



NATIONAL ENDOWMENT FOR THE HUMANITIES
Extension of the Generic Clearance Authority
OMB Control Number 3136-0134
Justification: Supporting Statement A

Abstract

The National Endowment for the Humanities (NEH) seeks a three-year renewal of its generic clearance authority, OMB control number 3136-0134. This clearance includes NEH's Notice of Funding Opportunity (NOFO) template, agency-specific application and award-related forms, and agency-specific performance reports.

Type of Request

This is a request for approving an extension of existing clearance 3136-0134. This request includes additional information collection instruments, updated burden estimates, and estimated respondents.

1.) Need for the Collection

NEH's primary function is grantmaking, and this clearance authority covers information collections related to this activity. They allow the agency to:

- solicit grant applications from the public
- recruit peer reviewers from the public
- process awards
- monitor recipient performance

NEH programs are authorized by [20 U.S.C. §956, et seq.](#) Awards are subject to [2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.](#)

The clearance covers 23 information collections, summarized below.

Information Collection	Brief Description
1. Notice of Funding Opportunity template	The NEH NOFO template is used for all NEH funding programs. It follows the format and sequence set forth for all federal grantmaking agencies in Appendix I of 2 CFR 200.
2. Supplementary Cover Sheet for NEH Grant Programs	Institutional applicants for discretionary programs complete this form in Grants.gov Workspace at the time of application. It includes basic information about the applicant and proposed project.
3. NEH Supplemental Information for Individuals	Individual applicants complete this form in Grants.gov Workspace at the time of application. It includes basic information about the applicant and proposed project.

4. Supplementary Cover Sheet for NEH State Councils	The state and jurisdictional humanities councils complete this form in Grants.gov Workspace at the time of application for their legislatively mandated general operating support grants. It includes basic information about the applicant and proposed project.
5. NEH Institutional Profile	Applicants to the Preservation Assistance Grants program complete this form at the time of application in Grants.gov Workspace. It provides additional information about the applicant and proposed project.
6. Assurances as to Labor Standards	Applicants to the Media Projects program submit this form in Grants.gov Workspace at the time of application. It provides written assurance that all professional performers, scriptwriters, and related or supporting professional personnel employed on projects or productions supported in whole or in part by NEH will be paid no less than the minimum union or guild rates, and that no part of any project or production will be performed or engaged in under working conditions that are unsanitary, hazardous, or dangerous to the health and safety of such individuals, per U.S. Department of Labor regulations set forth in 29 CFR Part 505 .
7. NEH Individual Programs Acceptance Form	Individual applicants complete this form at the time of award to finalize their period of performance and payment schedule.
8. Organizational Survey	<p>New 501(c)(3) grant recipients receiving an award greater than \$50,000 complete this intake form at the time of award as part of the agency's risk management strategy.</p> <p>Note: the term "survey" here is somewhat of a misnomer. This form is not a survey in the way OMB uses this term for PRA purposes.</p>
9-10. Gift certification reports (x2)	NEH grant recipients whose projects include federal matching funds are required to submit this form to document required third-party cost share. There are two versions of this form: one for the Challenge Grants program and one for other institutional grant programs utilizing matching funds. Challenge Grants recipients are required to submit this form annually; there is no set cadence for recipients of other grant programs.
11. Reviewer interest form	Individuals can voluntarily indicate their interest in serving as a peer reviewer for NEH by completing this form on the NEH website.
12. Interim performance report (organizations)	Institutional grant recipients complete this report online in eGMS Reach. NEH programs require recipients to submit interim reports on an annual basis consistent with 2 CFR 200.
13. Final performance report (organizations)	Institutional grant recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.

14. Performance report (individuals)	Institutional grant recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
15. Interim performance report (Challenge Grants)	Challenge Grants recipients complete this report online in eGMS Reach. NEH programs require recipients to submit interim reports on an annual basis consistent with 2 CFR 200.
16. Final performance report (Challenge Grants)	Challenge Grants recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
17. Activities and outcomes report for the state humanities councils	The state and jurisdictional humanities councils complete this report annually. It focuses on qualitative outcomes related to subawards and other council activities made with their formula-based grants.
18. FPIRI Evaluation Form	FPIRI fellows may voluntarily complete this form following their fellowships to provide feedback on their fellowship experiences on the NEH website.
19-20. State Humanities Council SHARP annual report	These reports will be used by the state humanities councils to report on performance on their formula-based SHARP awards.
21-23. SHARP subrecipient selection reports	This report will be used by state humanities councils and ARP-G recipients to report on organizations and individuals selected as subrecipients.

2.) Information Use

Respondents to these information collections include grant applicants (both organizations and individuals); grant recipients (both organizations and individuals), and individuals volunteering their services as peer reviewers. This information is used internally and is not disseminated publicly.

NEH uses information contained in the NOFO and application forms to determine the applicants' eligibility and applications' completeness and responsiveness while ensuring compliance. This information is the basis of NEH's funding decisions in its discretionary programs.

NEH uses forms completed by recipients at the time of award to confirm eligibility, establish payment schedules (for individuals), and to mitigate risk to the agency.

NEH uses information collected from the reviewer interest form to identify qualified members of the public to serve as peer reviewers as part of the agency's review process.

NEH uses various reporting templates to monitor recipient performance in compliance with relevant governmentwide regulations, agency policy, and program-specific requirements.

In the past, information collections under this clearance have been used to support NEH's grants management line of business; we plan to continue such efforts under this extension.

3.) Information Collection Method

Applicants seeking funding voluntarily respond to the agency's NOFOs, which are found

on Grants.gov as well as on the NEH website. NOFOs include information regarding recipients' post-award reporting requirements.

All information collections are conducted online. Applicants submit their applications via Grants.gov and other reports and forms via eGMS, NEH's electronic grants management system. Individuals volunteering as peer reviewers submit their credentials via the NEH website. All collections are overseen by NEH staff.

In terms of frequency, NEH accepts proposals annually for most programs, though a few have multiple deadlines per year. NEH requires applicants to submit performance reports annually; in rare cases, recipients may be required to report more frequently, consistent with 2 CFR §200.329. Other forms are collected once, either at the time of application or at the time of award. NEH maintains an open call for peer reviewers, so individuals may voluntarily respond at any time.

4.) Duplication

NEH's Office of the Chairman, Office of General Council, and Office of Grant Management participate in an internal clearance process to review NOFOs and other documents covered by this clearance to avoid unnecessary duplication.

When appropriate, NEH uses existing collections, such as the SF-424 – Short Organizational, Research and Related Budget, and Federal Financial Reporting Form. In other instances, NEH modifies existing forms as a basis for its collections – for example, many NEH reports included in this request are based on the basic Performance Progress Report with the addition of agency/program-specific questions.

5.) Minimizing Burdens on Small Businesses

NEH is committed to streamlining its application instructions and simplifying the application process. To ensure uniformity with other federal grantmaking agencies, NEH has aligned the format and sequencing of its NOFOs with Appendix I of 2 CFR 200 and strives to balance the need for information with refraining from placing undue burden on its applicants. The agency's internal clearance process ensures that no undue burden is placed on applicants seeking NEH funding.

6.) Consultation Outside of the Agency

NEH published notices in the Federal Register to solicit public comments on this proposed extension on January 27, 2021, and April 6, 2021. The agency received one public comment, dated January 27, 2021, which expressed general concern about the benefit of this information collection to the taxpayer. NEH acknowledged the comment but determined that it did not call for any change since the opinion expressed was of a general nature and did not pertain to any specific information collections included in this request.

7.) Estimation of the Annual Burden and Costs of the Collection

Information Collection Activity	Type of Collection	Number of Respondents	Total Annual Responses	Hours Per Response	Total Hours
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1. Notice of Funding Opportunity template	NOFO template	4,894	4,894	60 hours	293,640
2. Supplementary Cover Sheet for NEH Grant Programs	Application Form	3,450	3,450	10 minutes	575
3. NEH Supplemental Information for Individuals	Application Form	1,400	1,400	20 minutes	467
4. Supplementary Cover Sheet for NEH State Councils	Application Form	56	56	10 minutes	9
5. NEH Institutional Profile	Application Form	35	35	30 hours	18
6. Assurances as to Labor Standards	Application Form	150	150	15 minutes	38
7. NEH Individual Programs Acceptance Form	Award Form	225	225	30 minutes	113
8. Organizational Survey	Award Form	157	157	15 minutes	39
9. Gift certification report	Award Form	75	75	30 minutes	38
10. Gift certification report (Challenge)	Award Form	100	100	30 minutes	50
11. Reviewer interest form	Review Form	236	236	30 minutes	118
12. Interim performance report (organizations)	Report template	542	542	2 hours	1084
13. Final performance report (organizations)	Report template	419	419	2 hours	838

14. Performance report (individuals)	Report template	188	188	1 hour	188
15. Interim performance report (Challenge Grants)	Report template	105	105	2 hours	210
16. Final performance report (Challenge Grants)	Report template	30	30	2 hours	60
17. Activities and outcomes report for the state humanities councils	Report template	56	56	30 hours	1,680
18. FPIRI Evaluation Form	Report template	50	50	30 minutes	25
19. State Humanities Council SHARP annual report	Report template	56	56	2 hours	112
20. State Humanities Council SHARP final report	Report template	56	56	3 hours	168
21. State Humanities Councils SHARP Subrecipient selection report	Report template	56	56	10 hours	560
22. SHARP subrecipient selection report (organizations)	Report template	7	7	10 hours	70
23. SHARP subrecipient selection report (individuals)	Report template	6	6	10 hours	60

We estimate a total annual burden for these collections at 300,160 hours and \$21,235,922.

We estimate the cost to the Federal Government to be \$1,504,712.

NEH staff spend approximately four hours reviewing and processing each application (including the associated forms), for a subtotal of \$1,385,198.

NEH staff spend approximately one hour reviewing each performance report for a subtotal of \$111,164.

NEH staff spend approximately thirty minutes reviewing each voluntary peer review application, for a subtotal of \$8,350.

Both respondent and NEH staff time is estimated at \$70.76 per hour.

8.) Explanation of Changes in the Burden of the Collection

The total burden estimate for this extension request has increased, based on the inclusion of additional information collections not previously included as well as revised burden estimates that more accurately reflect the time necessary to prepare a grant application.

Information Collection Activity	Description of Change	Change in Burden Estimate	Nature of Change: (Program Change or Adjustment)	If Program Change, is it due to new statute?
1. Notice of Funding Opportunity template	Increased response time to better reflect the time necessary to prepare a grant application	45 hours (previously 15, currently 60)	Adjustment	No
2. Supplementary Cover Sheet for NEH Grant Programs	New collection			
3. NEH Supplemental Information for Individuals	New collection			
4. Supplementary Cover Sheet for NEH State Councils	New collection			

5. NEH Institutional Profile	New collection			
6. Assurances as to Labor Standards	New collection			
7. NEH Individual Programs Acceptance Form	New collection			
8. Organizational Survey	No change			
9. Gift certification report	No change			
10. Gift certification report (Challenge)	No change			
11. Reviewer interest form	No change			
12. Interim performance report (organizations)	Updated	No change	Program Change	No
13. Final performance report (organizations)	Updated	No change	Program change	No
14. Performance report (individuals)	No change	No change		
15. Interim performance report (Challenge Grants)	New collection			
16. Final performance report (Challenge Grants)	New collection			
17. Activities and outcomes report for the state humanities councils	New collection			

18. FPIRI Evaluation Form	New collection			
19. State Humanities Council SHARP annual report	New collection			
20. State Humanities Council SHARP final report	New collection			
21. State Humanities Councils SHARP Subrecipient selection report	New collection			
22. SHARP subrecipient selection report (organizations)	New collection			
23. SHARP subrecipient selection report (individuals)	New collection			

9.) Payment or Gift to Respondents

NEH does not provide payments or gifts to any respondents.

10.) Justification for Sensitive Questions

NEH does not solicit information on sexual behavior, religious beliefs, or other personal matters.

11.) Privacy and Confidentiality

None of the information collections included in this renewal request include personally identifiable information, except for the NEH Individual Programs Acceptance Form. This form is completed by individuals who have applied for and been selected to receive an NEH individual award so that their payments can be processed. It is a secure, encrypted form, and permissions to view PII are limited to NEH staff who need this information to process awards.

The Federal Register citation for NEH’s System of Records Notice (SORN) is Vol. 82, No. 79.

12.) Expiration Date for OMB Approval

NEH will include the expiration date on all information collections covered by this

clearance.



NATIONAL ENDOWMENT FOR THE HUMANITIES
Extension of the Generic Clearance Authority
OMB Control Number 3136-0134
Justification: Supporting Statement A
Supplemental Request: June 9, , 2022

Abstract

The National Endowment for the Humanities (NEH) received a three-year renewal of its generic clearance authority, OMB control number 3136-0134, in October 2021. This clearance includes NEH’s Notice of Funding Opportunity (NOFO) template, agency-specific application and award-related forms, and agency-specific performance reports. NEH seeks to increase the burden estimate under this clearance and to approve additional information collections.

Type of Request

This is a request for an increased burden estimate and additional information collections under existing clearance 3136-0134. This request includes sixteen new information collections with a total burden estimate of 1,897 hours, increasing the total burden estimate from 300,160 hours to 302,057 hours and \$21,235,922 to \$21,370,153.72.

1.) Need for the Collection

NEH’s primary function is grantmaking, and this clearance authority covers information collections related to this activity. They allow the agency to:

- solicit grant applications from the public
- recruit peer reviewers from the public
- process awards
- monitor recipient performance

NEH programs are authorized by [20 U.S.C. § 956, et seq.](#) Awards are subject to [2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.](#)

This clearance currently covers 23 information collections. At this time NEH requests approval for an additional 16 information collections, summarized below. The majority of these requests are program-specific iterations of the already cleared NEH interim and final performance report templates.

Information Collection	Brief Description
1. Performance Report: Fellowships for Advanced Social Science Research on Japan	Individuals complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.

2-3. Interim and Final Performance Reports: State Humanities Councils “A More Perfect Union”	State humanities councils complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
4. State Humanities Councils Regrant Summary Report	State humanities councils submit this report to identify organizations and individuals selected as subrecipients.
5. Final Performance Report: Preservation Assistance Grants (PAG)	PAG recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
6. Performance Report: Division of Education Programs	Division of Education Programs recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
7. Performance Report: Division of Public Programs: Cooperative Agreements and Special Project	Division of Public Programs recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
8. Performance Report: Digital Projects for the Public	Digital Projects for the Public recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
9-10. Performance Reports: Media Projects: Development and Media Projects: Production	Media Projects: Development and Media Projects: Production recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
11-13. Performance Reports: Public Humanities Projects (Implementation, Planning, Humanities Conversations)	Public Humanities Projects recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
14. FPIRI Fellowship Data Form	This form asks individual participants in NEH-funded FPIRI fellowship programs to report on their experience.
15. FPIRI Financial Report	FPIRI recipients provide a summary budget for their programs.
16. Program Income Report	Media Projects recipients are required to report program income for up to seven years following the period of performance, consistent with agency policy.

2.) Information Use

Respondents to these additional information collections are NEH grant recipients (both organizations and individuals). NEH uses this information internally and does not disseminate it publicly.

NEH uses various reporting templates to monitor recipient performance in compliance with relevant governmentwide regulations, agency policy, and program-specific requirements.

In the past, NEH has used the information collections under this clearance to support our grants management; we plan to continue such efforts under this extension.

3.) Information Collection Method

NEH conducts all information collections online. Recipients submit their reports and forms

via eGMS, NEH’s electronic grants management system. NEH staff oversee all collections.

Except as required by 2 CFR § 200.329, NEH requires recipients to submit performance reports annually.

4.) Duplication

When appropriate, NEH uses existing collections, such as the SF-424 – Short Organizational, Research and Related Budget, and Federal Financial Reporting Form. In other instances, NEH modifies existing forms as a basis for its collections – for example, many NEH reports included in this request are based on the basic Performance Progress Report with the addition of agency/program-specific questions.

5.) Minimizing Burdens on Small Businesses

NEH is committed to streamlining its application process and reporting requirements, striving to balance the need for information with preventing undue burden on its applicants. The agency’s internal clearance process ensures that NEH does not place an undue burden on applicants seeking NEH funding.

6.) Consultation Outside of the Agency

NEH published notices in the Federal Register to solicit public comments on this proposed extension on January 27, 2021, and April 6, 2021. The agency received one public comment, dated January 27, 2021, which expressed general concern about the benefit of this information collection to the taxpayer. NEH acknowledged the comment but determined that it did not call for any change since the opinion expressed was of a general nature and did not pertain to any specific information collections included in this request.

7.) Estimation of the Annual Burden and Costs of the Collection

Information Collection Activity	Type of Collection	Number of Respondents	Total Annual Responses	Hours Per Response	Total Hours
1. Performance Report: Fellowships for Advanced Social Science Research on Japan	Report Template	3	3	1 hour	3
2. Interim Performance Report: State Humanities Councils “A More Perfect Union”	Report Template	56	56	4 hours	224
3. Final Performance Report: State Humanities Councils “A More Perfect Union”	Report Template	56	56	5 hours	280

4. State Humanities Councils Regrant Summary Report	Report Template	56	56	8 hours	448
5. Final Performance Report: Preservation Assistance Grants	Report Template	70	70	2 hours	140
6. Performance Report: Division of Education Programs	Report Template	200	200	2 hours	400
7. Performance Report: Division of Public Programs: Cooperative Agreements and Special Project	Report Template	3	3	2 hours	6
8. Performance Report: Digital Projects for the Public	Report Template	28	28	2 hours	56
9. Performance Reports: Media Development	Report Template	7	7	2 hours	14
10. Performance Reports: Media Production	Report Template	29	29	2 hours	58
11. Performance Reports: Public Humanities Projects (Implementation)	Report Template	47	47	2 hours	94
12. Performance Reports: Public Humanities Projects (Planning)	Report Template	26	26	2 hours	52
13. Performance Reports: Public Humanities Projects (Humanities Conversations)	Report Template	11	11	2 hours	22
14. FPIRI fellowship data form	Report Template	70	70	10 minutes	12
15. FPIRI Financial report	Report template	13	13	1 hours	13

16. Program income report	Report Template	50	50	1.5 hours	75
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We estimate a total annual burden for these sixteen new collections at 1,897 hours and \$134,231.72.

We estimate the cost to the Federal Government for these sixteen new collections to be \$51,301. (NEH staff spend approximately one hour reviewing each report).

Both respondent and NEH staff time is estimated at \$70.76 per hour.

8.) Explanation of Changes in the Burden of the Collection

The total burden estimate for this clearance has increased based on the inclusion of sixteen new information collections not previously included.

9.) Payment or Gift to Respondents

NEH does not provide payments or gifts to any respondents.

10.) Justification for Sensitive Questions

NEH does not solicit information on sexual behavior, religious beliefs, or other personal matters.

11.) Privacy and Confidentiality

None of the information collections included here include personally identifiable information.

The Federal Register citation for NEH's System of Records Notice (SORN) is Vol. 82, No. 79.

12.) Expiration Date for OMB Approval

NEH will include the expiration date on all information collections covered by this clearance.