. If applicable, select the project’s secondary and tertiary disciplines.

Project/Performance Site Location(s) Form

Provide the primary location and any other locations where you will conduct project activities during the period of performance.

Enter congressional districts using the two-letter state abbreviation followed by your three-character district number. For example, if your institution is in the 5th congressional district of Alabama, enter “AL-005.” If your institution is in a state or U.S. jurisdiction that does not have districts, enter “000” in place of the district number. If your institution is outside the U.S., enter “00-000.”

The form has space for 300 sites. If your project includes additional locations, list them in a separate document. Save the document as a PDF named additionallocations.pdf and attach it under “Additional Locations.”

Certification Regarding Lobbying (conditionally required)

If you request more than $100,000, you must submit the Certification Regarding Lobbying. Add this form to your application package in Grants.gov and it will autofill based upon information provided on the SF-424 Application for Federal Assistance - Short Organizational.

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

If you have or will use non-federal funds for lobbying, you must submit Standard Form-LLL, “Disclosure of Lobbying Activities.” Add this form to your application package in Grants.gov. See 2 CFR § 200.450.

Attachments Form

This form accommodates up to fifteen attachments. **Attachments must be in Portable Document Format (.pdf).** Convert all non-PDF files (i.e., Word, Excel, images) to PDFs. If an attachment contains multiple documents, merge them into a single file, not a PDF portfolio. Be aware that, occasionally, converting a document to PDF may alter its size. Do not attach files that have been password-protected, encrypted, or digitally signed. You must remove all such security features before attaching your files. Failure to do so may result in your application being rejected.

Do not attach portfolios containing multiple PDFs.

Consult the Application Components Table to name and sequence your attachments so that NEH can easily identify them. Grants.gov may reject your application if:

- file names exceed 50 characters
- multiple files have the same name
- file names include characters other than the following: A-Z, a-z, 0-9, underscore, hyphen, space, period, parentheses, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semicolon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign

Grants.gov may accept and validate your application even if you are missing required components or have formatted them incorrectly. You must ensure that you have formatted, attached, and submitted all required components correctly. If you have not, NEH may reject your application as incomplete or nonresponsive.

Learn about Adobe software compatibility with Grants.gov and ensure that you can use your version of Adobe Acrobat Reader to download, complete, and submit your application.

Attachment 1: Narrative (required)

Refer to the prior instructions on preparing your narrative. You must limit the narrative to eight single-spaced pages for Planning and ten single-spaced pages for Implementation.

Name the file narrative.pdf.

Attachment 2: Work plan (required)

Your work plan should reflect the major activities you describe in your narrative, the project dates on your SF-424 Application for Federal Assistance - Short Organizational, and your Research and Related Budget.

Describe the activities that will take place during the period of performance to achieve each of the proposed objectives. Use a timeline that includes each activity and identifies responsible staff. Explain how outcomes from one activity will carry over into the next. For multi-institutional collaborative projects, discuss the distribution of responsibilities across each institution. As appropriate, identify meaningful support and collaboration with key stakeholders in planning, designing, and implementing activities.

Include in your work plan a required, virtual meeting for all Humanities Connections project team members in June 2024.

Name the file workplan.pdf.

Attachment 3: Readings and resources (required)

Include a list of relevant readings and resources for the project.

Name the file readings.pdf.

Attachment 4: Relevant research or data (required for Implementation)

Planning applicants may include relevant research or data collected for programs or disciplines that may be involved in your project **(optional)**.

Implementation applicants must include relevant quantitative and qualitative data collected during the planning phase that will inform your implementation strategy **(required)**.

Name the file data.pdf.

Attachment 5: Résumés for key personnel (required)

Include brief résumés or biographies for the project director(s), members of the collaborative team, consultants, speakers, and other key personnel.

This attachment has a suggested length of two pages per résumé. Name the file resumes.pdf.

Attachment 6: Letters of commitment and support (required)

Include at least one letter from leadership (such as the president, provost, or dean) at the applicant institution explaining the project's significance within the institution's curriculum. At the **Implementation** level, the letter should attest that the institution will offer long-term support for the project.

NEH also encourages you to include letters or emails of commitment from other individuals or organizations involved in the project, such as chairs or deans of the departments or schools whose faculty will be collaborating during the grant period.

Elected government officials, NEH staff, and current members of the National Council on the Humanities may not serve as letter writers.

Name the file letters.pdf.

Attachment 7: Subrecipient budget(s) (conditionally required)

If your project includes subawards, you must provide a separate Research and Related Budget and budget justification for each subrecipient.

Download a fillable PDF of the Research and Related Budget form from the NEH website for each subrecipient. You must open and complete this form in Adobe Reader 8.0 or higher rather than in your web browser.

Prepare a budget and budget justification for each subrecipient using the same instructions in this notice, with a few exceptions:

- Enter the subrecipient's Unique Entity Identifier, organization name, and period of performance start and end date (these fields will not prepopulate).
- For "budget type," check "Subaward/Consortium."

If your subrecipients have a federally negotiated indirect cost rate, you must honor it. If they do not have a federally negotiated indirect cost rate, they may negotiate a rate with you consistent with 2 CFR § 200.414 or use the de minimis rate.

Rather than attaching related documents (budget justification, additional personnel, additional equipment) to the form itself, you will separately convert each document into a PDF and combine all subrecipients' budget forms and related documents into a single document. Do not attach portfolios containing multiple PDFs.

NEH cannot accept security-enhanced PDFs (e.g., XFA files, PDFs that include password-protection, encryption, digital signatures). Remove these features (or "flatten" these files) before merging them into a single PDF and uploading it to the Attachments Form.

Name the file subrecipient.pdf.

Attachment 8: Federally negotiated indirect cost rate agreement (conditionally required)

If your organization is claiming indirect costs and has a current federally negotiated indirect cost rate agreement, provide a copy of the agreement. If applicable, provide the indirect cost rate agreements for subrecipients claiming indirect costs. If you and your subrecipients are requesting the de minimis rate, you do not need to submit this attachment.

Name the file agreement.pdf.

Attachment 9: Explanation of delinquent federal debt (conditionally required)

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

Name the file delinquentdebt.pdf.

3. Unique Entity Identifier and System for Award Management

Before applying, your organization must register with the System for Award Management (SAM) and Grants.gov. Learn more about this multistep process.

NEH encourages organizations with SAM registrations to check the validation of their UEI well in advance of the deadline to ensure that they are accurate, current, and active. Due to the transition from D-U-N-S® numbers to Unique Entity Identifiers in April 2022, the Federal Service Desk is currently experiencing delays with UEIs requiring validation. If your SAM registration is not active and current at the time of Grants.gov submission, NEH will reject your application.

Allow several weeks to register with SAM and Grants.gov. NEH will not waive the online submission requirement or extend the application deadline to allow additional time for you to complete registration with SAM or Grants.gov.

Login.gov

If you have not already done so, you must create a Login.gov user account to register and log in to SAM and Grants.gov. Login.gov is a secure sign-in service used by the public to sign in to participating government agencies. Create and link your account now.

System for Award Management (SAM)

Your organization must register with the System for Award Management (SAM) and maintain an active SAM registration with current information while you have an active federal award or a pending application with a federal agency. See 2 CFR § 25.110 for exceptions. SAM will assign your organization a Unique Entity Identifier.

When registering or renewing in SAM, the system will prompt you to review and agree to financial assistance certifications and representations, as required by 2 CFR § 200.209.

If your SAM registration is not active and current at the time an award is made, NEH may determine that you are not qualified to receive an award and use that determination as a basis for making an award to another applicant.

Check the status of your SAM.gov registration.

Contact the Federal Service Desk if you have questions.

Grants.gov

You must register with Grants.gov using your Login.gov credentials before applying. You must submit your application using Grants.gov Workspace or a Grants.gov system-to-system solution. Workspace is a shared, online environment where team members may simultaneously access and edit forms within a grant application.

After you register and create an Organizational Applicant Profile, Grants.gov will email your E-Business Point of Contact to assign the appropriate roles to individuals within your organization. This includes the authorized organization representative (AOR), who will give you permission to complete and submit applications on behalf of your organization.

If you have previously registered with Grants.gov, confirm that your registration is still active and that your AOR is current.

Contact Grants.gov Applicant Support or consult the Grants.gov Online User Guide and its library of instructional videos if you have questions.

4. Submission Dates and Times

Drafts

Program officers will review drafts submitted by July 21, 2023, at 11:59 p.m. Eastern Time. Program officers will not review late drafts.

Drafts do not need to be fully developed project ideas or near complete applications to be submitted for review and feedback.

This optional review is not part of the formal selection process and has no bearing on the final funding decision. However, previous applicants have found it useful to strengthen their applications. If you choose to submit a draft, send it as an attachment to hc@neh.gov.

Applications

The deadline for applications under this notice is September 7, 2023, at 11:59 p.m. Eastern Time.

NEH recommends you submit your application at least 48 hours prior to the deadline so you have time to correct technical errors eGMS identified or you discover. It is your responsibility to correct errors prior to the deadline.

Applications must be complete, comply with length and formatting requirements, and be validated by Grants.gov under the correct funding opportunity prior to the deadline to be considered under this notice. See the late submission policy for the limited situations when NEH might accept an application submitted after the deadline.

It is your responsibility to confirm that Grants.gov and subsequently NEH have received your application. Check your Grants.gov application status. eGMS, NEH's online grant management system, will send you an automatically generated email upon receipt of your proposal.

When NEH receives your application, the agency will assign it a tracking number beginning with AKA- or AKB-. A tracking number does not guarantee that your application is free of technical problems (such as missing attachments or failure to convert attachments to PDFs). If your files are not correctly formatted, eGMS will reject your application and notify you by email. eGMS cannot detect errors such as missing components or excess pages.

NEH will not comment on the status of your application except regarding matters of eligibility, completeness, and responsiveness.

5. Intergovernmental Review

This funding opportunity is not subject to intergovernmental review under Executive Order 12372.

6. Funding Restrictions

You may not use awards made under this notice for the following purposes:

- the isolated addition or revision of a single course offering
- the simple pairing of complementary courses, whether in the same or in different departments or schools
- faculty or student travel abroad
- the development of courses for a graduate degree or non-degree program
- commercial, for-profit, or proprietary textbook research or revision
- the rental of recreational facilities and costs related to social events such as banquets, receptions, and entertainment
- tuition for participants
- individual research or other activities unrelated to the proposed project
- attendance at regularly occurring professional meetings, unless the purpose of attending is to disseminate project-related findings
- costs for activities performed by federal entities or personnel
- promotion of a particular political, religious, or ideological point of view
- advocacy of a particular program of social or political action
- support of specific public policies or legislation
- lobbying
- projects that fall outside of the humanities; the creation or performance of art; creative writing, autobiographies, memoirs, and creative nonfiction; policy studies; and social science research that does not address humanistic questions and/or utilize humanistic methods

See 2 CFR 200 Subpart E - Cost Principles for other unallowable costs.

E. Application Review Information

1. Review Criteria

Peer reviewers will use the following criteria to review applications under this notice:

Intellectual quality

(aligns with narrative sections “Intellectual rationale” and “Content and activities”)

- To what extent will the project integrate the subject matter, approaches, and learning activities of two or more disciplines (with a minimum of one in and one outside of the humanities) in a substantive and purposeful manner?
- To what extent will the project employ humanities texts and other resources that are appropriate and substantial?
- To what extent does the application articulate the project's long-term educational benefits and its relationship to the intellectual and cultural life of the institution(s)?

Design quality and feasibility
(aligns with narrative sections "Content and activities," "Collaborative team," "Institutional context and resources," and "Impact and evaluation")

- To what extent is the project well-conceived, coherent, and described in adequate detail?
- To what extent do the planned activities allow for meaningful collaboration between humanities and non-humanities team members?
- To what extent do the collaborative team members have the necessary expertise and background in their respective fields to carry out their responsibilities?
- To what extent is there evidence of commitment and support by faculty, administrators, and others involved in the project, as appropriate to the phase of the project (Planning or Implementation)?
- To what extent are the work plan and budget reasonable in view of project activities and goals?
- To what extent is there unambiguous evidence of preceding planning work? **(for Implementation proposals only)**

Impact
(aligns with narrative sections "Intellectual rationale," "Institutional context and resources," and "Impact and evaluation")

- To what extent will the project expand the role of the humanities in the undergraduate curriculum? This may include increasing numbers of students majoring in the humanities or extending humanities learning to students in non-humanities majors.
- To what extent will the project result in substantial and purposeful interdisciplinary integration of two or more departments or schools? This integration should go beyond a single course offering or the simple pairing of complementary courses and should involve learning opportunities appropriate to the combination of disciplines.
- To what extent does the proposal identify ways to measure the project's impact on students' educational experience?
- To what extent do the narrative and supporting documentation indicate long-term institutional support for the project? **(for Implementation proposals only)**

2. Review and Selection Process

NEH staff review all applications for eligibility, completeness, and responsiveness. The agency then conducts a peer review process for all applications that pass this initial screening.

Peer reviewers are experts in their fields with knowledge and expertise relevant to the activities that the program supports. NEH instructs peer reviewers to evaluate applications according to the review criteria in this notice. Peer reviewers must comply with federal ethics rules governing conflicts of interest.

NEH program officers supplement the peer reviewers' comments to address matters of fact or significant points that the peer reviewers have overlooked. They then make funding recommendations to the National Council on the Humanities. The National Council meets at least twice each year to review applications and advise the NEH Chair. By law, the Chair has the sole authority to make final funding decisions.

Following NEH's public announcement of funded projects, you may request copies of the peer reviewers' evaluations of your proposal by contacting hc@neh.gov.

Learn more about the NEH review process.

Apply to be a peer reviewer for NEH.

3. Assessment of Risk and Other Pre-Award Activities

Following the Chair's initial selection of applications for support, the NEH Office of Grant Management (OGM) conducts a risk assessment for selected applications. OGM will consider the applicant's past performance, if applicable; analyze the project budget; assess the applicant's management systems; confirm the applicant's continued eligibility; and evaluate compliance with public policy requirements. This assessment guards against the risk that federal financial assistance might be wasted, used fraudulently, or abused.

OGM may request that you submit additional programmatic or administrative information (such as an updated budget or supporting documentation) or undertake certain activities (such as negotiating an indirect cost rate) in anticipation of an award. Such requests do not guarantee that NEH will make an award.

After completing its risk assessment, NEH will determine whether making an award would be consistent with the agency's risk management policy, whether it must impose any special terms and conditions, and what funding level is appropriate. NEH may elect not to issue awards to applicants with management or financial instability that affects their ability to comply with the terms and conditions of the award (2 CFR § 200.206).

Award decisions are discretionary and are not appealable to any federal official or board.

4. Anticipated Announcement and Award Dates

NEH will notify you of funding decisions by email in April 2024. This is not an authorization to begin performance or incur related costs.

F. Federal Award Administration Information

1. Federal Award Notices

If NEH selects your application for an award, the NEH Office of Grant Management will send award documents to the institutional grant administrator and project director through eGMS Reach beginning in May 2024.

Learn more about managing an NEH award.

2. Administrative and National Policy Requirements

Each award is subject to 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, the General Terms and Conditions for Awards to Organizations (for grants and cooperative agreements issued January 1, 2022 or later), and any specific terms and conditions that NEH places on the award in the Notice of Action.

Debarment, suspension, ineligibility, and voluntary exclusion certification

By applying, you certify that neither your institution nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

You must comply with 2 CFR §§ 180.335 and .350 with respect to providing information regarding all debarment, suspension, and related offenses information, as applicable.

If you cannot attest to the statements in this certification, explain why not in Attachment 9: Explanation of delinquent federal debt.

Providing access to NEH-funded products

NEH strives to make the products of its awards available to the broadest possible audience by providing ready and easy access to its grant products to scholars, educators, students, and the American public. All other considerations being equal, NEH gives preference to projects that provide free access to the public.

You must comply with Section 504 of the Rehabilitation Act of 1973, which prohibits discrimination on the basis of disability in any program or activity receiving federal financial assistance. Consult *Design for Accessibility: A Cultural Administrator's Handbook*.

Copyright information

Subject to applicable law, you may copyright work that you develop or acquire under an award. In accordance with 2 CFR § 200.315(b), NEH reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for federal purposes, and to authorize others to do so. NEH has typically exercised this right in consultation with recipients to publish excerpts of grant products in *Humanities* magazine or on its website.

Acknowledging NEH support

Materials publicizing or products resulting from NEH-funded activities must contain an acknowledgment of NEH support. Consult Acknowledgment and Publicity Requirements for NEH Awards and Publicizing Your Project for guidance.

Subrecipient monitoring requirements

Per 2 CFR § 25.300, you may only issue subawards with federal funds to organizations that have obtained and provided their Unique Entity Identifier. Subrecipients are not required to complete registration with the System for Award Management (SAM) to obtain a Unique Entity Identifier. See D3. Unique Entity Identifier and System for Award Management.

You must monitor your subrecipients to ensure that they use their subawards for authorized purposes; comply with federal statutes, legislative requirements, regulations, and the terms and conditions of the subaward; and achieve their performance goals. You must ensure that your subrecipients track, appropriately use, and report program income generated by the subaward. See 2 CFR § 200.332 for information that you must include in subaward agreements.

Learn more about managing subawards.

Program income

If your NEH-supported activities generate income during the period of performance, you must use it for additional approved project-related activities. See 2 CFR § 200.307 for income that you generate after the period of performance.

Eliminate waste, fraud, and abuse

Help NEH eliminate fraud and improve management by reporting allegations or suspicions of waste, fraud, abuse, mismanagement, research misconduct (fabrication, falsification, plagiarism), or unnecessary government expenditures to the NEH Office of the Inspector General.

Termination

NEH reserves the right to terminate awards consistent with 2 CFR § 200.340.

3. Reporting

If you receive an award, you must complete required reports in eGMS Reach, the NEH online grant management system, unless otherwise instructed. NEH will provide further information in the Notice of Action.

1. **Federal Financial Report(s)**. You must submit the Federal Financial Report (SF-425) annually.

2. **Performance Progress Report(s)**. You must submit a performance progress report annually.

3. **Final Reports**. You must submit a final Federal Financial Report (SF-425) and a final performance report within 120 calendar days after the period of performance ends. The final performance report collects information relevant to progress on program-specific goals; impact of the overall project; the degree to which you achieved the mission, goals, and strategies outlined in the approved application; your objectives and accomplishments; barriers encountered; and your overall experiences during the period of performance.

Learn more about performance reporting requirements and financial reporting requirements.

G. Agency Contacts

If you have questions about the program, contact:

Division of Education Programs
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506

202-606-8337
hc@neh.gov

If you have questions about administrative requirements or allowable costs, contact:

Office of Grant Management
National Endowment for the Humanities
400 Seventh Street, SW
Washington, DC 20506
202-606-8494
grantmanagement@neh.gov

If you are deaf or hard of hearing, you can contact NEH using telecommunications relay at 7-1-1.

If you have questions about registering or renewing your registration with login.gov or SAM.gov, contact the Federal Service Desk, Monday – Friday, 8:00 a.m. to 8:00 p.m. Eastern Time, at:

Federal Service Desk
U.S. calls: 866-606-8220
International calls: +1 334-206-7828

For assistance in registering with or submitting your application through Grants.gov, contact Grants.gov Applicant Support at:

Grants.gov Applicant Support
U.S. calls: 1-800-518-4726
International calls: +1-606-545-5035
support@grants.gov

Always obtain a case number when calling for support.

H. Other Information

Related funding opportunities

The Humanities Initiatives programs offered by the Division of Education Programs support projects that strengthen the teaching and study of the humanities at institutions of higher education by developing new humanities programs, resources (including those in digital format), or courses, or by enhancing existing ones. Projects that do not involve substantial collaboration with faculty outside of the humanities should consider the Humanities Initiatives programs instead of Humanities Connections.

Spotlight on the Humanities in Higher Education supports the exploration and development of humanities projects at small to medium-size two- and four-year institutions of higher learning that primarily enroll students from underserved populations, as well as nonprofit organizations whose work advances the humanities at those institutions. If your institution is a nonprofit, or if the project you propose is a relatively small one or does not include both humanities and non-humanities faculty and the potential for long-term institutional support, then you should consider Spotlight instead of Humanities Connections.

Privacy policy

NEH solicits the information in this Notice of Funding Opportunity under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 951, *et seq*. Disclosure of the information is voluntary. The principal purpose for which NEH will use the information is to process the application, which may include determining eligibility, evaluating the application, selecting recipients, and administering the award program. Panelists and other third parties may assist in the evaluation of applications, in which case NEH will take appropriate security measures with respect to the information provided to such individuals for review. NEH may also use or disclose the information it collects as required by law and for governmental purposes such as statistical research, analysis of trends, Congressional oversight, and the other routine uses set forth in the systems of records notice ("SORN") published by NEH in the Federal Register. NEH ordinarily will not publicly disclose the contents of applications that NEH does not select for funding, except as set forth in the SORN. Failure to provide the information solicited in this Notice may result in rejection of the application.

Application completion time

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates that on average it takes sixty hours to complete an application. This estimate includes time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Time needed may vary from program to program.

You may send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the completion time, to the Chief Funding Opportunity Officer at grantmanagement@neh.gov. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number. The OMB Control Number for this Notice of Funding Opportunity is 3136-0134, expiration date October 31, 2024.

Sample Letter of Intent

Sponsor: *Humanities Tennessee*

Request for Proposal: *Opportunity Grants provide up to $2,500.00 to small nonprofits for public humanities projects – those that engage the audience's skills of inquiry, analysis, and reflection, and provide the historical and social contexts with which to do so.*

Humanities Tennessee believes small projects can have a big impact. They can educate your audience, sharpening skills vital to thriving 21st century communities. They can empower your audience to share their knowledge, ideas and stories, leading toward equitable, civil public life in your town. Small projects can contribute to change. How can you use an Opportunity Grant to reflect this potential? We would like to help!

Eligibility/Criteria:

- *Applicants must be a Tennessee non-profit with an annual budget of* ***$150,000 or less. (Minor budgetary exceptions may apply.)***
- *Grants must involve a scholar in a humanities-based project for a public audience.*
- *Grants must support one-time or pilot projects*

Please submit a Request for Application form at the bottom of this page that describes your request.. If your organization and project are eligible, our staff will send a link to the online application.

Hi Michael,

Thanks again for helping with this. Here is the brief project description. Let me know if you need extra from me.

To many, Abraham Lincoln exemplifies what it means to be both a good leader and a good citizen. Individuals on both sides of the political spectrum claim Lincoln as their own. As such, there is opportunity to use the life and ideals of Abraham Lincoln to promote constructive discussion on the topic of citizenship. The program *Of the People, By the People, For the People* explores the concept of citizenship through primary sources that are tied to Lincoln's life. By covering topics from voting to public service, audiences can translate an understanding of Lincoln and his times into an understanding of citizenship that can benefit today's communities and political discourse. The program is targeted to local high school students and to the public in separate sessions, and will be offered for free in the auditorium of the Abraham Lincoln Library and Museum in Harrogate, Tennessee.

Best,
Natalie

Critique this Letter of Intent

1.) How well does the letter address a problem?

1 2 3 4 5

2.) How well does the letter address the urgency to address the problem?

1 2 3 4 5

3.) How well does the letter address the applicant's solution to the problem?

1 2 3 4 5

4.) How well does the letter address the applicant's ability to address the problem?

1 2 3 4 5

5.) How well does the letter address the appropriateness of the sponsor's involvement?

1 2 3 4 5

6.) How well does the letter use professional address and formatting?

1 2 3 4 5

7.) How well does the letter utilize personalization?

1 2 3 4 5

Your Suggestions for the Letter of Intent:

Sample Application

Tennessee State Board Programming Regrants

Enhancing the Digital Collections of the University Archives & Special Collections at LMU

I. Organization Description:

The mission of the University Archives & Special Collections (UASC) at Lincoln Memorial University is to identify, preserve, provide reference assistance for, and make available rare and unique materials. The UASC maintains these research materials because they are of enduring cultural and historical value and help to document the legacy of Lincoln Memorial University while also bringing awareness to regional Appalachian history.

Located within the Carnegie-Vincent Library on the main campus of Lincoln Memorial University (LMU) in Harrogate, Tennessee, the University Archives & Special Collections is roughly 1,400 ft^2 containing several rooms that each serve specific purposes. Responsible for maintaining these areas and caring for their contents of rare and unique collections is a staff of one full-time employee, the Special Collections Librarian & University Archivist. As the University Archives & Special Collections is located within the Carnegie-Vincent Library, its hours of operation fall within those of the Library. This sees the UASC typically open via appointment and/or supervised walk-in Monday through Friday, 10 AM to 6 PM. Additionally, as a part of the Carnegie-Vincent Library, funding for the University Archives & Special Collections is provided through the Library's annual budget. Fluctuating by year, the Library's annual budget as it relates to the UASC can be estimated at roughly $1,100 with costs going towards collection development, preservation supplies, and a hosted ArchivesSpace subscription.

In keeping with its mission, the University Archives & Special Collections houses collections of documents, publications, literature, photographs, and artifacts spanning an estimated 1,092 cubic feet in total. Included among these collections are those of individuals who supported Lincoln Memorial University throughout the years. Newspaper columnist Burt Vincent, playwright Earl Hobson Smith, Middlesboro Kentucky founder A. A. Arthur, and General O. O. Howard are some of those represented in these collections. Appalachian authors Jesse Stuart, Boyd Carter, James Still, and Robert Kincaid are included as well. The UASC also holds files focusing on the history and culture of LMU from its founding in 1897 and includes local history in the form of personal papers, oral histories, and genealogical publications. Other unique additions to the archives include early 20th century medical equipment, rare English literature books, and newspapers from early American colonial times through 20th century.

However, some of the most notable archival collections that researchers consistently request access to are those produced by Lincoln Memorial University such as its Railsplitter yearbooks and its Mountain Herald publications, all of which also include looks into the local history as campus life was often intertwined with community life.

Thus, it is these specific collections that the University Archives & Special Collections is looking to digitize with the assistance of the 2023 State Board Programming grant. For while these items are in good condition considering their age and available to the public upon request, there is an ongoing concern that consistent use of these records will increase their rate of deterioration. If these LMU publications can be scanned and uploaded into digital collections safely, then public access to them will increase significantly.

II. Project Description and Scope of Work:

Chartered on February 12, 1897, Lincoln Memorial University was established to uphold the values, spirit, and name of Abraham Lincoln and to serve the needs of the local Appalachian community in their pursuit of educational opportunities. Since its founding, LMU has continued to uphold its commitment to enriching the lives of the people and communities of the Appalachian region. It is this dedication that can be found within the unique collections of the University Archives & Special Collections. It can be seen in the Railsplitter yearbooks that show how campus life intertwined with the local community and it can be read within the Mountain Herald publications that highlighted stories from and throughout the Appalachian region. These are just some of the collections not found anywhere else beyond the campus of Lincoln Memorial University that provide a deeper look into the culture and history of the Cumberland Gap and Appalachian region. In fact, they are just some of the many materials that need to be digitized so that others from around the world may see how diverse the Appalachian region is in its education, culture, and history as seen through the lenses of those who've lived it.

The journey towards achieving this goal of digitization has been long and ongoing. As many of the yearbooks and publications within the University Archives & Special Collections are tightly bound and becoming brittle with age, it has not been safe to scan them on a flatbed scanner as has been done with university photographs. Unfortunately, the few times that it has been necessary to do so, has seen many bindings stressed and even some pages torn. As such, it has been determined that purchasing an overhead book scanner would be the safest and most economical avenue to take in the pursuit of generating good quality scans of university publications that can be easily shared in a digital format.

However, the budget for the University Archives & Special Collections is not the most robust and so assistance from a grant is necessary to purchase an overhead book scanner that can meet the current and future digitization needs of the UASC. As this is a reimbursement-based grant, the Carnegie-Vincent Library will focus on reallocating budget from other lines to provide funding to purchase the desired scanner. Such a measure is only possible due to the understanding that funds spent will be reimbursed to their original lines. Thankfully, only the purchase of an overhead book scanner is necessary as the archives already has a computer that will be paired with the scanner and an external hard drive that will serve as backup storage for the material scanned and uploaded online into the freely accessible institutional repository of Lincoln Memorial University, https://digitalcommons.lmunet.edu/. So once purchased and later installed with assistance from the university's Information Services department, the overhead book scanner can begin generating results.

The staff responsible for this project of enhancing the digital collections of the University Archives & Special Collections of Lincoln Memorial University via the purchase and implementation of an overhead book scanner will be the Special Collections Librarian & University Archivist, Rachel Motes. Rachel Motes has worked at LMU for over five years as a librarian for the Carnegie-Vincent Library and as the archivist for the University Archives & Special Collections. With over seven years of experience working in university and corporate archives at various levels, she has the qualifications necessary for leading such a project; attention to detail, understanding of the University's archival collections, working knowledge of LMU's Institutional Repository and its metadata requirements, experience managing and safely handling archival materials, and the desire to see an underserved area's unique history and culture come to light on a global platform.

After the purchase and installation of the overhead book scanner, the initial goal for this project is to scan 72 Railsplitter yearbooks and roughly 49 bound volumes of Mountain Herald publications. While these two university publications are to be the focus of this project, its anticipated that many more collections will benefit from being scanned by this overhead book scanner in the years to come. Future scanning projects could include school catalogs, newspapers, chapbooks, scrapbooks, magazines, journals, and more as determined at later dates.

To help implement and sustain this project and its initial goals, the project staff will partner with Lincoln Memorial University's Office of Research, Grants, and Sponsored Programs (ORGSP). As an Office of the University that supports research and service, the ORGSP will assist in the administration and management of this grant. Per LMU policy, the project staff must work closely with the ORGSP Post-Award Manager and their Executive Director to ensure that everything is done properly in all aspects of the grant life. Additionally, the project staff will dedicate portions of her schedule each week to working on this project. Furthermore, depending on the initial speed of scanning, uploading, and metadata creation, she will create a project timeline that will be used in monthly meetings with her Library Director to keep herself accountable to this project and its deadlines as provided by the Tennessee Historical Records Advisory Board for the State Board Programming Grant. A potential timeline for this project, if awarded in October, could include:

Date	Activity (SBPG)	Activity (UASC)
Oct. 2023	SBPG grant awards announced	
Oct. 2023		Purchase Overhead Book Scanner
Nov. 2023		Receive, Install, and Learn the Scanner
Nov. 2023		Begin digitization of material
Jan. 2024		Begin Work on the Interim Report, if not already working on it
Feb. 16, 2024	Interim reports due by 4 pm	
May 2024		Begin Work on Final Report and Title VI reporting, if not already working on them
May 31, 2024	SBPG grant projects completed; spending funds complete	

June 14, 2024	Final day to submit reimbursement requests	Try to submit this as soon as possible
June 28, 2024	Final reports due by 4 pm	
July 26, 2024	Title VI reporting due	Keep track of the demographical data for the entire duration of this project and confirm that Title VI training has been completed

In keeping with the projected timeline and its absolute deadlines, other statistics will also be tracked. Such statistics could include the rate at which items are scanned and uploaded to the Institutional Repository in addition to visitor statistics and the number of downloads of scanned items added to the IR for the duration of this project. The tracking of these statistics will also be used to evaluate the effectiveness of the project. For this purpose, the tracking of visitor and download statistics will be vital as it will help the project staff determine how engaged the public is with the project. It is the hope of the project staff that if awarded this grant and allowed to scan more bound material to add to the University Archives & Special Collections section of LMU's Institutional Repository, the public will engage more with not just the uploaded material but also with the project staff and other collections of the UASC.

Additionally, by scanning material for researchers to view online, the project staff hopes to limit the risk of deterioration incurred by constantly handling archival materials that have become brittle with age. A one-time scanning of an item will see it safely scanned and uploaded onto a digital platform that will allow it to be more easily accessed and utilized. Thus, the purchasing of an overhead book scanner for this project will have a long-term benefit of allowing more collections to be scanned beyond those used within the scope of this project that in turn will also see them used more often by more researchers who may not have previously know about them.

To help achieve the projected outcome of increasing public access to archival collections, the project staff will share news of the awarded grant and project outcomes through various campus channels. As the project staff is required to work with LMU's Office of Research, Grants and Sponsored Programs, one such channel will be the ORGSP's Quarterly newsletter. Another will be the social media accounts of the Carnegie-Vincent Library. It is also a potential possibility that news of this project could also be featured in an edition of LMU's alumni magazine, The Alumnus.

All in all, the awarding of the State Board Programming Grant from the Tennessee Historical Records Advisory Board to the University Archives & Special Collection of Lincoln Memorial University will see to more than just the reimbursement of purchasing an overhead book scanner. It will see to: (1) the digitization of the Railsplitter yearbooks and Mountain Herald journal, two of the most consistently requested items for research, (2) an increased engagement of the public with the freely-available online collections of the UASC located within the Institutional Repository, (3) more collections of catalogs, magazines, newspapers, and other publications being digitized and uploaded online, and (4) maybe even possible future collaborations with other entities across the LMU campus and into the community beyond. In the end, this is an opportunity to begin a journey that will see to the enhancement of the digital collections of the University Archives & Special Collections at Lincoln Memorial University.

III. Budget Summary:

In reviewing overhead book scanners that fit the current and future needs of the University Archives & Special Collections of the Carnegie-Vincent Library at Lincoln Memorial University, the CZUR M3000 Pro V2 Book Scanner from Crowley was selected. As a Crowley Company provided product, https://thecrowleycompany.com/digitization-products/large-format-book-scanners/a3-overhead-scanners/czur-m3000-pro-book-scanner/, it is described as an affordable scanning solution ideal for all kinds of patrons within libraries, archives, and other types of institutions. Designed to be an intelligent v-shaped book scanner with various image processing software features and easy to use hardware, this product can safely scan material up to A3 sized format. By providing a non-destructive scanning method, the CZUR M3000 Pro V2 Book Scanner is sure to digitize many collections from within University Archives & Special Collections without cause for additional concern.

As of August 30, 2023, the purchase of this scanner was quoted at an estimate of $4,300. This price reflects $3,000 for the overhead book scanner, $100 for a studio box to limit negative lighting effects, $200 for a pressure plate to safely hold and keep material flat, $825 for the training of project staff in the proper usage of the scanner's software and hardware, and $175 for shipping and handling. All costs associated with the purchase of the CZUR M3000 Pro V2 Book Scanner are listed within the quote provided by the Crowley Company. Written in a transparent manner, no additional subscriptions or reoccurring fees were included and while the quotation is valid until September 29, 2023, the quoted total cost is not expected to change much, if at all.

Assessment of the Digital Library of Appalachia

What activities would the grant support?

The Appalachian College Association (ACA) requests funding to engage a consultant who can assess the current state of the Digital Library of Appalachia (DLA), complete a new draft collections policy for the DLA that, when finalized, can be used to add new items to the collection, add new ACA member institutions to the DLA, identify planning necessary for digital preservation and recommend strategies for training archives staff at member institutions. The consultant will also assess the long-term sustainability of the DLA using LYRASIS' It Takes A Village framework. ACA staff, in collaboration with archives staff at member institutions, will finalize the collections policy and develop more concrete plans for maintaining and sustaining this important regional resource based on the consultant's recommendations. In addition, the consultant will work with ACA staff and archives staff at member institutions to provide a framework and guidance for staff to develop online training modules to help faculty, staff, and students at member institutions digitize and load items to the DLA.

While the DLA is almost twenty years old, and a significant amount of labor and energy has gone into creating this collection, we need support to make sure that the next phase of its existence is fruitful and sustainable. In recent years the ACA has undergone a 100% staff turnover, and the staffing in DLA member institutions has also changed considerably with the twin dynamics of pressures on private higher education and the covid-19 pandemic. By using the ITAV model and looking at the areas of governance, technology, resources and community engagement, we can ensure that the DLA is more fully integrated into the ACA's operations and programs.

In addition, not only have best practices in digital preservation shifted since the DLA's conception, but the interest and investment in digital humanities and digital scholarship has lead scholars and students to use digital collections in new ways. As a result, we need to ensure the digital content we created in the last twenty years can be accessed and used by scholars and students using new and emerging digital tools. The expansion of the DLA is one of the elements in the current ACA strategic plan, as part of our organizational commitment to enhance scholarship on Appalachian issues. The ACA has a new vision for the role that the DLA can play in supporting scholarship and teaching about the history and culture of Appalachia, which is a particular need for relatively thinly resourced institutions such as those in the ACA. Funding for this project will allow us to take the critical first steps in realizing that vision. This project responds to the NEH "A More Perfect Union" initiative in that provides access to important resources for deepening public understanding of this region, which is often misunderstood. Improving access to primary source documents that provide relevant and powerful information on Appalachian history and culture is a pressing need.

What are the content and size of the humanities collections that are the focus of the project?

The Digital Library of Appalachia provides online access to archival and historical materials related to the culture of the southern and central Appalachian region. The contents of the DLA are drawn from special collections of 23 of the 35 Appalachian College Association member libraries. The collection currently contains over 30,000 digital objects on the CONTENTdm platform. These include digitized music, photographs, memorabilia, manuscripts, maps, oral histories, and documents.

This digital resource contributes to the goals of the NEH's "A More Perfect Union" initiative in that it supports access to and availability of materials that provide essential insight into rural life and culture in the historically and sociologically significant region of Central Appalachia. The digital objects contained in this collection include materials important to the history of

Appalachia, through music, political figures, authors, religious and educational institutions. These materials are useful to the general public and to academic researchers and o students of history, religion, anthropology, sociology, linguistics, and music.

The 4,703 DLA items from Berea College include materials from the Berea College Special Collections and Archives and the collections of the Loyal Jones Appalachian Center. These resources are in five general categories: non-commercial audio recordings of Appalachian music and folk tales; transcriptions of Civil War amnesty letters in the collections of the National Archives and Records Administration; photographs of log structures in Southern Appalachia; photographs of Appalachian hand-made items (clothing, weavings, furniture, pottery, tools, etc.); and photographs of mass-produced artifacts depicting the "hillbilly" stereotype.

The largest group of materials is the audio recordings (over 4100) of songs and stories gleaned from field recordings, music festivals, and radio broadcasts. The recordings were made between 1935 and 2015 and are a deep resource for exploring the musical and spoken culture of Appalachia. The approximately 250 photographs are resources for the study of Appalachian material culture and commercial negative stereotypes of Appalachian people. These images document items created from the mid-1800s to the 1980s. The transcriptions of 260 American Civil War amnesty letters are resources for studying the life circumstances of former Confederate soldiers who were seeking to re-integrate into American society after the failure of their cause.

Lee University's holdings in the Digital Library of Appalachia document the early history of its founding denomination, the Church of God. The Church of God is an Appalachian-born Christian denomination with a global membership. The denomination grew out of a Baptist restoration movement in southeast Tennessee and western North Carolina. Beginning in 1886 with an east Tennessee congregation, it now has a presence in 185 nations and territories. Current holdings in the Digital Library of Appalachia include: the handwritten ordination of R. G. Spurling who was founding pastor of the Church of God; photographs of early Church of God General Assemblies; the *Minutes of Annual Assembly of the Churches of East Tennessee, North Carolina and Western North Carolina*—congregations that later took the name Church of God had their first General Assembly in Cherokee County, North Carolina, in 1906; and *Samson's Foxes*—a periodical published in 1901 by A. J. Tomlinson, a "mountain missionary" who became the first general overseer of the Church of God and the first president of Lee University.

Mars Hill University's Southern Appalachian Archives has deposited a considerable number of resources focused on traditional Appalachian music. These include the Roger Howell Memory Collection of over 600 fiddle tunes; photographs and recordings from the Byard Ray Folk Festival Association Records; and over 80 of the handwritten folksong and ballad lyrics from the Bascom Lamar Lunsford Collection. Both the fiddle and ballad collections document important folk music traditions in western North Carolina. The Howell collection was inspired by the Memory Collections of songs, stories, and fiddle tunes that Bascom Lamar Lunsford recorded for Columbia University and the Library of Congress in 1935 and 1949, respectively. Lunsford founded Asheville's Mountain Dance and Folk Festival, the nation's oldest folk festival and inspiration for the National Folk Festival. The ballads currently held in the DLA are only a few of the 2,300 in the collection. Their transcriptions in the DLA make these texts more accessible for those who cannot read cursive and those who use assistive technology to read web pages. The ballad tradition of this part of western North Carolina has long received national and even international attention, as collectors came here in the early part of the 20th century to document this music. The Byard Ray Folk Festival images and recordings feature a range of musicians from Madison County and other parts of western North Carolina.

There are also a few items in the DLA from an interesting and important collection that documents agriculture in western North Carolina from the early to mid-twentieth century. Mars Hill University's archives holds more materials that address rural life and agriculture in the southern Appalachians, and would welcome the opportunity to include these digitized objects in the DLA in the future.

How are these humanities collections used?

All DLA materials are publicly available. We do not currently have systematic usage data, which is something that we will address in our sustainability planning if we are funded. We do have evidence that patrons utilize these materials in a variety of ways, and that students, scholars and the general public consider them to be a valuable resource. For instance, Brevard College history students who are interested in archival work watch, describe, create metadata for, and upload regional oral history films. At Mars Hill University, a faculty/student team created an activity to scan transcribed ballads in the campus' Bascom Lamar Lunsford Collection so that patrons of the DLA can both see the scanned ballads and the transcriptions in the DLA.

Beyond the ACA, we know that music resources in the DLA music resources are particularly valued among communities of musicians and music historians: the DLA is cited in the Wikipedia entry for an old fiddle tune ("Yew Piney Mountain"), is cited in *Old Time Herald*, a popular magazine on old time music as "the motherlode" and a "stunning and invaluable collection of recordings". Images from the DLA are utilized in the online posting for Episode 58 of the podcast *Southern Mysteries*, titled "The Legend of Octavia Hatcher." In addition, humanities scholars from many disciplines have published works utilizing or citing DLA content, including Barnes' 2011 article "An Archaeology of Community Life: Appalachia, 1865-1920" (*International Journal of Historical Archaeology* 15:669-706), Blackburn's essay "Digital Rhetorics of Appalachia and the Cultural Studies Classroom" (in Schumann and Fletcher (eds), *Appalachia Revisited: New Perspectives on Place, Tradition, and Progress, 2016*), Brodie's "Stories from the Mountains: Appalachian Literature for Children and Adolescents" (in Smolen and Oswald (eds), *Multicultural Literature and Response: Affirming Diverse Voices, 2010*), and McGowan and Levitt "A Comparison of Rhythm in English Dialects and Music" (*Music Perception* 28:307-313, 2011). These resources provide valuable primary resources for scholarship on Appalachian history and culture.

What is the nature and mission of your institution?

The Appalachian College Association is a non-profit consortium of 35 private four-year liberal arts institutions located in the central Appalachian Mountains in Kentucky, North Carolina, Tennessee, Virginia, and West Virginia. The mission of the Association is to serve Appalachian communities through the transformational work of its faculty, staff, and students. Programs offered by the Association are designed to promote cooperation and collaboration among member institutions, and to support scholarly and creative activities of faculty and students.

One of the signature programs of the ACA is its Bowen Central Library of Appalachia (BCLA), which includes the Digital Library of Appalachia. The librarians of the BCLA provide oversight for the DLA in three ways: system administration and infrastructure support provided by ACA staff, including serving as contact with OCLC; the leadership of a standing committee, with representatives from all member states, who is charged with identifying training needs and opportunities, providing technical support, and promoting the collection; and the council of library directors, which includes all library directors and participates in standing committee governance with the ACA director of library services.

The Appalachian College Association employs five full-time year-round staff members, including two whose work is specifically dedicated to supporting the BCLA and DLA.

Has your institution ever had a preservation or conservation assessment or consultation?

In 2007, the Appalachian College Association utilized funding from the Andrew W. Mellon Foundation to conduct an inventory of the special collections at 27 of our campuses. This project engaged a program director who conducted the inventory and analysis of the listings, and provided an initial assessment of the quality and significance of the resources identified. Further funding was received from Mellon in 2009 to add materials, train library staff, and upgrade the software used to sustain the DLA. The program director for this phase of the work oversaw considerable increase in the digital content, growing the collection to almost the size it is today.

What is the importance of this project to your institution?

The member institutions in the ACA are generally small, private colleges without extensive archival expertise or resources to support important archival work. As a consortium, we provide significant professional development and support for faculty, librarians, and archives staff at our member institutions. Our member institutions are hard-pressed to purchase primary source materials for student and faculty use; the DLA can be an invaluable tool for ACA faculty and students who specialize in utilizing every resource at our disposal. With the support of this project, the DLA could be an even more powerful tool for teaching and learning in and beyond our region than it is currently. Most importantly, it could support work that expands and complicates dominant American narratives about who and what constitutes Appalachia at a moment when some of the most dominant narratives are constructed by people outside the region, often focusing on a narrow and incomplete perspective on the diversity and significance of the people and land in Appalachia.

We can envision a future in which the collection is used and grows based on curriculum, community archiving, and student-curated collections. To do this, we must assess the collection and determine some potential next steps for digital preservation and collection development. We want to adopt and recommend strategies for training archives staff at member institutions and expand the curricular uses of the collection. At this point, we don't have enough reliable information about how the collection is being used to make data-driven decisions. We want to ensure that the collection grows in strategic and sustainable ways to support humanities faculty and students at our member institutions and beyond.

What are the names and qualifications of the consultant and staff involved in the project?

Leigh A. Grinstead, Senior Digital Services Consultant~~,~~ and Program Lead Catalyst Fund, DAS LYRASIS. Leigh A. Grinstead has more than 20 years of experience working in museum administration, overseeing collections, and conducting preservation assessments and collection inventories. Leigh has written, reviewed, and managed successful grant projects for National Endowment for the Humanities and Institute for Museum and Library Services grants; she served as the project manager for the Colorado Statewide Connecting to Collections planning grant and consulted on five others. She now acts as the program lead for the LYRASIS Catalyst Fund, an award program that provides support for new ideas and innovative projects from the LYRASIS membership. Leigh worked with the Collaborative Digitization Program to deepen an interest in digital collections and digital humanities work. Since then, she has further broadened her experience with digital projects by earning her Digital Archives Specialist Certification in 2015. She consults with collection-holding institutions around the nation, facilitating meetings and advising them on digital project and preservation planning, workflows, standards and best practices for capture, metadata creation, access and preservation.

Heather Tompkins, Director, Library Services, ACA. Heather Tompkins has supported digital pedagogy, digital humanities, and digital scholarship throughout her career, first as a Humanities liaison and then as Head of Library Collection services. While liaison librarian for the Humanities at Carleton College (2003-2015), Heather worked closely with Humanities students, faculty, and staff to support teaching, learning, and research, consulting on digital projects of all scopes and sizes.

As a member of the team that coordinated the Digital Humanities initiative on campus, Heather worked with people from across departments to build institutional capacity for the program. These projects, often resource intensive, required faculty and staff to work together in new ways. She developed and implemented a training program for undergraduate students providing research support for digital projects, including peer support for other students.

Heather has co-authored articles and presented on a wide range of topics relevant to digital scholarship, including student curated collections and emotional labor and digital humanities. Heather has degrees in American Studies (B.A.) and History (M.A.) from Miami University where she focused her on the history of women and labor in the United States.

What is the work plan for the project?

The consultant (Grinstead) will work collaboratively with the Project Director (Tompkins) and DLA volunteer advisors to develop an assessment tool that will collect data on the strengths, challenges, and opportunities associated with the DLA and will analyze and report on the survey results. Heather Tompkins will manage the overall project, and will ultimately be responsible for developing the staff training identified as part of the assessment. A more detailed work plan is included in the attachment to this proposal.

9/2021: Grinstead reviews and makes recommendations regarding the current collections development policy. Grinstead and Tompkins plan and conduct focus group of ACA librarians and archivists. Grinstead will lead focus group via Zoom; if it continues to be necessary to utilize virtual meetings due to the COVID-19 pandemic, participants will also use Zoom.

10-11/2021: Grinstead develops and administers a survey to collect information on the DLA focused on digital collections, training and digital preservation needs within the ACA community. Tompkins defines and documents targeted audiences for the survey project and develop a survey dissemination strategy.

12/2021 to 1/2022: Grinstead aggregates, codes, and documents Coded Result sets from the survey and analyzes results to allow comparisons across populations.

1/2022: Grinstead provides a report on the analysis of the survey data. The goal of the project report will be to provide information and prioritized recommendations to ACA, and to members of the DLA, which can be used in addressing current and emerging needs.

2/2022: Grinstead documents the sustainability needs of the DLA using the LYRASIS ITAV framework in a report for distribution.

3/2022: Grinstead develops a plan for digital preservation practices and training needs, in consultation with Tompkins.

Budget Narrative

Appalachian College Association

Assessment of the Digital Library of Appalachia

Senior/Key Personnel		
Project Director Heather Tompkins will oversee all activities of the project to ensure its completion.	Calculated at 7.5% of FTE, salary and benefits, for 7 months.	
Other Direct Costs		
Consultant Services. ACA staff do not have the necessary qualifications to conduct the kind of assessment we need of the Digital Library of Appalachia. Utilizing the consulting services at Lyrasis gives us access to experienced and knowledgeable consultants with the expertise we need to prepare us for the next phase of this valuable resource.	Calculated at $1350 per day for 7 days. This rate reflects a 10% discount for Lyrasis members.	[redacted]
Total Direct Costs		[redacted]
Indirect Costs		
	Indirect costs are calculated at 10% of modified total direct costs, in accordance with Appalachian College Association policy	[redacted]
Total Requested		[redacted]

Work Plan

Appalachian College Association

Assessment of the Digital Library of Appalachia

Date	Person(s) Responsible	Tasks
9/2021	Project Director Heather Tompkins and Consultant Leigh Grinstead	Tompkins will provide Grinstead with all relevant collections development and other relevant policies and background information for the Digital Library of Appalachia. Grinstead will review and make recommendations regarding the current collections development policy.
9/2021	Tompkins and Grinstead	Grinstead and Tompkins will conduct a focus group to gather initial information for the study. Grinstead will participate via Zoom, and Tompkins will be in-person for the focus group. It will be held at the 2021 Appalachian College Association Summit in Pigeon Forge, TN, since prospective focus group members (campus archivists and library staff) will already be scheduled to be in this location. If it is necessary at that time to utilize virtual meetings due to the COVID-19 pandemic, we will offer a virtual focus group instead. LYRASIS held numerous focus groups for an NHPRC grant-funded project in the spring/summer of 2020 that were highly successful. Grinstead will work collaboratively with Tompkins to draft focus group questions. Grinstead will code and document results of focus group discussion to be incorporated into the final report. The results of the focus group will also be used in part, to develop and refine the written questions for the survey to be sent to that larger ACA community in the fall.
10/2021 to 11/2021	Grinstead	Utilizing feedback from the focus group and other conversations with key DLA and ACA staff, Grinstead will develop and administer a survey to collect information on the DLA focused on digital collections, training and digital preservation needs within the ACA community. The survey will also help the consultant and project director identify issues around sustainability.
11/2021	Tompkins	Define and document targeted audiences for the survey project and develop a survey dissemination strategy.

Date	Person(s) Responsible	Tasks
12/2021 – 1/2022	Grinstead	Aggregate, code, and document Coded Result sets from the survey and utilize analysis methods to allow comparisons across populations.
1/2022	Grinstead	Provide a report on the analysis of the survey data. The goal of the project report will be to provide information and prioritized recommendations to ACA, and to members of the DLA, which can be used in addressing current and emerging needs.
2/2022	Grinstead	Document the sustainability needs of the DLA using the LYRASIS ITAV framework in a report for distribution to the ACA.
3/2022	Grinstead	Develop a plan for digital preservation practices and training needs, in consultation with Tompkins.

January 11, 2021

Heather Tompkins
Director, Library Services
Appalachian College Association
3816 Camelot Dr.
Lexington, KY 40517-2062

Dear Heather:

It has been great speaking with you over the past year about the Appalachian College Association's (ACA) request to the NEH PAG *A More Perfect Union* program for funding an assessment of the current state of the Digital Library of Appalachia (DLA). I'm very pleased that you'll be going forward with an assessment, I think your application is entirely appropriate given the state of the world; the desire the public has for high-quality content and the way that academia is changing, especially in a post-COVID world.

I would be thrilled to work with the ACA on the proposed DLA assessment and digital preservation planning consulting project. As you know, LYRASIS staff have a great deal of experience in performing surveys, digital preservation planning, collaborative projects, and working with organizations to evaluate work based on survey projects, training programs, and making recommendations.

Based on our discussions, if funded, LYRASIS is committed to providing my services as a consultant to provide substantive comments on the collections policy for the DLA that, when finalized, can be used to add new items to the collection, identify planning necessary for digital preservation and adding new items to the collection. I will also work with ACA staff to recommend strategies for training archives staff at member institutions. I will also work collaboratively with the you as Project Director and DLA volunteer advisors to develop an assessment tool that will collect data on the strengths, challenges, and opportunities associated with the DLA and will analyze and report on the survey results. The survey will assess the long-term issues surrounding sustainability reviewing DLA technology, resources, governance, and community engagement using the *It Takes A Village* (ITAV framework). The final report will include prioritized recommendations for implementation.

The standard LYRASIS consulting fee for consulting is $1500/day however, LYRASIS members receive a 10% discount on consulting services for $1,350 a day. We estimate 7 days total for this project. The total consulting fee would be $9,450, and there will not be any travel expenses. Focus group work during the ACA annual institute will be done remotely during this project due to the ongoing uncertainty around travel during the pandemic, for **a total project cost of $9,450**.

I have included a brief biographical sketch (below) for your review. Please contact me at 404/520-8615 if you should have questions about this letter of commitment, or about any aspects of the potential project. Thank you for the opportunity to work on this exciting project with the digital library collections of the Appalachian College Association's members.

Thank you for including me in your grant personnel. I look forward to working with you and hope that this project is funded. ***I think that the work you propose is incredibly relevant and especially timely given the obvious need we've seen recently for humanities resources to be used to understand the history of our nation and our identity as citizens in the coming months, years, and decades to come.***

Sincerely,

Leigh A. Grinstead
Senior Digital Services Consultant, LYRASIS

Experience of the Consultant

Leigh A. Grinstead, Senior Digital Services Consultant, D.A.S.
LYRASIS
Leigh A. Grinstead has more than 20 years of experience working in museum administration, overseeing collections, and conducting preservation assessments and collection inventories. Leigh also spent years writing, reviewing and managing successful grant projects. Including National Endowment for the Humanities and Institute for Museum and Library Services grants, and she served as the project manager for the Colorado Statewide Connecting to Collections planning grant and consulted on five others. She now acts as the program lead for the LYRASIS Catalyst Fund, a $100,000 award program that provides support for new ideas and innovative projects from the LYRASIS membership. It is administrated by the LYRASIS Leaders Circle to expand opportunities to explore, test, refine and collaborate on innovations with the potential for community-wide impact.

In addition to her grants work, Leigh used her nearly half a decade with the Collaborative Digitization Program to deepen an interest in digital collections and digital humanities work. Since then, she has further broadened her experience with digital projects by earning her Digital Archives Specialist Certification in 2015. She consults with collection-holding institutions around the nation, facilitating meetings and advising them on digital project and preservation planning, workflows, standards and best practices for capture, metadata creation, access and preservation. You may also find her teaching an occasional online class or as a panelist or facilitator at a museum, archives or library conference.

NSF Sample

Behavioral and Cognitive Sciences Sample Proposal

(Access at: https://new.nsf.gov/sbe/bcs/sample-proposal#project-summary-c56)

This example of a successful doctoral dissertation research improvement grant proposal in cultural anthropology is being made available with permission from the authors in order to provide guidance to potential principal investigators.

Dissertation Research: The Effects of Water Scarcity on Reciprocity and Sociability in Bolivia

Principal Investigator: H. Russell Bernard
Co-principal Investigator: Amber Y. Wutich

Project summary

Problem statement
Impending water shortages and conflicts over scarce water are now widely predicted (Ohlsson 1995, Elhance 1999). Ross (1993) has shown that the presence of cooperative ties within a community mitigates both the incidence and the intensity of conflict. Laughlin and Brady argue that if resource scarcity becomes severe enough, cooperative ties will break down as people focus on their own needs, and withdraw from reciprocal exchange relationships and social relationships. This theory produces a series of testable hypotheses. The proposed research will determine if severe water scarcity erodes reciprocal exchange and social relationships in Villa Israel, a barrio of Cochabamba, Bolivia.

Methods and Analysis
Between January and April, the researcher will select a 60-household purposive sample, create and test interview protocols, choose key informants, and train a research assistant. Between May and November, the researcher will conduct in-depth interviews with key informants and four ethnographic interviews with each household in the sample. In November and December, the researcher will conduct a series of experimental economic games will be run to determine the norms of trust and reciprocity in the community. Inferential statistics Œ t-tests, ANOVA, and repeated measures ANOVA Œ will be used to test the hypotheses.

Intellectual Merit
This research will contribute to two areas of social science inquiry: urban anthropology and conflict theory. This will be the first study to examine if and how urban social support relationships are transformed by severe water scarcity. Understanding how reciprocal exchange and social ties are strained during periods of severe deprivation will contribute to efforts to understand the dynamics involved in conflict over environmental resources.

Broader Impacts
This research will contribute to the doctoral training of a female doctoral student, as well as the methods training of a Bolivian undergraduate student from the Universidad Mayor de San Simón in Cochabamba. The study also has practical applications for those seeking to anticipate and manage coming conflicts over scarce freshwater. By determining when and how social ties become vulnerable during periods of severe water scarcity, the research will point to possible avenues for conflict prevention in marginal urban communities. In Cochabamba, the researcher will disseminate her findings to three local NGOs and will suggest how the research might contribute to the success of future water delivery projects.

Statement of the problem

Reports on the state of freshwater reserves warn that severe local shortages are imminent, and predict that violent conflicts will emerge in water-scarce regions (Ohlsson 1995, Elhance 1999). Water scarcity has been shown to cause civil conflict, particularly when accompanied by high population density, poverty, and income inequality (Homer-Dixon 1994, 1996, Hauge and Ellingsen 1998). Urban migrant communities, where ethnic, religious, and class differences can exacerbate tensions, and community-wide patterns of adaptation to environmental scarcities are not well-formed, may be particularly vulnerable to water conflicts (Moench 2002). To better understand how conflicts develop in water-scarce regions, research is needed on the social and economic factors that mediate cooperation and conflict (Ronnfeldt 1997). I propose to do an in-depth study of Villa Israel, a barrio of Cochabamba, Bolivia, where conflict over water is an established part of life. Every winter, seasonal water shortages threaten the lives of the people of Villa Israel, forcing them to make choices in how they use their economic and social resources.

One factor that mitigates the incidence and intensity of conflicts is the existence of cooperative ties within a community (Ross 1993). In marginal urban settings, poverty and mutual assistance foster social support networks (Low 1999) that strengthen community ties. However, Laughlin and Brady's model (1978) of adaptation to environmental stress predicts that, in times of severe resource scarcity, individuals will withdraw from the generalized reciprocal exchange relationships and social relationships that characterize urban social support networks. The proposed research in Villa Israel will test the Laughlin and Brady model to determine if severe water scarcity erodes reciprocal exchange and social relationships.

Research objectives

The overall objective is to understand how severe water scarcity affects reciprocal exchange relationships and social relationships in a marginal urban setting. The five specific objectives are:

- to document the incidence of water scarcity in the research community. This involves the development and testing of a scale to assess water consumption, as well as conducting interviews to document variation of water use in a sample of households.
- to determine how water scarcity affects the frequency and quality of reciprocal exchanges between households. This involves documenting the reciprocal exchanges that a sample of households engages in over a nine-month period.

- to determine how water scarcity affects the frequency and quality of social interactions between households. This involves documenting the social interactions that a sample of households engages in over a nine-month period.
- to determine if community norms exist for determining the order in which households withdraw from reciprocal exchange relationships. This involves testing how economic interactions change under a variety of hypothetical conditions in an experimental game.
- to determine if households withdraw from reciprocal exchange and social relationships in the order established by community norms.

Literature review

The existence and quality of intracommunity ties has long been recognized as a factor that determines how conflicts evolve over scarce resources and other threats (Simmel 1904 [1955], Coser 1956, Mack 1965). The degree of connectedness and the presence of ties that cross social segments are both elements of social structure that inhibit conflict development (Gluckman in Ross 1993, LeVine and Campbell 1972). Although early conflict theorists called for empirical research to investigate when and in what order social ties are broken (Coleman 1957), such studies have been conducted in only a few geographic regions and on a few environmental scarcities.

Laughlin and Brady's (1978) model of adaptation describes how economic and social interactions fluctuate with seasonal patterns of resource scarcity. They hypothesize that, during times of widespread (but non-lethal) deprivation, households will increase generalized reciprocal exchanges and social interactions. When resource scarcity becomes more severe, households will shift to balanced or negative reciprocal exchanges and will withdraw from social relationships.

Dirks (1980) demonstrated that, whether famines are seasonal or unpredictable, societies pass from an initial stage of alarm (characterized by intensified sharing and sociability) to resistance (characterized by economic and social withdrawal into households and kin groups) to exhaustion (in which kin-based alliances to find food disintegrate) as scarcity worsens. Laughlin and Brady's model was validated by a series of African famine case studies (Laughlin 1974, Cashdan 1985, Corbett 1988, Walker 1989).

Similar to the survival tactics documented in rural African households, urban Andean households engage in frequent reciprocal exchanges to guard against privation. For the purposes of this research, the social support networks of impoverished urban communities are considered to be characteristic of the first stage of response to deprivation. The anthropological literature on Andean survival strategies indicates that people form mutual support relationships based on five major kinds of ties: kin, compadrazgo, paisano, work, and church.

One of the most powerful cooperative strategies that urban migrants use to survive is to form kin-based groups (Halebsky 1995). In the Andes, the basic units for such groups are nuclear and extended households (Lobo 1995 [1982]). Beyond the household, ties with extended families and fictive kin constitute the heart of Andean support networks. In Lima, groups of siblings and cousins migrated together from the highlands. These siblings formed powerful core groups, which they later augmented with marriage alliances (Lobo 1995 [1982]). Familial support is also enhanced with compadrazgo ties, in which ceremonial parents establish relationships for mutual aid with their fictive children (Isbell 1985 [1978]). In addition, paisanos, or people who came from the same highland district, are relied upon to help and defend each other in urban settlements (Lobo 1995 [1982]). Similarly, in Mexico City, kinship, compadrazgo, and informal social networks provided services, goods, and information that were crucial to the survival of residents of a shantytown (Lomnitz 1977).

Andean communities also tend to have strong traditions of mutual support founded on work-based solidarity (Buechler and Buechler 1971). In urban settlements, such ties of mutual support may be formed around cooperative welfare projects (McFarren 1992), union membership or shared professions (Nash 1993 [1979]), and camaraderie established while women do housework or work in markets (Weismantel 2001).

Churches provide another setting in which mutual support relationships are formed (Krause et al. 2001). Regardless of the denomination, parishioners generally belong to church organizations that provide assistance to needy community members, and form informal assistance networks among themselves. One particularly important form of reciprocity is the obligation to provide goods and labor to kin and fictive kin during Catholic festivals (Isbell 1985 [1978]). Protestants, lacking a system of festival-based reciprocity, form informal social support networks to provide goods and services to churchgoers (cf. Stewart-Gambino and Wilson 1997).

While the supportive elements of Latin American urban networks have been extensively documented, the effects of severe resource scarcity on urban networks remain unexplored. Lomnitz (1978) suggested that extreme deprivation would likely cause decrement of generalized reciprocal exchanges and social interactions in urban areas. Still, no empirical research has tested the effects of drought or severe water scarcity on urban support ties.

Hypotheses

Assuming that all households engage in exchange and social relationships, and that the amount of water available to the households varies, I propose ten hypotheses:

- H1. Generalized reciprocal exchanges will occur more frequently in the wet season than in the dry season.
- H2. Social interactions will occur more frequently in the wet season than in the dry season.
- H3. During the dry season, households with more water will engage in more generalized reciprocal exchanges than will households with less water.
- H4. During the dry season, households with more water will engage in generalized reciprocal exchange relationships with more households than will households with less water.

- H5. During the dry season, households with more water will engage in more social interactions than will households with less water.
- H6. During the dry season, households with more water will engage in social relationships with more households than will households with less water.
- H7. People will trust partners to reciprocate under experimental conditions most if they believe partners are kin, followed by compadres, then paisanos, then co-workers, and finally co-parishioners.
- H8. People will reciprocate under experimental conditions most if they believe partners are kin, followed by compadres, then paisanos, then co-workers, and finally co-parishioners.
- H9. During the dry season, households will withdraw from generalized reciprocal exchange relationships in the order predicted by the experimental game.
- H10. During the dry season, households will withdraw from social relationships in the order predicted by the experimental game.

Research plan

The research will proceed in two phases. During the first phase, I will use a sampling frame to choose a 60-household purposive sample, create and test interview protocols, choose key informants, and train a research assistant. The first phase will lay the groundwork for the second, so that I will be prepared to complete a baseline assessment of exchange and social interactions before the dry season begins in May. During the second phase, I will conduct in-depth interviews with key informants and four ethnographic interviews with each household in the sample. At the end of the second phase, I will conduct a series of experimental economic games to determine the norms of trust and reciprocity in the community.

The research design has several strengths. First, ethnographic study will yield data with high internal validity about how responses to water scarcity evolve over the wet-to-dry cycle (Kirk and Miller 1986). Second, the household interviews allow me to document change by collecting repeated measurements of household characteristics over time. Third, interviews with key informants allow me to collect information with more time depth than would be available with only the household interviews. Fourth, the experimental game allows me to determine how certain ties affect trust and reciprocity, controlling for other factors like history. Finally, the use of three forms of data collection Œ household interviews, interviews with key informants, and an experimental game Œ will enable me to check the results of each method against the other, facilitating identification of sample biases, hoax answers, or other data problems.

Research Schedule

Phase 1 Activities	Duration
Review household census data, choose purposive sample Train research assistant Translate household interview protocol	January - February
Create water scale - preliminary research and testing Choose key informants Pre-test household interview protocol	February - March

Phase 2 Activities	Duration
Conduct semi-structured household interviews Conduct interviews with key informants	April - November (4 two-month cycles)
Investment Game	November - December
Transcribe narratives Convert narrative data into profile matrices Record data in Excel format	Ongoing (February - December)

Research Site: Villa Israel, Cochabamba, Bolivia
Cochabamba is a large Bolivian city located in a semi-arid zone, made famous in 2000 by city-wide protests and riots over water delivery. There, a rapid increase in water demand caused by urban growth, groundwater scarcity, and topography that drains water away from the city have intensified pressures on the municipal water distribution system (Laurie and Marvin 1999). Lacking the capital to extend water services to its growing periphery, Cochabamba contains a large population of marginal urban residents that lack access to the municipal water system.

Villa Israel, a neighborhood on the outskirts of Cochabamba, is an impoverished community of 565 migrant families. The population contains people of Quechua and Aymara origin, and members of four different Catholic and Protestant churches. Currently, Villa Israel has no municipal water or sanitation services. Most households buy drinking water from a truck, which is operated by a private vendor. Private vendors typically charge 10 to 20 times the fee charged by public utilities, and people living in marginal urban areas pay between 10 and 40 percent of their incomes to acquire water in this way (Marvin and Laurie 1999). Households may purchase between 20 and 40 liters of low-cost, untreated water a day through thirteen public faucets controlled by the Unión Cristiana Evangélica, a Protestant church (Trujillo 2002). During the wet season, households also collect rainfall and water from canal beds used to drain sewage and wastewater. The ability of a household to acquire sufficient water depends on its per capita income and its exchange relationships with other households. Throughout the year, all households lack sufficient water for daily sanitation tasks in Villa Israel. As the winter dry season progresses, the impacts of water scarcity become increasingly severe. For example, between

April and July of 2002, fourteen children under the age of one died from water-related illnesses (Trujillo 2002).

Data collection
Sampling and choosing key informants Using the Unión Cristiana Evangélica census of Villa Israel as a sample frame, I will select a purposive sample of 60 households. Households will be selected to maximize variation on the following variables: ethnicity, religious affiliation, head of household's profession, number of members, and geographic location of the house (distance from water sources). Although choosing a purposive sample renders generalization from the study impossible, the purposive sample will enable me to choose households that maximize variation on the independent variables (Bernard 2002). A sample of 60 is small enough so that, with the help of a research assistant, I can do rigorous, in-depth study of the sample, and I also have enough observations to do inferential statistics to test the hypotheses.

Upon entering the field, I will also begin to look for key informants through word-of-mouth recommendations. I will attempt to find key informants using an a priori analytic framework (Johnson 1990), that is, based on the characteristics that will give informants access to different experiences in the community (ethnicity, religion, profession, age, and gender). Having several key informants will allow me to check their recollections and assessments of norms against each other.

Measurement of water availability
To determine when the wet and dry seasons begin and end (independent variables H1-2), I will consult published records of precipitation in Cochabamba for 2004. To determine the amount of water available to each household at each interview time (independent variables H4-6), I will use a Guttman scale. Attempts to physically measure the volume of water acquired by the household from all sources may result in serious measurement errors. Instead, I will develop a Guttman scale of water use (Guttman 1950). First, I will elicit free lists of water uses from adult women and prepare a list of, say, the 20 most commonly listed items (the exact number will be determined by examining the data, of course, for repetitions of items.). Next, I will determine which tasks appear be part of a common water use domain. To do this, I will ask 20 women to indicate which of the tasks on the streamlined list (e.g., drinking, washing windows, bathing, watering plants, and cooking) each household member has completed in the last day and in the last week. I will then create two scales (for weekly and daily use), calculating the coefficient of reproducibility (CR Œ the statistic that summarizes errors in the scale), for each. If the CR is greater than .85, I will consider water use to scale sufficiently (Bernard 2002). I will then use the modal household water use to represent overall water availability in the household. If water use does not scale, I will collect measures of the volume of water acquired by each household from all sources at the time of each interview, and will also ask the person responsible for collecting water to assess how much water was collected that day. Household interviews Household interviews will produce data for the following variables: number of reciprocal exchanges (H1,3), number of reciprocal exchange relationships (H4), number of social visits (H2,5), and number of social relationships (H6) that each household has reinforced (through visits, for example) during the week preceding each interview; and the order in which households withdraw from exchange

and social relationships (H9-10). I will conduct one interview every two months with each of the 60 households in the purposive sample. The interview will be conducted primarily with the adult responsible for housekeeping, but I will verify responses with other household members during the interview. Each household will be allocated 4 to 8 hours per meeting for interviewing and observation. Because residents of marginal Cochabamban neighborhoods tend to mistrust and avoid researchers with structured survey protocols (Goldstein 2002), I will conduct informal, semi-structured interviews with household members. With respondents' permission, I will record interviews using a digital sound recorder (Maloney and Paolisso 2001). I will take detailed field notes and observations using Spradley's method for note-taking (1980). In interviews with key informants, I will also supplement field notes with digital sound recording whenever possible.

For the semi-structured interviews, I will adapt the interview protocol from Stack's classic study of urban survival strategies (1970) for use in Cochabamba (see appendix). To do so, I will translate the protocol with a bilingual Spanish-English speaker, and pre-test the protocol with households outside the sample. The protocol includes questions about daily life, the acquisition of goods, finances, and leisure time. The advantages of using a modified version of the Stack protocol are that it has been pre-tested for research on urban survival strategies, it is flexible enough to accommodate Andean social structure, and successful replication of Stack's results will enhance the external validity of previous findings about how urban support systems function. In interviews with key informants, I will expand on the household interview protocol, and will probe for anecdotes about times when ties have been broken or when people have come into conflict over water.

Experimental game
Following anthropologists who have modified experimental economic methods to study economic behaviors in 15 small-scale societies (Henrich et al. 2001), I will use an investment game (Berg et al. 1995) to discover the social norms that determine when and with whom households trust (dependent variable H7) and reciprocate (dependent variable H8). I will set up the games using Barr's (2001) adaptation of the investment game protocol and script for developing nations. The game is an anonymous, one-time economic interaction between two people that uses real money. Player A is given a sum equal to one day's labor (about US $3), and the option to keep the money or send some of it to the player B. If the money is sent to player B, it triples and player B determines how much of the money should be returned to player A. The amount of money offered by player A indicates how much A trusts B, and the amount B returns to A is a measure of reciprocity (Berg et al. 1995). By informing players A and B that the otherwise anonymous opposing player shares kin, compadrazgo, paisano, work, or religious affiliation, the experiment can be manipulated to test the strength of trust and reciprocity for each tie. I will conduct 60 repetitions of each interaction for each scenario, totaling 360 repetitions.

Data analysis

Data entry and coding
Interviews will be transcribed by the field assistant as they are conducted. Data from the interviews will be used to construct an ordinal measure of water use (H4-6) and four interval-level dependent variables: the number of generalized reciprocal exchanges that occurred in the

last week (H1,3), the number of households with which the respondents exchanged in the last week (H4), the number of social visits that occurred in the last week (H2,5), the number of households with which the respondents visited in the last week (H6). The amount of offers (H7) and counter-offers (H8) made during the investment game will be recorded in Bolivianos. Quantitative data for households will be entered directly into Excel spreadsheets.

Inferential statistics
I will use t-tests to compare mean numbers of exchange and social interactions for the wet and dry season (H1, H2), and ANOVA to determine if levels of household water availability are associated with differences in mean levels of exchange and interaction (H3-H6). Analysis of variance tests will also be used to determine if different social ties are associated with differences in mean monetary measures of trust and reciprocity (H7, H8). I will use repeated measures ANOVA to test hypotheses 9 and 10.

Analysis of ethnographic data
Field notes and transcribed narratives that include anecdotes about tie breaking and water conflicts will be coded to indicate if the case supports or disproves any of the hypotheses. I will examine each case to better understand the dynamics of tie breakage and water conflicts.

Preliminary Studies
In summer 2002, I traveled to Bolivia to conduct preliminary fieldwork and establish relationships with institutions that support this study. I interviewed project coordinators in USAID, CARE, the Peace Corps, and Bolivian NGOs to learn about how communities adapt to conditions of water scarcity. After the interviews, I determined that Villa Israel would be an ideal site to test the research question.

In Cochabamba, I became associated with three organizations that are working on local water problems. The first, The Democracy Center, is a Cochabamba-based organization that works to strengthen the advocacy efforts of community groups. The second organization, Water for People, is an international NGO that helps communities in Cochabamba that lack adequate water delivery install wells, hand pumps, and sanitation systems. The third is the Unión Cristiana Evangélica church, which manages the distribution of water through tap stands in Villa Israel. Each of these organizations has provided me with valuable information about the water situation, introductions to key community leaders in Cochabamba and Villa Israel, and has pledged to support me during the year-long data collection project. Since my return from Bolivia, I have stayed in frequent contact with representatives of the three organizations, and continue to receive data and consult with them on logistics of conducting research and living in Villa Israel. During summer of 2003, I will return to Villa Israel to introduce myself formally to community members, hire a research assistant from the sociology department at the Universidad Mayor de San Simón, and finalize living arrangements for the following January.

Research Competence of the Student
Over six years of coursework, I have acquired a solid four-field education in anthropology that enables me to understand the cultural, biological, historical, and symbolic aspects of water scarcity and conflict. My preparation for this research includes coursework in the following

subjects: research design and cognitive research methods with Dr. H. Russell Bernard, economic anthropology and studies of race and ethnicity with Dr. Anthony Oliver-Smith, political ecology and development in the tropics with Dr. Marianne Schmink, and anthropological theory with Dr. Maxine Margolis. During spring 2003, I will take a fourth course in statistics, as well as a course in hydrology. I supplemented graduate coursework with an intensive six-week language course in Oaxaca, Mexico during the summer of 2000, in which I polished the Spanish skills I acquired studying and working in South Florida between 1992 and 1996.

While assisting Drs. H. Russell Bernard and Christopher McCarty in research projects between 1997 and 2002, I honed my skills in sampling, questionnaire design, data collection and data analysis. Under Dr. Bernard's direction, I have conducted ethnographic interviews, transcribed narratives, and done text analysis, social network analysis, and multivariate analyses. I currently manage data collection and analysis for the Survey Research Center at the UF Bureau of Economic and Business Research under the supervision of Dr. McCarty. My responsibilities include overseeing a four-survey evaluation of health care in the state of Florida, which involves 300 interviewers and 13,500 interviews. After five years of practice and hands-on instruction in ethnographic and survey research methods, I have become an experienced and capable researcher.

I have also conducted three independent research projects in cities and marginal urban areas. Two of these projects took place in Mexico and Bolivia, where I honed my ability to do research in Spanish. In 2001, I conducted a study on the effects of social support networks on child feeding decisions with the Mexican Social Security Institute in Oaxaca. In 2002, I traveled to Bolivia to conduct preliminary fieldwork and establish relationships with institutions that support my work. When I return to Bolivia in January 2004, I will have the experience, knowledge, and local support to successfully conduct the proposed research.

Significance of proposed research

Intellectual Merit

This research will contribute to two areas of social science inquiry: urban anthropology and environment-conflict theory. The research will be the first study to examine if and how urban social support relationships are transformed by severe water scarcity. Understanding how reciprocal exchange and social ties are strained during periods of severe deprivation will contribute to efforts to understand the dynamics involved in conflict over environmental resources.

Through in-depth study of one case, the research will produce data with high internal validity. This is particularly important because the research examines the process of withdrawal from reciprocal exchange and social relationships. In using Stack's ethnographic interview protocol and Berg et al.'s experimental investment game, the proposed research replicates well-known research, and facilitates future replications to establish the external validity of the findings.

Broader Impacts

In addition to testing the effects of water scarcity on reciprocity and sociability, the research will facilitate the learning of two students. The proposed research will contribute to the doctoral training of a female graduate student, as well as the methods training of a Bolivian undergraduate from the Universidad Mayor de San Simón in Cochabamba.

The study also has practical applications for those seeking to anticipate and manage coming conflicts over scarce freshwater. In many Latin American cities, the arrival of new immigrants strains the ability of the local government to provide municipal services to all city residents (Gilbert 1998). By determining when and how social ties become vulnerable during periods of severe water scarcity, the research will point to possible avenues for conflict prevention in marginal urban communities. In Cochabamba, the study's findings will be disseminated through partnerships with three local NGOs, along with suggestions regarding ways in which the research might contribute to the success of future water delivery projects.

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Curriculum vita: Amber Wutich

Professional Preparation

University of Florida, Anthropology (specialization in Tropical Conservation and Development in Latin American Studies), Doctoral program, September 2000-curr.
Español Interactivo, Spanish language classes, May-June 2000
University of Florida, Anthropology and Chinese Language and Literature, B.A., May 2002
Honors thesis in cultural anthropology
Shaanxi Teacher's University, Chinese Language and Literature, Aug. 1998-May 1999

Appointments: Employment and Research Experience

2002 **Preliminary fieldwork**, interviews on water scarcity in Bolivia
2002 **Project manager**, led data collection and analysis on a study of ethnicity and social support funded by the University of Florida
2000-02 **Survey research**, supervised sampling, data collection and analysis on a series of surveys for the state of Florida at UF Bureau of Economic and Business Research Survey Research Center 2002 Text analysis, performed text analysis on a project for Dr. H.R. Bernard
2001 **Field Research**, The Effect of Social Support Networks on Oaxacan Mothers' Weaning Decisions (with the Mexican Social Security Institute, Oaxaca, Mexico)
2000 **Interviewer**, Ford-funded Web Research Materials Project, a project to develop web-based cognitive research tools Undergraduate Honors Research, The Effects of Estimation on Elicitation in Social Network Research
1999 **Undergraduate Research**, study of information networks in Xi'an, China
1998 **NSF Research Education for Undergraduates grant**, to study the estimation of hard-to-count populations with Russ Bernard

Paper Presentations

2003 (under review) Presenter, "**Using personal networks to measure race and ethnicity**" Sunbelt Social Networks Conference, Cancun, Mexico
(under review) Panel Co-Organizer, **Measuring Race and Ethnicity in Anthropology and Beyond**; Presenter, "**A Social Network Approach To Measuring Race and Ethnicity**" Society for Applied Anthropology Conference, Portland, OR
2002 Presenter, "**Getting Health Care Advice on Her Own: Social Network Effects on Weaning Decisions in Oaxaca, Mexico**" Society for Applied Anthropology Conference, Atlanta, GA
2001 Presenter, "**Living Local and Going Global: Integrating Quantitative and Qualitative Methods in a Study of Internet Use in Xi'an, China**" Society for Applied Anthropology Conference, Merida, Mexico

Collaborators:
Christopher McCarty (U. Florida), Clarence Gravlee (U. Michigan)

Graduate Advisors:
H. Russell Bernard (U. Florida), Anthony Oliver-Smith (U. Florida), Marianne Schmink (U. Florida)

Semi-structured interview protocol

(Modified version of Stack 1970)

1. DAILY LIVES
My aim is to learn how people spend their time from the moment they wake up in the morning until they go to bed at night -- to learn who they visit, which relatives they see daily or weekly, what they do for each other, whether they exchange goods and services, and how these exchanges are arranged. a. Describe a typical day in great detail. (Probe repeatedly.) b. Who do you visit each day, each week? Which relatives? (Name relationship) c. Did you trade food, money, child care, or anything else with anyone this week? With whom? d. What did you do for someone else this week? Did anyone help you out? e. Did you give anything (goods/services) to any of the individuals listed in d?
Did you receive anything (goods/services) from the individuals listed in d?

2. THE ACQUISITION OF GOODS
(Elicit the names of all of the items -- furniture, pictures, radios, etc. -- in each room in the house that were acquired in the last week. Ask the following questions about each item.) a. Give a physical description of the item. b. Was the item in anyone else's home before? Whose? c. Does it belong to anyone in the house? Who? d. Where did it come from? Was it bought at a store? Where? e. Who bought it? f. Was it a gift or a loan? g. Who loaned or gave it to you? h. Who will it be given to or loaned to? i. Is it home-made? Who made it? j. What else should we ask you about it?

3. FINANCES
Everyone has a hard time making it on the money they get and has to get some help from others. The aim is to try to figure out how people make it. This gets very complicated because some people live together, others eat together, and others share their income. a. Who is living in this house right now? (List relationships.) Who contributes to the finances of the household? How do they contribute (rent, utilities, etc.)? b. Who fetches the water? Who drinks or uses it? Who helps pay for it? b. Who ate in the household in the last week? Which meals? Who paid for the food and cooked? c. (Try to learn the source of income of everyone who contributes to the household.)

4. LEISURE TIME
I'd like to learn about how you spend your free time. a. With whom did you spend your day? b. With whom do you enjoy spending time each week? c. With whom do you participate in special activities (church groups, dancing, etc.)? d. Where and with whom do you eat breakfast, lunch, dinner? e. What housework do you do (shopping, scrubbing, cooking, dishes, etc.)? What other work do you do? With whom do you work?

Reviews

Rating: Excellent, Very Good

Summary Statement

This proposal deals with conflicts over water shortages in Bolivia. The purpose of the research is to better understand how conflicts develop in water-scarce regions, and to outline the social and economic factors that mediate cooperation and conflict. The research will be conducted in Villa Israel, near Cochabamba, Bolivia. The objectives of the research are to document the incidence of water scarcity, to determine how water scarcity affects the frequency and quality of reciprocal exchanges between households, to determine how water scarcity affects social interactions between households, and to evaluate community norms for engaging in or withdrawing from reciprocal exchange relationships.

A number of hypotheses are outlined, perhaps too many to be accomplished in the scope of the research agenda. For example hypothesis 3 and hypothesis 4 are simply flip sides of the same coin. Moreover hypotheses 5 and 6 are reciprocal suppositions. Nevertheless, the research plan is clearly outlined, including the sampling frame and the methodology by which data will be collected. A major strength of the proposal is the clarity of the sampling pattern for in-depth interviews. The proposal also calls for use of an experimental game to study economic behaviors, analogous to research that has been conducted in fifteen small-scale societies. This game will test trust and reciprocity among participants. The intellectual merit and broader impacts of the research are clearly spelled out. The only other criticism would be a general failure of the investigators to situate the research questions within a larger political economic context. For example why are there water shortages to begin when? What is the role of the state in determining the availability of water? These and other macro-level questions may be of interest as the research is undertaken.

Rating: Very Good

Summary Statement

Working within the theoretical perspective that increase in scarcity of resources reduces cooperative ties within communities, the proposal aims to test the proposition that in Villa Isreal, a barrio of Cochabamba, Bolivia, severe water shortages erode reciprocal exchange and social relationships.

This is a very strong and well organized proposal. The Co-PI lists five clear research objectives that delineate aspects of the scarcity-erosion proposal, and in addition, 10 specific hypotheses are proposed, each stated clearly in regard to operationalization and measurement of variables. In order to generate data to test the hypotheses, a two-stage research plan is proposed. A purposive sample of 60households will be chosen, primarily for development of test protocols, mainly for the creation of a water scale. The measure will be designed as a Guttman scale. During phase two, in-depth interviews will be conducted with key informants, and four interviews will be conducted at each household. Data analysis will consist of coding the interviews and using inferential statistics to measure the relationships among social variables and water scarcity. ANOVA and repeated applications of ANOVA will be used for analysis of the data.

The only weakness of any consequence in the proposal is that virtually no attention is given as to how the coding will proceed. What does the Co-PI anticipate that the codes will be, i.e., what will be coded for? How will the codes relate to the methods? To the theoretical perspectives? If that had been clearer, the recommendation would be for a '5', but as it is, the recommendation is a '4', Very Good.

Rating: Excellent, Very Good

Summary Statement

The proposed project is an interesting and clearly formulated inquiry into the effects of water shortage in a periurban barrio of Cochabamba, Bolivia. The researcher proposes to measure whether cooperation among neighbors, especially certain forms of reciprocity, are altered by water scarcity. This researcher will test this problem through a series of hypotheses. The research objectives are clearly outlined and include documenting water scarcity in the community, determining the effects of water scarcity on reciprocal exchanges and social relations between households, and ascertaining whether a community norm exists for determining how people withdraw from reciprocal relations, and whether people follow these norms in practice. (Also, it might be important to determine whether the community follows any kind of water distribution system. Is it a kind of economic free-for-all or are ideas of turn taking employed at times?)

The project will be the first study to examine in what ways urban mutual support networks are affected by a scarce water supply. The topic is timely and important. The theoretical perspective for the research comes from economic/ecological anthropology. It is inspired by studies of reciprocity and conflict theory. Note, however, that there is a wide literature on Andean reciprocity that is only touched upon in the proposalùmuch of it, though based in rural 'traditional' communities might nonetheless be of use for understanding reciprocity among migrants to the city. The researcher has chosen five 'major kinds of ties' that are involved in mutual support networks, and these may in fact be borne out. But I hope the researcher will use participant observation to first test this. These five do not take into account other possible reciprocal ties that migrants might use. For instance, the category of 'neighbors,' especially in the absence of ayllu membership, may be important in this barrio, and would be worth examining. Also, classic Andean forms of reciprocity such as ayni (performed variously from place to place) may also be active in some guise in Cochabamba's barrios. Also forms of 'ayuda' bind people together, or is it certain social units that provide ayuda? The project proposed here would offer a wonderful perspective by additionally taking into consideration some of the rural forms of reciprocity, asking informants to list them and comment on them, and thus providing a comparative angle. The obvious counterpart in the countryside is water distribution for irrigation and there are numerous studies here (e.g., Gelles, Gose, Guillet, Isbell, Sherbondy, Sikkink) that discuss the conflict and cooperation involved in this event, and would serve as a counterpoint to the study proposed here. Also I hope the researcher will work towards a broader bibliography of studies from Bolivia and specifically Cochabamba (such as Albro, Dandler, Larson, Paulson) in which to contextualize the results of the study. (Obviously from my ratings I think this is a strong proposal; it's also a topic of interest to me which is why I offer the suggestions I do.)

The researcher has an excellent background and the necessary skills for undertaking this project. Her anthropological training is exemplary. She has not only been trained in anthropological methodology but has managed data collection and analysis for several projects. The analysis section of the current proposal evidences this. The researcher has also undertaken independent research projects in Mexico and Bolivia, and therefore has the fieldwork and language skills required for the project.

The methodology section is particularly strong. The proposal is based on a clear and reasonable research plan. The research will test a number of hypotheses using interviews of key informants, measurement of water availability, household interviews and observation, an experimental game, and participant observation. Throughout the process the researcher will build on current available data and work with NGOs active in this area. Data analysis will include constructing an ordinal measurement of water use, and analyzing interactions among households, as well as the results of the game. Quantitative data will be analyzed using inferential statistics: t-tests and ANOVA will facilitate this. The researcher addresses the issue of the project's social salience in a clear manner. The researcher plans to hire and train a Bolivian student in the methodology of the project and disseminate the results of the study to three local NGOs. These efforts are aimed at both contributing to the success of future water delivery projects, and to indicating 'possible avenues for conflict prevention in marginal urban communities.'

SUMMARY PROPOSAL BUDGET

YEAR 1

ORGANIZATION **University of Florida**				FOR NSF USE ONLY PROPOSAL NO.	DURATION (months) Proposed / Granted
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR **H. Russell Bernard**				AWARD NO.	

A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)	NSF Funded Person-months CAL	ACAD	SUMR	Funds Requested By proposer	Funds granted by NSF (if different)
1. **H. Russell Bernard - PI**	0.00	0.00	0.00	0	
2. **Amber Y Wutich - Co-PI**	0.00	0.00	0.00	0	
3.					
4.					
5.					
6. (0) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)	0.0	0.0	0.0	0	
7. (2) TOTAL SENIOR PERSONNEL (1 - 6)	0.0	0.0	0.0	0	
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)					
1. (0) POST DOCTORAL SCHOLARS	0.00	0.00	0.00	0	
2. (0) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)	0.00	0.00	0.00	0	
3. (0) GRADUATE STUDENTS				0	
4. (0) UNDERGRADUATE STUDENTS				0	
5. (0) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)				0	
6. (2) OTHER				7,040	
TOTAL SALARIES AND WAGES (A + B)				7,040	
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)				0	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)				7,040	
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING $5,000.) $					
TOTAL EQUIPMENT					
E. TRAVEL 1. DOMESTIC (INCL. U.S. POSSESSIONS)				0	
2. INTERNATIONAL				1,050	
F. PARTICIPANT SUPPORT COSTS 1. STIPENDS $ 0 2. TRAVEL 0 3. SUBSISTENCE 0 4. OTHER 0					
TOTAL NUMBER OF PARTICIPANTS (0) TOTAL PARTICIPANT COSTS				0	
G. OTHER DIRECT COSTS					
1. MATERIALS AND SUPPLIES				770	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION				0	
3. CONSULTANT SERVICES				0	
4. COMPUTER SERVICES				0	
5. SUBAWARDS				0	
6. OTHER				2,160	
TOTAL OTHER DIRECT COSTS				2,930	
H. TOTAL DIRECT COSTS (A THROUGH G)				11,020	
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE) **FirstIndirectCostItem (Rate: 0.0000, Base: 0)**					
TOTAL INDIRECT COSTS (F&A)				0	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)				11,020	
K. FEE				0	
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)				11,020	
M. COST SHARING PROPOSED LEVEL $ 0	AGREED LEVEL IF DIFFERENT $				

PI/PD NAME **H. Russell Bernard**	FOR NSF USE ONLY INDIRECT COST RATE VERIFICATION		
ORG. REP. NAME* **Diego vazquez**	Date Checked	Date Of Rate Sheet	Initials - ORG

***ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET**

SUMMARY PROPOSAL BUDGET

YEAR Cumulative

ORGANIZATION	FOR NSF USE ONLY		
University of Florida	PROPOSAL NO.	DURATION (months) Proposed	Granted
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR **H. Russell Bernard**	AWARD NO.		

A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)	NSF Funded Person-months CAL	ACAD	SUMR	Funds Requested By proposer	Funds granted by NSF (if different)
1. **H. Russell Bernard - PI**	0.00	0.00	0.00	0	
2. **Amber Y Wutich - Co-PI**	0.00	0.00	0.00	0	
3.					
4.					
5.					
6. (0) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)	0.0	0.0	0.0	0	
7. (2) TOTAL SENIOR PERSONNEL (1 - 6)	0.0	0.0	0.0	0	
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)					
1. (0) POST DOCTORAL SCHOLARS	0.0	0.0	0.0	0	
2. (0) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)	0.0	0.0	0.0	0	
3. (0) GRADUATE STUDENTS				0	
4. (0) UNDERGRADUATE STUDENTS				0	
5. (0) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)				0	
6. (2) OTHER				7,040	
TOTAL SALARIES AND WAGES (A + B)				7,040	
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)				0	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)				7,040	
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING $5,000.) $					
TOTAL EQUIPMENT				0	
E. TRAVEL 1. DOMESTIC (INCL. U.S. POSSESSIONS)				0	
2. INTERNATIONAL				1,050	
F. PARTICIPANT SUPPORT COSTS 1. STIPENDS $ 0 2. TRAVEL 0 3. SUBSISTENCE 0 4. OTHER 0					
TOTAL NUMBER OF PARTICIPANTS (0) TOTAL PARTICIPANT COSTS				0	
G. OTHER DIRECT COSTS					
1. MATERIALS AND SUPPLIES				770	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION				0	
3. CONSULTANT SERVICES				0	
4. COMPUTER SERVICES				0	
5. SUBAWARDS				0	
6. OTHER				2,160	
TOTAL OTHER DIRECT COSTS				2,930	
H. TOTAL DIRECT COSTS (A THROUGH G)				11,020	
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE)					
TOTAL INDIRECT COSTS (F&A)				0	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)				11,020	
K. FEE				0	
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)				11,020	

M. COST SHARING PROPOSED LEVEL $ 0 AGREED LEVEL IF DIFFERENT $

PI/PD NAME	FOR NSF USE ONLY		
H. Russell Bernard	INDIRECT COST RATE VERIFICATION		
ORG. REP. NAME* **Diego vazquez**	Date Checked	Date Of Rate Sheet	Initials - ORG

***ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET**

Budget Justification Page

REVISED BUDGET JUSTIFICATION

PERSONNEL

REVISED: Two Full-time Undergraduate Student Research Assistants (10 months each) $7040

This revised item requests funds for two full-time research assistants to work in Villa Israel from March to December 2004. This item has been moved from budget item B4 to B6 because it requests funds for out-of-country employees. The research assistants are needed to assist in completing 60 interviews every two months, transcribing the interviews, coding the transcriptions, and conducting the investment game. It is crucial that the interviews be transcribed and coded in Villa Israel, so that the Co-PI can perform preliminary analysis and use findings to conduct follow-up interviews with respondents, as needed, before she leaves the field.

Assuming that semi-structured interviews last, on average, 6 hours each, each two-month cycle would involve: 360 hours of interviewing, 720 hours of transcription (at 12 hours per interview), and 120 hours of coding (at 2 hours per interview). This totals 600 hours of work per month. Two full-time field assistants and the Co-PI (working 60 hours per week) can work about 560 hours a month. This would leave a residual 320 hours of transcribing and coding work to complete in December, after the monthly interviews end. The research assistants will be trained in March, and will be occupied full-time with research tasks between April and December.

The research assistantsÆ salaries are calculated at $2.20 an hour, 40 hours a week, totaling $3520 per assistant over the 10-month period. Because the students will be hired from the sociology department from the local university (Universidad Mayor de San Sim¾n), and will be offered internship opportunities with intensive methods training, this will likely be a sufficient wage to attract two dedicated research assistants.

PARTICIPANT SUPPORT COSTS

Investment game $2160
The investment game must be played with a substantial starting bid (Berg et al. 1995). A common measure of an appropriate starting bid is one dayÆs wages. In Bolivia, the average dayÆs wage for a factory worker is $3.50; the Co-PI will set the starting bid at $3. The estimate of $2160 assumes that half of the players will send nothing (so that the cost of the interaction is $3) and half of the players send the full amount (so that the cost of the interaction is $9).

REVISED: TRAVEL (foreign) $1050

Living expenses for Co-PI (12 months) $1030
Living expenses were calculated for the Co-PI to reside and work in Villa Israel, Cochabamba for two months. Because the Fulbright program will be funding ten months of living and travel expenses, this item has been revised to request living expenses to cover only the remaining two months. The requested amount is 46% of the State Department estimate for the cost of living in Cochabamba, and totals about 85% of an average factory workerÆs salary in Bolivia. Because she will be living in a working class neighborhood, $1030 will be sufficient for the Co-PI to subsist at a standard of living similar to that of the other community members for two months.

Transportation $20
Bus fare will be needed to travel from Villa Israel to any other part of Cochabamba. Trips to the Cochabamba center will be necessary for the Co-PI to make photocopies, purchase food, and acquire research supplies. The transportation budget also includes funds for occasional taxi rides to and from the airport, to carry large loads, and in the evening when buses stop running to Villa Israel. This revised item now requests travel funds to cover only two months.

OTHER DIRECT COSTS $770

Pre-owned laptop computer $600
A laptop computer is essential for data entry, management, transcription, and analysis. The $600 estimate is for a bottom-of-the-line pre-owned laptop with the capacity to run Excel, A-3000, and SYSTAT.

Digital sound recorder $70
A digital sound recorder is needed to record semi-structured interviews, so that they can be transcribed by the research assistant. The $70 estimate is for a new, low-end digital recorder on sale.

A-3000 transcription kit $100