



# NEH/AHRC New Directions for Digital Scholarship in Cultural Institutions Call (2021/22)

Revised 14 April 2021

## Contents

I. Executive Summary.....	2
II. Programme Description .....	3
A. Purpose .....	3
B. Context and value of enhanced collaboration .....	3
C. Funding levels.....	5
D. Background .....	6
III. Type of Application and Award.....	7
A. Summary of funding .....	7
B. Eligibility Information.....	7
IV. Application and Submission Information .....	10
A. Application Package .....	10
B. Content and Form of Application Submission .....	11
V. Application Review Information .....	13
A. Review Criteria .....	13
VI. Application Process and Components.....	14
A. Attachments.....	15
VII. Funding and Eligible Costs.....	20
A. Eligible Costs.....	20
B. Precarious employment .....	21
VIII. Submission Dates and Times .....	21
IX. Assessment Process and Criteria .....	21
X. Scheme Requirements and Post-Award Reporting.....	22
XI. Contact Information .....	22
XII. Data sharing.....	22

## I. Executive Summary

The UK Arts and Humanities Research Council (AHRC) – a component body of UK Research and Innovation (UKRI) – and the US National Endowment for the Humanities (NEH) Office of Digital Humanities, are accepting applications for the NEH/AHRC New Directions for Digital Scholarship in Cultural Institutions programme (2021/22). This is the second NEH/AHRC ‘New Directions’ call following the first round in 2020. Awards made through this programme will fund teams of researchers and cultural institution professionals in the US and UK working collaboratively to deliver transformational impacts on digital methods and digital research in cultural institutions. Applications must be submitted by teams, with at least one organisation from the US and one from the UK and where each country is represented by at least one cultural institution. An eligible UK Higher Education Institution, Independent Research Organisation or Research Council Institute must submit the application with a UK-specific budget and Justification of Resources under this announcement. The lead US organisation must submit the same application with a US-specific budget and Budget Justification to NEH. AHRC will fund the participating UK organisation(s), and NEH will fund the participating US organisation(s).

Funding available in the UK for this Call is provided as part of AHRC’s ‘UK-US Collaboration for Digital Scholarship in Cultural Institutions’ programme funded through the [UKRI Fund for International Collaboration](#).

Funding Opportunity Title:	NEH/AHRC New Directions for Digital Scholarship in Cultural Institutions (2021/22)
Application Deadline:	8 <sup>th</sup> July 2021, 4 pm British Summer Time 8 <sup>th</sup> July 2021, 11:59 pm Eastern Time
Anticipated Announcement:	December 2021
Estimated Number of Awards:	Approximately 8-15 grants
Funding Range:	<b>Level I:</b> up to £60,000 (paid at 80%) in AHRC funding for the UK organisation(s) and up to \$50,000 in NEH funding for participating US organisation(s) <b>Level II:</b> up to £250,000 (paid at 80%) in AHRC funding for the UK organisation(s) and up to \$150,000 in NEH funding for participating US organisation(s)
Match Required:	No
Award duration:	<b>Level I:</b> up to 2 years <b>Level II:</b> up to 3 years All projects must have a start date between 1 <sup>st</sup> February 2022 and 1 <sup>st</sup> April 2022.
Eligible Applicants:	Eligible applicants include UK Higher Education Institutions, Independent Research Organisations and Research Council Institutes. See <a href="#">Section III. Type of Application and Award</a>

Programme Resource Page:	Level I: <a href="https://www.ukri.org/opportunity/uk-us-digital-scholarship-in-cultural-institutions-level-one/">https://www.ukri.org/opportunity/uk-us-digital-scholarship-in-cultural-institutions-level-one/</a> Level II: <a href="https://www.ukri.org/opportunity/uk-us-digital-scholarship-in-cultural-institutions-level-two/">https://www.ukri.org/opportunity/uk-us-digital-scholarship-in-cultural-institutions-level-two/</a> NEH: <a href="https://www.neh.gov/program/new-directions-digital-scholarship-cultural-institutions">https://www.neh.gov/program/new-directions-digital-scholarship-cultural-institutions</a>
--------------------------	---

## II. Programme Description

### A. Purpose

The AHRC is pleased to announce a Call for applications to the NEH/AHRC New Directions for Digital Scholarship in Cultural Institutions programme. This is a joint initiative between the US National Endowment for the Humanities (NEH) and the UK AHRC.

The overarching goal of the Call is to advance digital scholarship in cultural heritage organisations such as museums, libraries, galleries, and archives. This Call will fund teams in the UK and US working collaboratively to deliver transformational impacts on digital methods and digital research in cultural institutions.

Applications must be submitted by teams, with at least one organisation from the UK and one from the US, in which each country is represented by at least one cultural institution. An eligible UK organisation must submit the application with a UK-specific budget and Justification of Resources under this announcement. The lead US organisation must submit the same application with a US-specific budget and Budget Justification to the NEH. AHRC will fund the participating UK organisation(s), and NEH will fund the participating US organisation(s).

Applicants will compose a single, joint narrative but will prepare two separate budgets, one for AHRC (for funds requested by the UK organisation(s)) and one for NEH (for funds requested by the US organisation(s)). The UK applicant's budget and Justification of Resources will be submitted to NEH as a supporting document and the US applicant's budget and Budget Justification will be submitted to AHRC as a supporting document.

Successful projects will have a balanced investment of time and effort on the part of organisations in both countries. Projects selected for funding will receive two awards: AHRC will make an award to the lead UK research organisation and the NEH will make an award to the lead US organisation.

### B. Context and value of enhanced collaboration

The UK and US contain some of the world's most prestigious cultural institutions. They are also world-leading in digital scholarship with recognised centres of excellence and have a long-standing history of collaboration. Cultural institutions in both countries have invested heavily in addressing the opportunities and

challenges of digitisation and digital research. Enhanced collaboration will pave the way to bringing new approaches to the ways in which culture and heritage can be experienced by global audiences, opening new research frontiers and questions, and advancing collections-based research methods for the 21<sup>st</sup> century.

Cultural institutions in the UK and US share many of the same challenges. Digital scholarship has a key role to play in responding to these challenges effectively and in equipping cultural institutions for the future. This programme seeks to fund projects that address one or more of the following themes:

**i) Organising, creating, and interrogating all collection types**

- In what ways can digital collections become richer and more user-friendly through existing methods such as optical character recognition, text extraction and parsing, linked open data, and network analysis?
- How can artificial intelligence (AI) and machine learning be leveraged to help organise, search, and understand digital collections?
- What sorts of new and emerging methods will enable breakthroughs in working with digital collections?
- How can digital technologies unlock new data, uncover hidden or under-researched histories, and facilitate discovery research?

**ii) Evolving institutions to face the twenty-first century**

- What innovative training programmes can be developed to address leadership and digital skills gaps in cultural institutions and how can these programmes build capacity for smaller institutions?
- What challenges do AI and machine learning methods present in terms of privacy, ethics, research integrity, copyright, reproducibility, and bias?
- How can digital innovation be harnessed to inform and advance the process of decolonisation across the sector, such as in collections, acquisitions, storytelling, programming, staffing, visitor participation, and physical spaces?
- How can digital tools help to improve visitor-facing experiences, enhance accessibility and inclusion, and better interpret visitor needs and interests?

**iii) Fostering digitally-enabled equitable participation**

- In what ways can digital scholarship and tools enhance access and create more equitable and inclusive approaches to community engagement, including for people of colour and others who have been historically underserved, marginalised, and adversely affected by persistent poverty and inequality?
- How can existing methods such as crowd-sourcing and co-creation be used to broaden participation or increase engagement across cultures or borders?

- How can digital technology help to interrogate and address issues relating to representation across cultural institution staff and volunteers, for example in terms of diversity and precarity in the sector?

While proposals might cut across more than one of these themes and/or introduce new areas of inquiry relating to digital scholarship in cultural institutions, applicants should identify the **one theme** to which their proposal principally responds.

### C. Funding levels

Awards are available at two funding levels. Applicants should carefully choose the funding level appropriate to the scope and maturity of the proposed project.

Applicants who have been funded through the previous AHRC calls or the first NEH/AHRC New Directions for Digital Scholarship in Cultural Institutions Call (see [Section II D. below](#)), or who have applied and been unsuccessful, are eligible to apply to this Call but will need to demonstrate how the new proposal is clearly distinct from or builds upon their previous project(s) / application (see [Eligibility Information in Section III](#) for further details).

Awards allocated through the two funding levels are available on a full economic cost (fEC) basis with AHRC meeting 80% of the fEC for the UK component of joint projects. The US component of projects will be funded by the NEH in accordance with the guidance set out in their [Notice of Funding Opportunity](#).

**Level I awards** (up to £60,000 from AHRC paid at 80% for the participating UK organisation(s) and up to \$50,000 from NEH for the participating US organisation(s) with a period of performance of up to 2 years) can support activities such as:

- planning and preliminary work for future, larger-scale projects, including conferences, workshops, and working group meetings to bring together individuals with complementary skill sets to outline future research, plan publications, or develop best practices
- small-scale collaborative projects, such as case studies, experiments, and exploratory or developmental research
- outreach to disseminate project findings, methods, software, and tools.

Outputs or products for Level I projects may include:

- reports, position papers, outlines for future research, or publications
- new software or tools
- initial prototypes and proof-of-concept studies.

**Level II awards** (up to £250,000 from AHRC paid at 80% for the participating UK organisation(s) and up to \$150,000 from NEH for the participating US organisation(s) with a period of performance of up to 3 years) can support activities such as:

- developing new or improved research methods, tools, or infrastructure
- linking dispersed collections or resources
- researching and developing digital methods, standards, and workflows for preserving and making accessible humanities collections
- large-scale collaborative humanities-oriented research resulting in print or digital publications
- training to provide scholars, cultural institution professionals, and/or advanced graduate students deeper knowledge of new and emerging digital scholarship methods for cultural institutions
- developing innovative approaches to outreach and engagement; for example, engaging smaller or less well-resourced cultural institutions in digital methods or the use of digital tools to widen audiences and improve accessibility across communities and user groups.

Outputs or products for Level II projects may include:

- working prototypes or code, sample data sets or models, methodological workflows, and/or documentation to support scaling-up and expansion of established projects
- co-authored or multi-authored books, peer-reviewed articles, a special issue of a journal, born-digital publications, open-access digital resources, and new best practice toolkits
- training materials and skills development opportunities in digital scholarship for cultural institution professionals and users
- digital or virtual collections, resources, databases, and union catalogues
- digital exhibitions and other innovative outreach activities.

#### **D. Background**

This is the second New Directions for Digital Scholarship in Cultural Institutions funding opportunity jointly supported by the NEH and AHRC. It builds on the success of the [first funding opportunity](#), as well as two previous calls for proposals (now archived) to facilitate partnership development activities between cultural institutions and universities in the U.K. and U.S. run by AHRC. It also builds upon a workshop held in Washington, DC in September 2019 co-convened by the AHRC and NEH, along with the Engineering and Physical Sciences Research Council of the U.K., the U.S. National Science Foundation, the Smithsonian Institution, and the Library of Congress. A report of the workshop can be found [here](#).

## III. Type of Application and Award

### A. Summary of funding

NEH and AHRC anticipate making 8 – 15 awards. Approximately £1,500,000 is expected to be available from AHRC to fund the expenses of the participating UK organisation(s) and approximately \$1,200,000 is expected to be available from NEH for to fund the expenses of the participating US organisation(s). Awards will be allocated up to the maximum levels outlined in the Funding Levels section [above](#).

The award duration is up to two years for Level I projects, and up to three years for Level II projects. All projects must have a start date between 1<sup>st</sup> February 2022 and 1<sup>st</sup> April 2022.

### B. Eligibility Information

#### i. AHRC Eligibility Requirements

Higher Education Institutions (HEI) that receive grant funding from one of the UK higher education funding bodies are eligible to receive funds for this Call. Independent Research Organisations (IRO) and Research Council Institutes are also eligible to act as lead organisation. Prospective applicants who are at a cultural institution or a research council institute but are unsure if they are eligible should consult [UKRI's list of eligible institutions](#) and the list of [Eligible Research Council Institutes](#). If your organisation is not on that list, you are not eligible to apply; however, you are eligible to act as a project partner and/or subcontractor for a lead organisation based in either country. **Please note IROs and Research Council Institutes can also act as project partners.**

Standard eligibility criteria (see section 2 of [AHRC's Research Funding Guide](#)) will apply to this Call for investigators and research organisations.

#### Project Partners

A Project Partner is a third-party organisation, or third-party person not employed on a grant, who provides specific contributions either in cash or in kind to a project. Project Partners provide contributions to the delivery of a project and therefore should not normally seek to claim funds from that project. However, if there are specific circumstances where Project Partners do require funding for minor costs such as travel and subsistence, this will be paid at 80% fEC (unless exceptionally agreed otherwise in advance). Any Project Partner costs should be outlined and fully justified in the proposal and will be subject to peer review. Please note that any applicable Subsidy Control regulation and HMRC guidance will also be considered which may affect the percentage of these costs that we will fund.

Organisations or individuals that are applicants on a project or UKRI Head Office Staff acting in their capacity as a UKRI employee are not eligible to be Project Partners.

### Subcontractors

A subcontractor is a third-party organisation, or third-party person not employed on a grant, who is subcontracted by the host organisation to deliver a specific piece of work. This subcontracted work will be subject to the procurement rules of the host Research Organisation. All costs that support the delivery of the subcontract are eligible and will be paid at 80% fEC unless otherwise stated, these should be outlined and fully justified in the proposal and will be subject to peer review.

### Dual Roles

An organisation or individual may act as both a Project Partner and Subcontractor on a project, however this must be fully justified and will be subject to peer review. This dual role may be required, for example, when an organisation or individual is contributing to the project in kind but is selected to deliver other work to the project involving substantial costs to be covered via a subcontract.

#### ii. Eligibility Requirements for this Call

Applications must be collaborative, with at least one organisation from the UK and one from the US and where each country is represented by at least one cultural institution (for more details on team structure please consult the [FAQ document](#)). The US and UK project teams will work together to craft a joint application that will be submitted to both the AHRC and the NEH. Applications will consist of two or more organisations, with at least one from the UK and one from the US.

Each team must include at least one cultural institution in the UK and in the US. Collaborative teams should be led by an eligible and suitably qualified Principal Investigator (PI) in the UK and Project Director in the US who will have overall responsibility for the project. They should also comprise Co-Investigators (UK) / Co-Directors (US), postdoctoral researchers and project partners on each side as appropriate to the scale and aims of the project. The application to the AHRC on the UK side should be submitted by the PI's Research Organisation, which will administer the award on behalf of the UK team where applications are successful.

The Project Director and lead organisation on the US side, who will submit their application to the NEH, should meet the eligibility criteria set out in the NEH [Notice of Funding Opportunity](#).

All application materials must be received by the application deadline. Please note that due to system requirements, the final cut-off time for applications on 8<sup>th</sup> July is slightly earlier in the UK than in the US (see [application deadline](#)). Late or ineligible applications will not be considered for funding under this Call.



For the purpose of this funding opportunity, the term "cultural institution" is conceived broadly and defined as any organisation that collects, organises, preserves, and makes accessible cultural heritage materials to both the academic research community as well as the public (including museums, libraries, galleries, archives, historical societies, and zoos). Some cultural institutions are affiliated with or housed within universities or other institutions of higher education; such institutions are considered to satisfy the status of "cultural institution" and can act as the lead UK partner as applied to this competition. If you are concerned about the eligibility of a particular institution, you are advised to consult with the relevant funder.

Please note that in order to be eligible for this call, applications must meet the funding remit of both AHRC and NEH. For further information about AHRC Remit, please consult the [AHRC Disciplines](#) list. For further information about NEH Remit, please consult Section D.6: Funding Restrictions in the [NEH Notice of Funding Opportunity](#). Applicants with questions about disciplinary eligibility should contact the funders for further guidance.

### iii. Previous applicants and existing award holders

Applicants who received funding through the first New Directions for Digital Scholarship in Cultural Institutions call and/or the previous two AHRC calls delivered through the 'UK-US Collaboration for Digital Scholarship in Cultural Institutions' programme (Networking Development awards and Partnership Development awards), are eligible to apply under this opportunity. Where such applications are submitted, they should be distinct projects, containing new or different programmes of work not covered by previous awards. These can build upon existing or past projects or collaborations provided they are exploring new lines of inquiry, new research questions, different contexts and/or new or additional collaborative opportunities, investigators or partners: these changes should be outlined in the ['Relationship with Previous Submission' attachment](#). Investigators and partners who are involved in an ongoing AHRC award and are named on a new application should demonstrate their capacity to contribute to multiple projects.

Unsuccessful applications submitted to the previous New Directions call and/or either of the two previous AHRC calls may also apply where they can clearly demonstrate substantial changes from the original application in the ['Relationship with Previous Submission' attachment](#).

Please refer to the [attachments section](#) for further information.

## IV. Application and Submission Information

### A. Application Package

The UK and US partners should prepare their application materials together but will submit two separate applications; the lead UK partner will apply to the AHRC through the Joint electronic Submission (Je-S) system and the lead US partner will apply to the NEH [Notice of Funding Opportunity](#). The attachments accompanying these applications should be identical, other than the respective budgetary information; please refer to the [attachments section](#) for more information.

Applications on the UK side should be submitted to AHRC through the Je-S system by 4pm on 8<sup>th</sup> July 2021 and will need to go through the appropriate institution submission process. You should submit your proposal using the Research Councils' Joint electronic Submission Je-S system (<https://je-s.rcuk.ac.uk/>).

All Investigators named on the Je-S application form must have a Je-S account. Where a named investigator does not already have a Je-S account, one can easily be set up, but please note that the process can take several days. It is therefore strongly recommended that the process is started well before the application deadline. Je-S accounts can be created on the Je-S site [here](#). If you require assistance with the process please contact the Je-S Helpdesk at [JeSHelp@je-s.ukri.org](mailto:JeSHelp@je-s.ukri.org) or +44 (0)1793 44 4164.

The Je-S submission portal allows for only one Principal Investigator to be included in a proposal. For this AHRC-NEH call, there is to be one Principal Investigator from the UK and one from the US. On the Je-S form the Principal Investigator is therefore the UK PI and the US Director needs to be recorded as a Co-Investigator. Such terminology must be considered as a built-in system feature, and does not challenge the equal status and co-leadership of the UK and US researchers. The US Project Director and Co-Directors should be included alongside the UK team in the List of Key Personnel document with their roles explained in the other accompanying attachments.

All Investigators named on the Je-S application form, whether based in the UK or the US, must have a Je-S account. Where a named investigator does not already have a Je-S account, one can be easily set up, but please note that the process can take a number of days. It is therefore strongly recommended that the process is started well before the application deadline.

Please note that no staff costs should be included for the US researchers in the Je-S form. In the Investigator section, zero should be entered into the fields which ask for 'Salary Rate' and 'Total number of hours to be charged to the grant over the duration of the grant' for the US researchers. No costs should be included on the Je-S form that will be incurred by the US-based members of the project team - only costs incurred by the UK team should be included. US costs (and, if

applicable, further in-kind contributions) must be listed in the 'NEH budget' and 'NEH Budget Justification', to be uploaded in the 'Non-UK Component' section.

## **B. Content and Form of Application Submission**

Your application will consist of a completed Application Form, Case for Support, and other required forms and components described below. The budget and Budget Justification documents of the US team must be included as two separate attachments so that panel members can understand and evaluate all project costs. NEH will require the UK budget and Justification of Resources to be uploaded on the grants.gov system.

**Important Note: For data analysis purposes, applicants are requested not to include the words 'Cov-19', 'Covid-19' or 'Coronavirus' in the Summary or Title sections unless the application relates to proposed research in this area.**

### **i. Case for Support**

The Case for Support provides a comprehensive framework and description of all aspects of the proposed project. It should be succinct, self-explanatory, well organised, and free of technical terms and jargon so that assessors from a variety of scholarly disciplines and professional backgrounds can understand the proposed project.

The Case for Support must be jointly written by both the UK and US partners and cover the project as a whole. The same version of the Case for Support ('Narrative' in the NEH application) should be submitted to both the NEH and AHRC.

The Case for Support is limited to five single-spaced pages (US letter, 8 ½ x 11 inches) for Level I projects and eight single-spaced pages (US letter, 8 ½ x 11 inches) for Level II projects. Both must have one-inch margins and at least twelve-point type.

AHRC has aligned each section of the Case for Support with a corresponding review criterion. Refer to [Section VI.A Review Criteria](#) for full descriptions.

Eligible applications will contain the information below. Use the following section headings for the narrative.

#### Significance for the Humanities (corresponds to [review criterion 1](#))

Articulate how the project will contribute to one or more humanities disciplines and explain how the proposed activities will engage with humanities collections or materials. If applicable, discuss how the project will support cross-disciplinary engagement, both within the humanities and beyond.

Demonstrate that you have made efforts to be as inclusive as possible in the project design and implementation. For example, have you considered including diverse members of the community in the team whenever possible? Are you

working to design and develop a product that will make a difference to and can be used by diverse members of the community? Have you ensured a balanced representation of subjects to obtain more objective and reliable results? How will you ensure that your research is accessible to people/institutions who could benefit from its outcomes the most?

Project goals and intended audience (corresponds to [review criteria 2, 3, 5](#))

Provide a clear and concise description of the project's goals and identify the research questions, issues, or problems that it is intended to address. Identify the target audience and describe how the new knowledge generated by your project will be used by this community. Clearly state which [theme](#) the project addresses.

History and rationale of the project (corresponds to [review criteria 1, 2](#))

If applicable, discuss the history of the project and indicate what has been achieved. Provide a rationale for new or further work by summarising previous and ongoing efforts in this area by members of the team or others. Explain how this project will fit within a broader ecosystem of related projects in cultural institutions.

Methodology (corresponds to [review criterion 3](#))

Describe the methodology that you will use to achieve your project goals and advance knowledge in the area of inquiry. Discuss whether the team is building on previous research and where it is departing from previous methods or theories, if relevant.

Project team and management (corresponds to [review criteria 4, 5](#))

Describe the composition and organisation of the team, including a description of how the activities will be managed and how input and communications among team members will be coordinated. Explain why transatlantic collaboration is critical for achieving the goals of the project.

Work plan (corresponds to [review criterion 5](#))

Provide a brief, high level overview of the project's work plan (no more than one paragraph). Provide a detailed work plan in [Attachment 5](#).

Final outputs, dissemination, and impact (corresponds to [review criteria 1, 3, 5](#))

Discuss the products / outputs you expect to generate during the project, their intended audience, and dissemination plans. Explain how your project's outputs will benefit research and cultural institutions in both the US and the UK.

<b>Case for Support Guidance</b>	
To ensure that you fully address the review criteria, this table provides a crosswalk between the Case for Support language and where each section falls within the review criteria.	
<b>Case for Support Section</b>	<b>Review Criteria</b>
Significance for the humanities	<a href="#">1. Significance</a>
Project goals and intended audience	<a href="#">2. Responsiveness</a> <a href="#">3. Methods and execution</a> <a href="#">5. Work plan</a>
History and rationale of the project	<a href="#">1. Significance</a> <a href="#">2. Responsiveness</a>
Methodology	<a href="#">3. Methods and execution</a>
Project team and management	<a href="#">4. Team and collaboration</a> <a href="#">5. Work plan</a>
Work plan	<a href="#">5. Work plan</a>
Final outputs, dissemination, and impact	<a href="#">1. Significance</a> <a href="#">3. Methods and execution</a> <a href="#">5. Work plan</a>

## V. Application Review Information

### A. Review Criteria

Panel Members will use the following review criteria:

#### 1. Significance

To what extent will this project benefit humanities scholars and cultural institution professionals? Do the applicants make a clear case for how they will make use of and benefit humanities collections or materials? Does the proposal make a case for how it will add value to existing scholarly knowledge and make an original contribution to the field? How might the project generate new findings, tools, or products relevant to larger questions in the humanities?

#### 2. Responsiveness

How clear are the goals and research questions of the project and how well do they respond to the overarching aims of this programme? To what extent will the proposed activities generate fruitful, innovative and novel interactions across disciplines, institutions, and borders? How responsive is the application to the needs of the target audience(s)?

#### 3. Methods and execution

Is the project's methodology clearly described and does it appear to be appropriate for the research questions or problems the applicants intend to

address? Are communication and reporting structures clear? Are plans for engaging with audiences and users appropriate?

#### 4. Team and collaboration

Do the team members possess the necessary qualifications, expertise, and levels of commitment to achieve the project's goals? Are the skill sets of the team members complementary? Do the applicants make a clear case for the added value of the US-UK collaboration in this project? Is there a reasonable and appropriate balance of responsibilities between the respective UK and US team members?

#### 5. Work plan

Are the project tasks and milestones clearly laid out, and is it clear which team member bears responsibility for each task? Are the timelines for completing activities and outputs reasonable? Is there a discussion of potential risks and risk mitigation strategies?

#### 6. Budget and value for money

Do the applicants clearly identify the project's anticipated products, outputs, audiences, and impacts and are these reasonable given the proposed budget?

## VI. Application Process and Components

The UK and US partners should prepare their application materials together but will submit two separate applications. The US Project Director and Co-Directors **should** be listed in the Je-S form as Co-Investigators **with no associated costs** (as mentioned in Section IV A).

Applications to the AHRC on the UK side should be submitted through the Je-S system by 4pm UK time at the latest on 8<sup>th</sup> July 2021 and will need to go through the appropriate institution submission process. You should submit your proposal using the Research Councils' Joint electronic Submission (Je-S) System (<https://je-s.rcuk.ac.uk/>). To prepare a proposal form in Je-S:

- Log in to your account and choose 'Documents' from the menu;
- Select 'New Document';
- 'AHRC' as the Council;
- 'Standard Proposal' as the Document Type;
- 'Development Grants' as the Scheme;
- Select between '(L1) NEH AHRC New Directions for Digital Scholarship 8 July 2021' for Level I **or** '(L2) NEH AHRC New Directions for Digital Scholarship 8 July 2021' for Level II as the Call/Type/Mode, depending on which Level (I or II) of award you are applying for, and 'Create Document'.

Je-S will then create a proposal form, displaying the relevant section headings. Using the ‘Help’ link at the top of each section will provide guidance relevant to that section of the form.

Note that selecting 'Submit document' on your proposal form in Je-S initially submits the proposal to your host organisation's administration, not to AHRC.

*Please remember to allow sufficient time for your organisation’s submission process between submitting your proposal to them and the Call closing date.*

Applications should address the aims of the Call as outlined above.

### A. Attachments

The following are a list of attachments that are required for the UK component of this Call.

Applications missing any required documents from this list will be considered incomplete and will be rejected from further consideration. Proposals that exceed page limits or violate format instructions will be considered nonresponsive and will be rejected from further consideration.

Please note that in order to facilitate submission of the same documents to AHRC and NEH, for all attachments with page limits the page size should be **US letter** (8½ x 11 inches) with **one-inch margins** and at least **twelve-point type**.

Please see below for further guidance on submitting these attachments:

Attachment	Requirement and page limits
1. <a href="#">List of Key Personnel</a> (attachment type ‘Other Attachment’)	Page size should be US letter (8½ x 11 inches) with one-inch margins and at least twelve-point type. Compulsory (max. 1 page) Note this is required for <b>all</b> participants in the UK and US.
2. <a href="#">Case for Support</a>	Compulsory (max. 5 pages for Level I, 8 pages for Level II)
3. <a href="#">Curriculum Vitae</a>	Compulsory for the PIs (Directors) Co-Is (Co-Directors) and any named researchers in the UK and US. (max. 2 pages each) (Note that the CV and List of Publications are to be uploaded as one attachment per investigator in the NEH system.)
4. <a href="#">List of Publications</a>	Compulsory for the PIs (Directors) Co-Is (Co-Directors) and any named researchers in the UK and US. (max. 1 page each) List major publications/outputs in the last five years. (Note that the CV and List of Publications are to be uploaded as one attachment per investigator in the NEH system.)

5. <a href="#">Justification of Resources</a>	Compulsory (max. 2 pages)
6. <a href="#">Workplan</a>	Compulsory (max. 2 pages)
7. <a href="#">Data Management Plan</a>	Compulsory (max. 2 pages)
8. <a href="#">Project Partner Letter of Support</a>	Compulsory (max. 2 pages per partner) – applicants need to upload letters of support from UK <b>and</b> US project partners
9. <a href="#">International Co-Head of Dept. Statement</a>	Compulsory if there is an international Co-Investigator(s) not covered under the NEH component. (max. two pages each).
10. <a href="#">NEH Budget</a> (to be submitted under attachment type ‘Non-UK Components’)	Compulsory – this document must follow guidance as set out in the NEH Call document
11. <a href="#">NEH Budget Justification</a> (to be submitted under attachment type ‘Non-UK Components’)	Compulsory – this document must follow guidance as set out in the NEH Call document
12. <a href="#">Relationship with Previous Submission</a> (attachment type ‘Other Attachment’)	Compulsory if the project has a relationship with a previous submission to AHRC (max. one page)

The corresponding NEH documents (which will be uploaded by the US team as per the instructions in the [NEH Notice of Funding Opportunity](#)) is indicated below in parentheses to assist applicants with preparing proposals. Except for the budgetary information, and notwithstanding some variations in headings (e.g. ‘Case for Support’ and ‘Narrative’), the content of these attachments should be identical on both sides.

#### List of Key Personnel (NEH: List of Key personnel)

List all project participants and their institutional affiliations, if any, on a separate page. Clearly identify the PI / Project Director (US) and any Co-Investigators / Co-Directors (US). The PI / Director is responsible for the programmatic aspects and day-to-day management of the proposed project. Project participants refer to members of the project team carrying out programmatic activities. The names on this list should match the names mentioned in the work plan section of the Case for Support. The list must also include the names and institutional affiliations of advisory board members, if applicable and named project partners who have provided letters of support. The list is used to ensure that prospective panel reviewers have no conflict of interest with the proposals that they will evaluate.



When uploading this document to Je-S, please upload it under the attachment type 'Other Attachment'.

### Case for Support (NEH: Narrative)

This is the body of your research proposal. Please see section IV B for the necessary headings.

### Curriculum Vitae (NEH: Curriculum vitae)

A summary curriculum vitae should be attached as a separate document for each Principal Investigator/Project Director and Co-Investigator/Co-Director and named postdoctoral researchers, both in the UK and US. CVs should include basic information about education, employment history, and academic responsibilities.

### List of Publications (NEH: Curriculum vitae)

A list of publications / outputs should be attached as a separate document for each Principal Investigator/Project Director and Co-Investigator/Co-Director and named postdoctoral researchers, both in the UK and US. The list should include major publications/outputs from the last five years. This list of publications / outputs should be no more than one page. Brief articles, conference papers, etc. need not be included. You should asterisk those of particular relevance to your current research proposal.

### Justification of Resources (NEH: Budget and Budget Justification)

This statement should be used to justify the resources required to undertake the project.

- Explain why the indicated resources are needed, taking account of the nature and complexity of the research proposed. Note that it is not sufficient merely to list what is required.
- Have regard for the breakdown of resources into the summary fund headings Directly Incurred, Directly Allocated and (where appropriate) Exceptions.
- Have regard for the breakdown of resources in the summary fund headings.
- In some cases, such as investigator time, use of internal facilities and shared staff costs, the basis of the costing need not be justified, but the need for the resources does need justification.
- Try to be explicit about the need for the level of investigator time sought.
- Do not justify estates and indirect costs.

Remember that staff hired on fixed-term contracts for the purposes of the project, such as post-doctoral associates or research assistants, should be employed at 100% FTE. If this is not the case, you must include a short note of justification in the Justification of Resources.

### Workplan (NEH: Work Plan)

Describe the specific tasks that will be accomplished during the project. Include a Gantt chart of important tasks and milestones and indicate the staff member responsible for each component. Identify any risks and note how they might adversely affect the overall schedule. Describe your strategies to mitigate these risks, to keep the project on budget and on schedule. If your project involves staging a workshop or conference, include a draft agenda and a list of proposed participants or specific criteria for selecting participants.

### Data Management Plan (NEH: Data Management Plan)

The Data Management Plan should outline the project's approach to managing data. Applicant teams should address the below points:

- Briefly introduce the types of data the research will create. Why did you decide to use these data types?
- How will different approaches to IP, copyright etc. in the UK and US be accounted for?
- Give details on the proposed methodologies that will be used to create the data. Advise how the project team selected will be suitable for the data/digital aspects of the work, including details of how the institution's data support teams may need to support the project.
- How will the data be stored in the short term?
- What backup will you have in the in-project period to ensure no data is lost?
- How will the data be stored in the long term?
- Where have you decided to store it, why is this appropriate?
- How long will it be stored for and why?
- Costs of storage – why are these appropriate? Costs related to long term storage will be permitted providing these are fully justified and relate to the project. Full justification must be provided in Justification of Resources (JoR).
- How will the data be shared and what value will it have for others?
- How will the data enhance the area and how it could be used in the future?
- Releasing the data – advise when you will be releasing and justify if not releasing in line with AHRC guidelines of a minimum of three years. If the data will have value to different audiences, how these groups will be informed?
- Will the data need to be updated? Include future plans for updating if this is the case.

### Project Partner Letter of Support (NEH: Letter from project partners)

Include letters of support from any US and UK project partners. A project partner is defined as an organisation that is making a significant and specific contribution (either in cash or in kind) to the project. The letter(s) should clearly identify the contribution each partner is making to the project.

The letter of support is intended provide reassurance that the appropriate authorisation has been given to the proposed contribution or commitment from the Project Partner. To provide assurance that the project partner has authorised the proposed contribution or commitment the letter **should be signed by the named contact, stating the capacity in which they are providing the sign off.** Project Partner letters of support that merely indicate that an organisation is interested in the research are not permitted. The individual named as contact for the Project Partner organisation cannot also be named as staff, for example Co-Investigator on a grant proposal. See [section III B. Eligibility Information](#) for information on Project Partners Eligibility.

A well written project partner letter of support will confirm the organisation's commitment to the proposed project by articulating the benefits of the collaboration, its relevance and potential impact. The Project Partner letter should also identify the value, relevance and possible benefits of the proposed work to the partner, the period of support, the full nature of the collaboration/support and how the partner will provide added value. Where relevant to the project, details should be provided of the projected market size, customers and sales and how the organisation will commercialise the technology beyond the project. Project Partner contributions, whether in cash or in kind, should be explained in detail in the project partner letter of support. Detail of how this support relates to the proposal as a whole should be included in the case for support.

Project Partner Letters of Support must be sent directly to the Research Organisation who should submit the letter to AHRC via Je-S at the same time as the rest of the application. **The project partner must also be listed on the application form along with their costs.**

[International Co-Investigator Head of Department Statement \(NEH: no equivalent document\)](#)

Costs for international Co-Investigators can be included in accordance with [AHRC's international Co-I policy](#) where there is a clear rationale for doing so. Where this is the case, their institution must submit a Head of Department (HoD) Statement.

This statement must include the following information:

- What the international co-investigator is bringing to the project and why they are best placed to conduct the research;
- How they will deliver the project's objectives;
- How their institution will support them during the lifetime of the project;
- Assurances that their contract will be in place for the duration of the project.

AHRC would not expect to see costs for US Investigators included on this basis because these should be covered within the NEH component. As above, for

processing purposes, US Investigators should be named in the Je-S form with no additional costs but **do not** need to provide a HoD statement.

#### NEH Budget (NEH: AHRC budget)

This should be prepared by the US lead organisation and must be uploaded in the same format. Please see the NEH Call document for further details on what they need to prepare.

When uploading this document to Je-S please upload it under the attachment type 'Non-UK Components'.

#### NEH Budget Justification (NEH: AHRC Justification of Resources)

As above. This should be prepared by the US lead organisation and must be uploaded in the same format. Please see the NEH Call document for further details on what they need to prepare.

When uploading this document to Je-S please upload it under the attachment type 'Non-UK Components'.

#### Relationship with Previous Submission (NEH: no equivalent document)

If this application has a relationship with a previous submission to any call under the AHRC 'UK-US Collaboration for Digital Scholarship in Cultural Institutions' programme – whether successful or not – please outline in detail the relationship between this application and the previous submission, as well as the ways in which the new application is different from the previous project or submission.

Please consult the [Eligibility Information](#) and the [AHRC Resubmission Policy](#) before completing this attachment.

When uploading this document to Je-S, please upload it under the attachment type 'Other Attachment'.

## VII. Funding and Eligible Costs

### A. Eligible Costs

**Include only costs of the UK applicant and UK-based partners in the relevant section of the Je-S form. There should be no US Investigator costs. Details of the US Investigator costs, and US budget should be provided as a separate attachment.**

As outlined above, funding allocated through this Call will support a broad range of research activities supporting transatlantic partnerships for digital scholarship in cultural institutions across two levels of awards. Requested costs should reflect the different scales of the two funding levels and be tailored to the overall aims of

the project and nature of the research questions being addressed. Eligible costs include, but are not limited to:

- Investigator costs: including UK-based PI and Co-I roles and any other international Co-I roles that are not based in the US (note that for Level I awards this should principally apply to time spent covering the coordination of the award and it is not expected that investigator costs will constitute the majority of the overall cost of the proposal);
- Research costs;
- Activity supporting the development of the partnership, including travel and subsistence, workshop and conference costs etc.;
- Outreach costs, such as knowledge exchange and public engagement;
- Capacity building, including research training and development activities such as the professional development of cultural institution staff.

### **B. Precarious employment**

In addition to considering the EDI (Equalities, Diversity and Inclusion) aspects of any proposed posts to be created under the award (e.g. post-doctoral associates or research assistants), UK applicants are asked to carefully consider the duration and FTE percentage of any fixed-term contracts generated with a view to avoiding, as far as possible, creating precarious working conditions. Furthermore, UKRI expects Research Organisations to support the skills and career development of researchers on UKRI grants, in line with the [Concordat to Support the Career Development of Researchers](#) and the [Technician Commitment](#).

## **VIII. Submission Dates and Times**

### **Call Timetable**

<b>Activity</b>	<b>Date</b>
Call open	15 <sup>th</sup> April 2021
Deadline for submissions	8 <sup>th</sup> July 2021
Panel meeting date (Level I and Level II)	w/c 13 <sup>th</sup> September 2021
Funding decisions to be issued	20 <sup>th</sup> December 2021
Start date of awards	1 <sup>st</sup> February 2022- 1 <sup>st</sup> April 2022

## **IX. Assessment Process and Criteria**

NEH and AHRC staff will review applications for eligibility, completeness, and fit to call after the submission deadline.

Proposals will be considered by a cross-disciplinary expert assessment panel drawing on members of AHRC's Peer Review College, NEH's reviewer database, and other experts as appropriate. The panel will assess both the Level I and Level II proposals. There will not be a separate stage of individual peer review for each

application prior to consideration by the Panel, therefore applicant teams will not receive feedback on their applications in the form of individual peer reviewers' comments.

The assessment panel will agree on grades for each proposal, agree a ranked priority list of applications and make funding recommendations to the NEH and AHRC. NEH will review the panel's final grades and ranked priority list alongside strategic priorities to make its funding decision. The funders may also take into account the overall balance of the portfolio in agreeing recommendations at this point. Only applications that are approved for funding by both NEH and AHRC will be funded.

Applicant teams will be notified of funding decisions by email in December 2021.

## **X. Scheme Requirements and Post-Award Reporting**

Award holders in the UK will be required to submit outputs, outcomes and impacts that arise from AHRC's funding through the Researchfish system. More details on Researchfish are available on the [UKRI website](#).

Applicants may be asked to share findings and case studies directly with AHRC and NEH to help design future opportunities in this programme and contribute to communications activities.

## **XI. Contact Information**

For queries about this Call such as eligible activities and costs or remit of the Call, please contact AHRC at [enquiries@ahrc.ukri.org](mailto:enquiries@ahrc.ukri.org) (available Monday to Friday, 08:30 - 16:30).

For queries on using Je-S such as creating and submitting the application form or Je-S account creation, please contact the Je-S Helpdesk at [jeshelp@je-s.ukri.org](mailto:jeshelp@je-s.ukri.org) (available Monday to Friday, 08:30 - 17:00).

## **XII. Data sharing**

All personal data provided to UK Research and Innovation in connection with this joint funding call will be processed in accordance with current UK data protection legislation. As this is a joint funding call between the UK Research and Innovation Arts and Humanities Research Council (UKRI AHRC) and the National Endowment for the Humanities (NEH), both UKRI AHRC and NEH will need to process the information provided. Further information on how we use your personal data, and how you can exercise your rights as a data subject, can be found in the UKRI

privacy notice <https://www.ukri.org/about-us/privacy-notice/> and the NEH Privacy Notice <https://www.neh.gov/privacy/neh-privacy-act-regulations>.

By choosing to submit an application you are affirming that your application can be shared with NEH. Please contact us on [fic@ahrc.ukri.org](mailto:fic@ahrc.ukri.org) if you have any concerns or require any further information.