



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 a revision of existing clearance 3136-0134. This request includes additional information collection instruments and an updated burden estimate.

1.) Need for the Collection

The National Endowment for the Humanities' (NEH) primary function is grantmaking, and this clearance authority covers information collections related to this activity. It allows the agency to:

- solicit grant applications from the public,
- recruit peer reviewers from the public,
- process awards, and
- 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](#), which governs NEH's application guidelines and award requirements.

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. NEH uses the information it collects from respondents internally and does not disseminate it publicly.

NEH uses information requested in the NOFO and application forms to determine the applicants' eligibility and applications' completeness and responsiveness while ensuring compliance with 2 CFR Part 200 and program requirements. The information collected 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. NEH plans to continue such efforts under this revision.

NEH’s existing clearance currently covers 27 information collections, and NEH is requesting clearance for 8 additional information collections, all 35 of which are listed below.

Information Collection	Brief Description
1. Notice of Funding Opportunity Template	The NEH NOFO template is used for all NEH funding programs’ application guidelines. It follows the format and sequence set forth for all federal grantmaking agencies in Appendix I of 2 CFR 200.
2. FPIRI Evaluation Form	Fellowship Programs at Independent Research Institutions (FPIRI) fellows may voluntarily complete this form on the NEH website following their fellowships to provide feedback on their fellowship experiences.
3. Certification of Matching Gifts for NEH Challenge Grants	NEH Challenge grant recipients are required to submit this form annually to document required third-party cost share.
4. Assurances as to Labor Standards	Applicants with projects including relevant professional performers submit this form in Grants.gov Workspace at the time of application. It provides written assurance that all projects or productions supported by NEH funds will follow the standards set forth in 29 CFR Part 505 .
5. NEH Certification of Gifts/Pledges	NEH grant recipients whose projects include federal matching funds are required to submit this form to document required third-party cost share.
6. NEH Organizational Survey	New NEH 501(c)(3) grant recipients receiving an award greater than \$50,000 complete this intake form with information about their organization and its structure at the time of award as part of the agency’s risk management strategy. Note: the term “survey” in this case does not match OMB’s definition of a form collecting information about a group’s opinions or experience.
7. 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.
8. 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.

9. 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.
10. NEH Panelist Sign Up Form	Individuals can voluntarily indicate their interest in serving as a peer reviewer for NEH by completing this form on the NEH website.
11. NEH Institutional Profile	Applicants to the Preservation Assistance Grants (PAG) program complete this form at the time of application in Grants.gov Workspace. It provides additional information about the applicant and proposed project.
12. NEH Individual Progress Report	Individual grant recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
13. NEH Interim Performance Progress Report	Organizational award recipients (except those in programs with a specialized interim report) complete this report online and submit it annually, consistent with 2 CFR 200.
14. NEH Final Performance Progress Report	Organizational award recipients (except those in programs with a specialized final report) complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
15. 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.
16. NEH Interim Performance Progress Report - Challenge Programs	Challenge Grants recipients complete this report online in eGMS Reach annually, consistent with 2 CFR 200.
17. NEH Final Performance Progress Report - Challenge Programs	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.
18. NEH Individual Programs Acceptance Form	Individual applicants complete this form at the time of award to confirm acceptance of their award and finalize their period of performance and payment schedule.
19. State Humanities Council SHARP interim report	State humanities council recipients of formula-based SHARP awards complete this report annually in eGMS Reach.
20. State Humanities Council SHARP final report	State humanities council recipients of formula-based SHARP awards complete this report at the end of their period of performance in eGMS Reach.
21-23. SHARP Subrecipient Selection Reports	These reports (tailored for individual, organizational, and subgranting subrecipients) are used by state humanities councils and ARP-G recipients to report on organizations and individuals selected as subrecipients.
24. Final Performance Report: Preservation Assistance Grants	PAG recipients complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.

25-27. Performance Reports: Public Humanities Projects (Implementation, Planning, and Humanities Conversations)	Public Humanities Projects recipients complete these program-specific reports online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
28. Fed/State Supplemental Funding Interim Report (<i>new collection</i>)	State humanities councils that received special initiative supplemental funding will complete this report online in eGMS Reach annually, consistent with 2 CFR 200.
29. Fed/State Supplemental Funding Final Report (<i>new collection</i>)	State humanities councils that received special initiative supplemental funding will complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
30. Fed/State Partnership Regrant Report (<i>new collection</i>)	State humanities councils will submit this report to identify organizations and individuals selected as subrecipients.
31. Performance Report: Division of Education Programs (<i>new collection</i>)	Division of Education Programs recipients will complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
32. Performance Report: Digital Projects for the Public (<i>new collection</i>)	Digital Projects for the Public recipients will complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
33. Performance Report: Media Production (<i>new collection</i>)	Media Projects: Production recipients will complete this report online in eGMS Reach within 120 days of the period of performance end date, consistent with 2 CFR 200.
34. FPIRI Fellowship Data Form (<i>new collection</i>)	This form asks individual participants in NEH-funded FPIRI fellowship programs to report on their experience.
35. FPIRI Financial Report (<i>new collection</i>)	FPIRI recipients will use this form to provide a summary budget for their programs.

3.) Information Collection Method

All NEH 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. 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. Individuals volunteering as peer reviewers submit their credentials via the NEH website. All collections are overseen by NEH staff.

For the majority of NEH's programs, NEH accepts proposals annually, though a few programs 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 Chair, Office of General Counsel, 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.

Recipients from several NEH programs complete performance reports that are tailored to the program, so recipients do not have to complete more than one form or provide duplicate information.

In several cases, 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. Recipients are only required to complete one version of the interim and final performance progress report.

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.) Consequences of Not Conducting Collections

NEH is a grantmaking agency and needs these collections to solicit applications; determine applicant eligibility and qualification; and evaluate project performance. Without the use of these collections, NEH would not be able to fund deserving projects in the humanities, as authorized by [20 U.S.C. § 956, et seq.](#) NEH aligns the frequency and content of its information collections with 2 CFR 200 and has a two-tiered clearance process for NOFOs.

7.) Explaining Special Circumstances

One of NEH's information collections could fall under one of the scenarios listed in the instructions. Recipients of individual awards must submit the NEH Individual Programs Acceptance Form to confirm their start dates before receiving their award. If the recipient wants the award to start within 30 days of the decision notification, they would have to complete the form fewer than 30 days after receipt.

8.) Consultation Outside of the Agency

NEH's request for comment was published in the Federal Register on 5/24/2024 at 89 FR 45926: <https://www.federalregister.gov/documents/2024/05/24/2024-11529/agency-information-collection-request-60-day-public-comment-request>. It invited people to comment on NEH's estimated cost and burden hours for information collections. It received no comments.

9.) Payment or Gift to Respondents

NEH does not provide payments or gifts to any respondents.

10.) Privacy and Confidentiality

NEH includes a privacy policy in its NOFOs that references NEH’s System of Records Notice (SORN). The Federal Register citation for NEH’s SORN is 87 FR 8616.

Information collections under this request collect minimal personally identifiable information (PII) that is necessary to identify who is applying for / participating in an NEH award and their qualification. PII collected includes individuals’ names, addresses, phone numbers, email addresses, and employment history.

One form, the NEH Individual Programs Acceptance Form, collects sensitive PII. This form is completed by individuals who have been selected to receive an NEH individual award and collects PII necessary to verify their eligibility to receive federal funds. It is a secure, encrypted form, and permissions to view PII are limited to NEH staff who need this information to process awards.

11.) Justification for Sensitive Questions

NEH does not collect any sensitive information from respondents, including details about sexual behavior and attitudes, religious beliefs, or race/ethnicity.

12.) Information Collection Burden Estimates

Title	Type of collection	Number of respondents	Annual responses	Hours per response	Total hours
1. NEH Notice of Funding Opportunity Template	NOFO template	4,894	1	60.00	293,640
2. FPIRI Evaluation Form	Report template	50	1	0.50	25
3. Certification of Matching Gifts for NEH Challenge Grants	Award form	100	1	0.50	50
4. NEH Assurances as to Labor Standards	Application form	150	1	0.25	38
5. NEH Certification of Gifts/Pledges	Award form	75	1	0.50	38
6. NEH Organizational Survey	Award form	35	1	0.50	18
7. NEH Supplemental Information for Individuals	Application form	1,400	1	0.33	467
8. Supplementary Cover Sheet for NEH Grant Programs	Application form	3,450	1	0.17	575

9. Supplementary Cover Sheet for NEH State Councils	Application form	56	1	0.17	9
10. NEH Panelist Sign Up Form	Review form	236	1	0.50	118
11. NEH Institutional Profile	Application form	157	1	0.25	39
12. NEH Individual Progress Report	Report template	191	1	1.00	191
13. NEH Interim Performance Progress Report	Report template	542	1	2.00	1,084
14. NEH Final Performance Progress Report	Report template	419	1	2.00	838
15. Activities and Outcomes Report for the State Humanities Councils	Report template	56	1	30.00	1,680
16. NEH Interim Performance Progress Report - Challenge Programs	Report template	105	1	2.00	210
17. NEH Final Performance Progress Report - Challenge Programs	Report template	30	1	2.00	60
18. NEH Individual Programs Acceptance Form	Award form	225	1	0.50	113
19. State Humanities Council SHARP interim report	Report template	56	1	2.00	112
20. State Humanities Council SHARP final report	Report template	56	1	3.00	168
21. State Humanities Council SHARP Subrecipient Selection Report	Report template	56	1	10.00	560
22. SHARP	Report	6	1	10.00	60

Subrecipient Selection Report (individuals)	template				
23. SHARP Subrecipient Selection Report (organizations)	Report template	7	1	10.00	70
24. Final Performance Report: Preservation Assistance Grants	Report template	70	1	2.00	140
25. Performance Reports: Public Humanities Projects (Implementation)	Report template	47	1	2.00	94
26. Performance Reports: Public Humanities Projects (Planning)	Report template	26	1	2.00	52
27. Performance Reports: Public Humanities Projects (Humanities Conversations)	Report template	11	1	2.00	22
28. Fed/State Supplemental Funding Interim Report (<i>new collection</i>)	Report template	56	1	4.50	252
29. Fed/State Supplemental Funding Final Report (<i>new collection</i>)	Report template	56	1	4.50	252
30. Fed/State Partnership Regrant Report (<i>new collection</i>)	Report template	56	1	8.00	448
31. Performance Report: Division of Education Programs (<i>new collection</i>)	Report template	200	1	2.00	400
32. Performance Report: Digital Projects for the Public (<i>new</i>	Report template	28	1	2.00	56

<i>collection)</i>					
33. Performance Report: Media Production (<i>new collection</i>)	Report template	29	1	2.00	58
34. FPIRI Fellowship Data Form (<i>new collection</i>)	Report template	70	1	0.17	12
35. FPIRI Financial Report (<i>new collection</i>)	Report template	13	1	1.00	13
TOTAL					301,962

Respondent time is estimated at \$70.76 per hour, making the total annual burden dollars \$21,366,831.10.

There have been no significant changes to the number of respondents to these collections or the time required to complete them since the previous revision, so our burden estimates for existing collections remain the same. Burden estimates for new collections are based on the average number of applicants to the relevant programs.

13.) Cost Burden

These information collections do not require equipment or services outside of what is part of customary and usual business.

14.) Information Collection Cost to Federal Government

We estimated the total hours based on the complexity of the forms staff review. NEH staff spend approximately four hours reviewing and processing each application (including the associated forms), one hour reviewing performance reports, and thirty minutes for each voluntary peer review application. The table below shows review time and cost.

Title	Type of collection	Annual responses	NEH review hours	Total NEH review hours
1. NEH Notice of Funding Opportunity Template	NOFO template	4,894	4	19,576
2. FPIRI Evaluation Form	Report template	50	1	50
3. Certification of Matching Gifts for NEH Challenge Grants	Award form	100	1	100
4. NEH Assurances as to Labor Standards	Application form	150	0	0
5. NEH Certification of Gifts/Pledges	Award form	75	1	75
6. NEH Organizational Survey	Award form	35	1	35
7. NEH Supplemental	Application	1,400	0	0

Information for Individuals	form			
8. Supplementary Cover Sheet for NEH Grant Programs	Application form	3,450	0	0
9. Supplementary Cover Sheet for NEH State Councils	Application form	56	0	0
10. NEH Panelist Sign Up Form	Review form	236	0.5	118
11. NEH Institutional Profile	Application form	157	0	0
12. NEH Individual Progress Report	Report template	191	1	191
13. NEH Interim Performance Progress Report	Report template	542	1	542
14. NEH Final Performance Progress Report	Report template	419	1	419
15. Activities and Outcomes Report for the State Humanities Councils	Report template	56	1	56
16. NEH Interim Performance Progress Report - Challenge Programs	Report template	105	1	105
17. NEH Final Performance Progress Report - Challenge Programs	Report template	30	1	30
18. NEH Individual Programs Acceptance Form	Award form	225	1	225
19. State Humanities Council SHARP interim report	Report template	56	1	56
20. State Humanities Council SHARP final report	Report template	56	1	56
21. State Humanities Council SHARP Subrecipient Selection Report	Report template	56	1	56
22. SHARP Subrecipient Selection Report (individuals)	Report template	6	1	6
23. SHARP Subrecipient Selection Report (organizations)	Report template	7	1	7
24. Final Performance Report: Preservation Assistance Grants	Report template	70	1	70
25. Performance Reports: Public Humanities Projects (Implementation)	Report template	47	1	47
26. Performance Reports: Public Humanities Projects (Planning)	Report template	26	1	26
27. Performance Reports: Public Humanities Projects (Humanities Conversations)	Report template	11	1	11

28. Fed/State Supplemental Funding Interim Report (<i>new collection</i>)	Report template	56	1	56
29. Fed/State Supplemental Funding Final Report (<i>new collection</i>)	Report template	56	1	56
30. Fed/State Partnership Regrant Report (<i>new collection</i>)	Report template	56	1	56
31. Performance Report: Division of Education Programs (<i>new collection</i>)	Report template	200	1	200
32. Performance Report: Digital Projects for the Public (<i>new collection</i>)	Report template	28	1	28
33. Performance Report: Media Production (<i>new collection</i>)	Report template	29	1	29
34. FPIRI Fellowship Data Form (<i>new collection</i>)	Report template	70	1	70
35. FPIRI Financial Report (<i>new collection</i>)	Report template	13	1	13
TOTAL				22,365

The total time that NEH will spend reviewing these information collections is 22,365 hours. With staff time estimated at \$70.76 per hour, the total cost to the federal government is \$1,582,547.40.

15.) Explanation of Adjustments

The total burden requested for this revision has decreased slightly (by 95 hours) from NEH's existing clearance, but it includes 8 additional information collections. The new collections include program-specific performance reports that better tailor report questions to the specific program.

16.) Publication Plans

NEH will not publish responses to these information collections.

17.) Displaying OMB Control Number

NEH is not seeking approval to not display the OMB approval expiration date.

18.) Exceptions to "Certification for Paperwork Reduction Act Submissions"

NEH has no exceptions to the topics of the certification statement.