National
Endowment
for the
Humanities

Division
of
Education
Programs

Application
Instructions
and Forms

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Division of Education Programs

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DIVISION OF EDUCATION PROGRAMS

Application Instructions and Forms

Program for Elementary and Secondary Education in the Humanities
Program for Higher Education in the Humanities
Special Opportunity in Foreign Language Education

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INTRODUCTION

The NEH Division of Education Programs supports projects to improve humanities education in the nation's schools and colleges. This document contains instructions for completing a grant application. Applicants should use these instructions in tandem with the Division of Education Programs Guidelines, a separate publication that describes the types of projects the division supports and the review process employed for judging applications.

Institutions applying for grants from the Program for Elementary and Secondary Education in the Humanities, the Program for Higher Education in the Humanities, or the Special Opportunity in Foreign Language Education must use the forms provided in this booklet.

Individual applicants to the NEH Teacher-Scholar Program for Elementary and Secondary School Teachers must use the separate forms provided in that program's guidelines booklet.

To request copies of the Division of Education Programs Guidelines or the Teacher-Scholar Program Guidelines, prospective applicants should call or write the Division of Education Programs, Room 302, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506 (202/786-0373). Questions about eligibility are addressed in Section IV, below.

I. PRELIMINARY PROPOSAL

Prior to applying, applicants are advised to call or write a division program officer to discuss the general eligibility of a proposal. The next step is to submit a brief project outline or prospectus. Once a staff member has responded to the prospectus, a full draft proposal should be prepared and submitted as far in advance of the application deadline as possible. Program officers will offer advice regarding a proposal's content, eligibility, and completeness. While this consultation is not part of the formal review process, experience has shown that proposals can benefit from preliminary staff review. The humanities teachers and scholars who will actually carry out the grant activities normally should have principal responsibility in drafting a proposal.

II. THE APPLICATION

Applications to the Division of Education Programs vary considerably in length and degree of complexity. In all cases, however, a complete application consists of six parts: a completed NEH Application Cover Sheet, a table of contents, a one-page summary of the proposed project, a detailed narrative describing the proposed project, a project budget, and appendices.

In preparing an application, follow these general directions:

- o type (double-space) the application on white 8 1/2" x 11" paper,
- o number the pages consecutively, and
- o label the appendices and clearly reference them in the narrative.

Application Cover Sheet

See the instructions for preparing the NEH Application Cover Sheet on page 8.

Table of Contents

List all sections, including appendices.

One-Page Summary

Briefly summarize the narrative (see below). This summary may be typed single-spaced.

Narrative Description of the Project

The narrative is an extended discussion of the project, its intellectual content, its activities, and its intended audience. It is the focal point of attention at every stage of the review process. The narrative should not exceed twenty pages for institutes, conferences, projects in individual institutions, and collaborative projects or twelve pages for masterwork study grants and planning grants. To be competitive, a proposal should address the items listed below:

Rationale: Explain how the project will improve the quality of humanities instruction. An intellectual rationale must be clearly articulated. The intended beneficiaries of the project should also be identified. If the impact of a project will be confined to a single institution, or to several institutions that are clearly specified, relate the intellectual purpose to the mission and curricular history of the institution(s) in question.

Institutional Context: Where relevant, describe how the project relates to the institution in which it will take place. Show how the resources of the host institution support the project, and describe any previous efforts to address the issues and objectives of the proposed undertaking. Cite relevant library, archival, and museum collections. Discuss residential facilities and any other resources that would help foster an appropriate sense of intellectual community.

If the proposal is for a renewal of a previously funded project, include a detailed evaluation of the initial project in an appendix. Explain how the second grant would augment the first by adding a new dimension or reaching a new audience.

If more than a single institution is involved, describe any collaboration that has already taken place to achieve similar goals.

FOR HIGHER EDUCATION INSTITUTIONAL PROJECTS: Summarize the institution's mission, students, and existing humanities curriculum. If the institution has received previous funding from the Endowment to undertake work related to that proposed in this application, describe that work.

FOR ELEMENTARY AND SECONDARY EDUCATION COLLABORATIVE PROJECTS: Applications for collaborative projects submitted to the Program for Elementary and Secondary Education in the Humanities should include in an appendix letters of commitment from all collaborating parties.

Content: Provide details about the texts, topics, and issues to be studied and an argument for the order in which they are to be considered. Include a work plan of activities. Specify when each activity would take place and what themes, methods, and formats would be employed to approach the materials. A day-by-day syllabus of readings should be included.

FOR HIGHER EDUCATION INSTITUTIONAL PROJECTS: Describe the existing curriculum in the "Institutional Context" section mentioned above. Any proposed curricular changes should be described here. For planning grants, present a detailed schedule for reading and discussing texts, topics, and issues related to the proposed curricular improvements. If the project's aim is to develop or improve courses, include syllabi of both the proposed courses and the courses they would replace and an account of how these courses relate to the rest of the curriculum. If faculty study activities are proposed, provide a detailed workplan including a list of the texts to be read and discussed by the faculty participants and describing the role of visiting scholars. Pertinent bibliographies, explanations of teaching approaches, and student writing requirements should also be included. If the project proposes faculty study in support of an existing curriculum, describe that curriculum and state explicitly that new courses are not being proposed.

Project Staff: Identify those who will conduct and administer the project, define their roles, and state their qualifications for undertaking the specific responsibilities assigned to them. For institutes, collaboratives, conferences, and masterwork study projects, identify visiting scholars and describe their qualifications and their role in the project.

Include resumes from the project director and all other scholars contributing to the project, along with letters of commitment from each.

FOR HIGHER EDUCATION INSTITUTIONAL PROJECTS: Resumes for each member of the institution's project staff should be limited to one page and included in an appendix. The usual full resumes may be included for visiting scholars only. Where applicable, describe the nature of the commitment and duties of advisory board members.

Evaluation, Implementation, and Dissemination: Indicate how participants and independent external evaluators will assess the project. Identify evaluators and include in an appendix letters that demonstrate their willingness to serve. Where pertinent, describe in detail how the institutional or collaborative effort would continue once project funding ends. Follow-up and dissemination activities are particularly important for elementary and secondary education projects. These activities may include workshops, in-service presentations, and curricular projects. Evaluation, implementation, and dissemination activities are not required in masterwork study projects.

Appendices

Use appendices to provide supplementary but *essential* materials, such as syllabi, schedules of activities, resumes, and letters of commitment from consultants and other contributors. Appendices should include relevant and concisely-presented information only. Each appendix should be identified clearly and listed in the Table of Contents. At appropriate places in the proposal narrative, references should be made to items included in the appendices. For higher education institutional projects, one copy of the institution's current college catalogue should be submitted.

National Endowment for the Humanities

Washington, D.C.

The following pages include:

—Instructions for Completing the Application Cover Sheet
—The Application Cover Sheet
—Field of Project Categories and Codes

Please read the instructions before completing applicable questions. Please print or type.

Purpose: The National Endowment for the Humanities uses a single cover sheet for all of its programs. This cover sheet gathers information that is necessary in one of two ways:

(1) The information is necessary for efficient consideration of the application during the review process and in the administration of the grant if an award is made.

(2) The information is *required of the Endowment* in various reports to Congress, other federal agencies, and the public. The Endowment must provide reports that involve statistical information or descriptions that can be obtained quickly from the cover sheet. Information is recorded in a computer, which stores the data for subsequent compilation and reporting.

Please read the instructions for each question carefully. Answer each question by typing or printing your reply. Please verify your answers to be certain that they are correct and complete.

You will find it helpful to complete the cover sheet last, after all other parts of the application have been prepared.

Privacy Act: The following notice is furnished in compliance with the Privacy Act of 1974:

The information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. This information is needed to process the grant application and for statistical research and analysis of trends. The routine uses which may be made of this information are: general administration of the grant review process; review and discussion by peer review advisory panels and, in some programs, evaluation by specialist reviewers, Endowment staff, and members of the National Council on the Humanities; statistical summaries; congressional oversight; and analysis of trends. Failure to provide any of the requested information will result in the delay or rejection of the application.

INSTRUCTIONS FOR COMPLETING THE APPLICATION COVER SHEET

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this form is ten hours per response. This estimate includes the time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Assistant Chairman for Operations, National Endowment for the Humanities, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0059), Washington, DC 20503.

Block 1—Individual applicant or project director

Item a. Enter the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it. (Information about an institution also is requested in Blocks 2, 11, and 12.)

Item b. In the space provided, enter the number corresponding to the project director's preferred form of address:

1-Mr.	3-Miss	5-Professor
2-Mrs.	4-Ms.	6-Dr.

Item c. Enter the project director's social security number and date of birth.

Item d. Enter the project director's full telephone number with area code and extension. Whenever possible, specify a telephone number at which a message can be left.

Item e. If possible, indicate the code for the appropriate major field from the list of Field of Project Categories and Codes on the reverse side of the Application Cover Sheet.

Block 2—Type of applicant

Check (b)

Identify Type of institution—for example, religious organization, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, etc.), educational institution (elementary/secondary, school district, two-year college, four-year college, etc.), library (public, research, etc.), center (advanced study, research, etc.).

Identify Status as either Private Nonprofit or Unit of State or Local Government. Example: Type: Historical Society. Status: Private Nonprofit.

Block 3—Type of application

Check appropriate type:

Item a. New—application for this project submitted to NEH for the first time.

Item b. Revision and Resubmission—a version of the application for this project was submitted to NEH previously but not funded.

Item c. Renewal—application for funding a new grant period for a project previously funded by NEH.

Item d. Supplement—application for additional funding to a current NEH grant.

Block 4—Program to which application is being made

In the space provided, enter either Elementary and Secondary Education, or Higher Education, or Special Opportunity in Foreign Language Education. Do not fill in the box on the right.

If the application falls under the Endowment initiative described in Section 00 of the division guidelines, indicate the number corresponding to the initiative in the space provided:

03M—Columbian Quincentenary

Block 5—Requested grant period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period. See Section VI for further information about grant periods.

Block 6—Project funding

Enter here the appropriate figures from the Project Budget. Fill in lines (a) through (e); enter "0" for blank lines.

Block 7—Field of project

See the listing on the reverse side of the cover sheet for the category and code of the *specific* humanities field that best describes the content of the project.

Block 8—Descriptive title of project

Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. NEH is obliged to be as clear as possible to the public about awards that it makes. The descriptive title will be used for this purpose whenever possible, but the Endowment staff may assign a different working title to the project.

Block 9—Description of project

Provide a brief description of the proposed project. Do not exceed the space provided.

Block 10—Will this proposal be submitted to another government agency or private entity for funding?

This information is sought without prejudice to the application. NEH frequently cosponsors projects with other funding sources. If not applicable, indicate "N/A."

Block 11—Institutional data

Item a. Indicate the name of the institution and the city and state of its official mailing address.

Item b. Enter the institution's employer identification number.

Item c. Indicate the name and title of the person who is authorized to submit the application on behalf of the institution or organization and to provide the certifications required in Block 12.

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and the telephone number of the person who will be responsible for the financial administration of the grant if the award is made. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item c), but the actual administration of the project—such as, negotiating the project budget, ensuring compliance with the terms and conditions of the award—is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12—Certification

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Applicants requesting more than $100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Institutional applicants are required to certify that they will comply with the nondiscrimination statutes and their implementing regulations. Because most of these certifications impose new responsibilities on successful applicants, the certifications and accompanying instructions that are found in the appendix of this brochure should be read before the application cover sheet is signed.

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NEH APPLICATION COVER SHEET

1. Individual applicant or project director

a. Name and mailing address

Name ______________________________
(last) (first) (initial)

Address ______________________________

____
(city) (state) (zip code)

b. Form of address: ☐

c. Social Security # ______________ Date of birth ______________ (mo. day yr.)

d. Telephone number
Office: ____/______ (area code) Home: ____/______ (area code)

e. Major field of applicant or project director ______________ ☐ (code)

f. Citizenship ☐ U.S.
☐ Other ______________ (specify)

2. Type of applicant

a. ☐ by an individual **b.** ☐ through an org./institution

If a, indicate an institutional affiliation, if applicable, on line 11a.
If b, complete block 11 below and indicate here:

c. Type

d. Status

3. Type of application

a. ☐ new **c.** ☐ renewal
b. ☐ revision and resubmission **d.** ☐ supplement

If either **c** or **d**, indicate previous grant number:

____

4. Program to which application is being made ☐

____

Endowment Initiatives: ______ (code)

5. Requested grant period

From: ______________ (month year) To: ______________ (month/year)

6. Project funding

a. Outright funds $ ______________
b. Federal match $ ______________
c. Total from NEH $ ______________
d. Cost sharing $ ______________
e. Total project costs $ ______________

7. Field of project ☐

8. Descriptive title of project

9. Description of project (do not exceed space provided)

10. Will this proposal be submitted to another government agency or private entity for funding?
(if yes, indicate where and when):

11. Institutional data

a. Institution or organization:

____
(name)

____
(city) (state)

b. Employer identification number ______________

c. Name of authorizing official:

____
(last) (first) (initial)

____
(title)

d. Name and mailing address of institutional grant administrator:

____
(last) (first) (initial)

____

____

____
(city) (state) (zip code)

Telephone: ____/______ (area code) Form of address ☐

12. Certification

By signing and submitting this application, the individual applicant or the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities, as set forth in the appendix to these application guidelines.

______________________________ ______________________________
(signature) (date)

Note: Federal law provides criminal penalties of up to $10,000 or imprisonment of up to five years, or both, for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001.

For NEH use only
Date received
Application #
Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 1e and 7 of the NEH Applications Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and is not meant to define the disciplines of the humanities. For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.

Anthropology L1

Archaeology U6

Archival Management/Conservation I1

Arts, History and Criticism MA

Architecture: History & Criticism U3
Art: History and Criticism M1
Dance: History & Criticism M3
Film: History & Criticism M4
Music: History & Criticism M5
Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1
Journalism P4
Media P3

Education H1

Ethnic Studies K1

Asian American K5
Black/Afro-American K4
Hispanic American K3
Jewish K6
Native American K2

History A1

African A2
American A3
Ancient AC
British A4
Classical A5
European A6
Far Eastern A7
Latin American A8
Near Eastern A9
Russian AA
South Asian AB

Humanities U8

Interdisciplinary U1

African Studies GI
American Studies G3
Area Studies GH
Asian Studies G5
Classics G7
Folklore/Folklife R1
History/Philosophy of Science, Technology or Medicine GA
International Studies GG
Labor Studies G4
Latin American Studies GJ
Medieval Studies G8
Regional Studies GF
Renaissance Studies G9
Rural Studies GC
Urban Studies G2
Western Civilization GB
Women's Studies G1

Languages C1

Ancient CC
Asian CA
Classical C2
Comparative C9
English CE
French C3
German C4
Italian C5
Latin American C6
Near Eastern CB
Slavic C7
Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK
American DE
Ancient DC
Asian DA
British DD
Classical D2
Comparative D9
French D3
German D4
Latin American D6
Literary Criticism DI
Near Eastern DB
Slavic D7
Spanish D8

Museum Studies/Historic Preservation I2

Philosophy B1

Aesthetics B2
Epistemology B3
Ethics B4
History of Philosophy B5
Logic B6
Metaphysics B7
Non-Western Philosophy B8

Religion E1

Comparative Religion E5
History of Religion E2
Non-Western Religion E4
Philosophy of Religion E3

Social Science U2

American Government F2
Economics N1
Geography U7
International Relations F3
Political Science F1
Psychology U5
Public Administration F4
Sociology S1

BUDGET INSTRUCTIONS

The project budget must appear on the NEH Budget Form and must be prepared in accordance with the budget instructions. Before completing the Budget Form, review the information in Section VI that pertains to the types of funds available, cost-sharing expectations, grant period definition, grantee responsibilities, and eligible gifts and donors. If you have questions after reading the Division of Education Programs Guidelines or the budget instructions, please contact a division program officer for advice. The division staff will provide advice on preliminary budgets submitted with proposal drafts.

Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. All project activities must take place during the requested grant period. For grant periods of longer than eighteen months, separate budgets for each twelve-month period of the project must be submitted.

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions. (See the section on cost sharing, p. 00.)

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken that expenses included in the organization's indirect cost pool (see Indirect Costs) are not charged to the project as direct costs.

Salaries and Wages

FOR HIGHER EDUCATION INSTITUTIONAL PROJECTS AND ELEMENTARY AND SECONDARY EDUCATION COLLABORATIVES: Only project personnel employed by the applicant institution should be included in this budget category. List consultants and participants not employed by the applicant institution in sections 3 and 7, respectively. When faculty members participate in study and joint planning activities, the expense for their released time may be charged to the project. Released time for project participants would ordinarily not exceed one course per academic year, and usually would include a significant portion of cost sharing. The Division does not support replacement teachers or compensate faculty members for performing their regular duties. For faculty involved in organized study and joint course planning during the summer, uniform stipends should be provided of no more than $500 per week. List these stipends here. Fringe benefits may or may not be calculated for summer stipends according to institutional practice. Faculty participants in summer projects are expected to devote themselves fully to the project during the time for which they are being compensated. Salaries for administrative staff may be calculated as a percentage of their salary.

Project directors may receive compensation both during the academic year and during the summer. When a project director needs released time during the academic year to carry out project activities, this expense may be charged to the project but usually would not exceed one course per quarter or semester. Most institutions share a significant portion of released time costs. For activities that take place outside the academic year, compensation for project directors is usually based on a percentage of salary. For one summer month of full-time activity devoted to their projects, directors who are paid on a nine-month basis may receive 11.1 percent of their academic year salaries; for two months of full-time activity, 22.2 percent. Two codirectors would each receive 60 percent of these amounts. Justification should be provided in the budget narrative for an unusually long or complex project that requires additional compensation.

FOR INSTITUTES: Directors of national and regional institutes for teachers and administrators and directors of institutes for college and university faculty receive compensation for the time they spend preparing for an institute and selecting the participants, directing the institute during the summer, and performing specified follow-up activities. For a six-week institute, plus a month of planning and follow-up activities, compensation would normally be 27.8 percent of salary. For a five-week institute, plus a month of planning and follow-up activities, compensation would normally be 25 percent of salary. For a four-week institute, plus a month of planning and follow-up activities, compensation would normally be 22.2 percent of salary. Compensation may be greater if projects require extensive follow-up activities or smaller if much of the work will be carried out by an administrative assistant or project coordinator. Two codirectors each receive 60 percent of the amount that would be required if the project had only one director.

FOR MASTERWORK STUDY PROJECTS: Compensation for the director of a masterwork study project would normally be 11.1 percent of salary.

Fringe Benefits

Fringe benefits should be calculated only for those individuals listed under Salaries and Wages. For higher education institutional projects, fringe benefits may or may not be calculated for summer stipends according to institutional practice.

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

Consultant Fees

List those individuals who would contribute to the project as visiting lecturers, directors of faculty study sessions, and external evaluators. The honoraria for visiting faculty and other consultants average $250 to $350 per day, not including travel and subsistence costs. Travel and subsistence costs should be entered in budget section 4.

Travel

Travel and subsistence costs for project staff, consultants, and participants should be entered in this section. Travel and subsistence expenses should be calculated in conformity with institutional policy. (Room and board for project participants should be entered in budget section 7.) Less-than-first-class accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Project directors for all projects except institutes for college and university faculty will attend planning meetings at the Endowment's offices in Washington, D.C. Directors of multiyear elementary and secondary projects should budget for a one-day meeting in December for the first year of the requested grant period. Directors of higher education institutional projects should budget for a two-day meeting for each year of the requested grant period.

Supplies and Materials

Include such items as stationery supplies, blank computer diskettes, books, films, videotapes, and educational software. All must be essential to the project. See the section below on inadmissible budget items.

Services

Equipment may be purchased only if rental costs exceed purchase price. If rental of equipment is proposed, enter it in this section of the budget form. Large or expensive equipment rentals and purchases must be justified in the budget narrative. (See "Other Costs" below for a treatment of equipment purchases.)

Other Costs

Stipends for project participants not employed by the applicant institution and not serving as consultants (see budget sections 1 and 3, respectively) should be listed here. Normally, both elementary and secondary education and higher education institutes and elementary and secondary education collaborative projects provide participants with books, travel, an allowance to be paid to the participant for room and board, and a stipend of $250 per week. The host institution should provide project participants arrangements and privileges appropriate to their status as visiting scholar/teachers. In the case of institutes, the host institution is required to provide an option of off-campus housing and meals. All costs for project participants other than travel should be itemized here. Travel costs should be entered in budget section 4.

When an applicant proposes to charge the purchase of permanent equipment to a project, this expense should be included under "Other Costs." However, the applicant must demonstrate in the budget narrative that the purchase of permanent equipment is absolutely necessary to carry out the project and will be less expensive than rental. Permanent equipment is defined as an item costing more than $500 with an estimated useful life of more than two years.

FOR MASTERWORK STUDY PROJECTS: The stipend for masterwork study grant participants should be calculated on the basis of $50 per full day.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project, excluding participant stipends). Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may choose one of the following options:

1. The Endowment will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (e.g., capital expenditures, participant stipends, major subcontracts), up to a maximum charge of $5,000 for the entire grant period. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.)

2. If your organization wishes to use a rate higher than 10 percent or claim more than $5,000 in indirect costs, an estimate of the indirect cost rate and the charges should be provided on the budget form. If your application is approved for funding, you will be instructed to contact the NEH Office of the Inspector General to negotiate an indirect cost rate.

Budget Narrative

Include with the project budget a brief narrative to explain aspects of the budget that you feel may not be clear to the reviewer, e.g., where there was not enough room to provide sufficient detail or cost analysis. Clarification of salary items may be useful here. If released time from teaching duties is proposed, indicate clearly how it will be used.

Inadmissible Budget Items

The division does not ordinarily fund or accept as cost sharing (see Section VI) the following budget items: (a) travel associated with independent scholarly research; (b) the purchase of equipment, including computer hardware and noneducational software, such as word processing, statistical packages, computer languages, data base management, spreadsheet programs, graphics, etc.; (c) the development of education technologies or materials that are primarily pedagogical; or (d) costs related to social events.

Tuition fees are unallowable and may not appear in project budgets. Credit may be awarded to participants seeking it, however, at the discretion of the applicant institution. If any filing fee or tuition must be charged, it should be charged directly to those participants wishing to receive credit and should be fixed at the lowest possible rate. Such fees should not be deducted from the participants' stipends.

SAMPLE BUDGET COMPUTATIONS
Sample I (Institute)

		NEH funds	Cost Sharing	Total
1. Salaries and Wages				
Jane Doe/Project Director	22.2% @ $50,000/ academic yr.	$ 5,550	$ 5,550	$ 11,100
Ted Chang/Assistant	10% @ $27,000/ academic yr.	$ 1,350	$ 1,350	$ 2,700
Secretarial Support	3 mo. x 100% @ $14,000/yr.	$ 3,500		$ 3,500
2. Fringe Benefits				
11% of $13,800		$ 941	$ 577	$ 1,518
8% of $ 3,500		$ 280		$ 280
3. Consultant Fees				
Professor Diaz	3 $250	$ 750		$ 750
Professor Jones	5 $250	$ 1,250		$ 1,250
Professor Smith	3 $250	$ 750		$ 750
4. Travel				
City/City	[1] [3] $ 150 $730	$ 1,180		$ 1,180
City/City	[1] [5] $ 150 $425	$ 1,175		$ 1,175
City/City	[1] [3] $ 150 $300	$ 750		$ 750
City/Washington, D.C.	[1] [2] $ 150 $250	$ 550		$ 550
Participants/City	[25] [2] $10,000	$ 10,000		$ 10,000
5. Supplies and Materials				
Books	25 sets at $35 per	$ 875		$ 875
6. Services				
Long Distance Telephone	est. 40 tolls @ $3.00	$ 120		$ 120
Photocopying	est. 2,500 copies @ $.10	$ 250		$ 250
Printing	5,000 @ $.40	$ 2,000		$ 2,000
Postage	400 pieces at $.25	$ 100		$ 100
7. Other Costs				
Participant Stipends	25 x $250 x 4 wks.	$ 25,000		$ 25,000
Participants' Room & Board	25 x $300 x 4 wks.	$ 30,000		$ 30,000
8. TOTAL DIRECT COSTS		$ 86,371	$ 7,477	$ 93,848
9. Indirect Costs	38% of $ 68,848	$ 12,038	$ 14,124	$ 26,162
10. TOTAL PROJECT COSTS (Direct and Indirect)		$ 98,409	$ 21,601	$120,010

SAMPLE BUDGET COMPUTATIONS
Sample II (Institutional Project)

		NEH funds	Cost Sharing	Total
1. Salaries and Wages				
James Day/Project Director	25% (2-course release) @ $45,000/academic yr.	$ 5,625	$ 5,625	$ 11,250
James Day	1 summer mo. at 11.1%	$ 2,498	$ 2,497	$ 4,995
Summer Faculty Stipends	10 x $500 x 4 wks.	$ 20,000		$ 20,000
Faculty Released Time	5 x an avg. of $5,000 per course	$ 10,000	$ 15,000	$ 25,000
Secretarial Support	25% of $16,000/yr.	$ 4,000		$ 4,000
2. Fringe Benefits				
11% of $41,245		$ 2,269	$ 2,268	$ 4,537
8% of $ 4,000		$ 320		$ 320
3. Consultant Fees				
Professor Jones	3 $250	$ 750		$ 750
Professor Novak	4 $350	$ 1,400		$ 1,400
Professor Diaz	3 $300	$ 900		$ 90
Professor Cohen	4 $250	$ 1,000		$ 1,000
4. Travel				
City/City	[1] [3] $ 300 $350	$ 650		$ 650
City/City	[1] [4] $ 400 $300	$ 700		$ 700
City/City	[1] [3] $ 300 $730	$ 1,030		$ 1,030
City/City	[1] [4] $ 400 $210	$ 610		$ 610
City/Washington, D.C.	[1] [2] $ 200 $250	$ 450		$ 450
5. Supplies and Materials				
Books	10 sets at $35 per	$ 350		$ 350
Stationery		$ 100		$ 100
6. Services				
Photocopying	est. 2,500 copies @ $.10	$ 250		$ 250
7. Other Costs				
8. TOTAL DIRECT COSTS		$ 52,902	$ 25,390	$ 78,292
9. Indirect Costs				
20% of $ 78,292		$ 12,863	$ 2,795	$ 15,658
10. TOTAL PROJECT COSTS (Direct and Indirect)		$ 65,765	$ 28,185	$ 93,950

SAMPLE BUDGET COMPUTATIONS
Sample III (Masterwork Study Project)

		NEH funds	Cost Sharing	Total
1. Salaries and Wages				
Dale Fox/Project Director	11.1% @ $27,000/ academic yr.	$ 2,997		$ 2,997
Secretarial Support	10% @ $14,000/yr.	$ 1,400		$ 1,400
2. Fringe Benefits				
11% of $ 4,397		$ 484		$ 484
8% of $ 1,400		$ 112		$ 112
3. Consultant Fees				
Specialist on Homer	5 sessions @ $250 per	$ 1,250		$ 1,250
Specialist on Aristophanes	5 sessions @ $250 per	$ 1,250		$ 1,250
4. Travel				
Within City	[2] [10] $ 400 $ 200	$ 600		$ 600
5. Supplies and Materials				
Books	12 sets at $35 per	$ 420		$ 420
6. Services				
-				
7. Other Costs				
Stipends to Participating Teachers	12 x $25 x 15 days	$ 4,500		$ 4,500
8. TOTAL DIRECT COSTS		$ 13,013		$ 13,013
9. Indirect Costs				
10% of $ 8,513		$ 851		$ 851
10. TOTAL PROJECT COSTS (Direct and Indirect)		$ 13,864		$ 13,864

OMB No. 3136-0059
Expires: 6/30/92

National Endowment for the Humanities

BUDGET FORM

Project Director	If this is a revised budget, indicate the NEH application/grant number:
Applicant Organization	Requested Grant Period From ________ to ________ mo/yr mo/yr

The three-column budget has been developed for the convenience of those applicants who wish to identify the project costs that will be charged to NEH funds and those that will be cost shared. FOR NEH PURPOSES, THE ONLY COLUMN THAT NEEDS TO BE COMPLETED IS COLUMN C. The method of cost computation should clearly indicate how the total charge for each budget item was determined. If more space is needed for any budget category, please follow the budget format on a separate sheet of paper.

When the requested grant period is eighteen months or longer, separate budgets for each twelve-month period of the project must be developed on duplicated copies of the budget form.

SECTION A — budget detail for the period from ________ to ________
mo/yr mo/yr

1. Salaries and Wages

Provide the names and titles of principal project personnel. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary charge for work done outside the academic year.

name/title of position	no.	method of cost computation (see sample)	**NEH Funds** (a)	**Cost Sharing** (b)	**Total** (c)
	[ ]		$	$	$
	[ ]				
	[ ]				
	[ ]				
	[ ]				
	[ ]				
	[ ]				
	[ ]				
		SUBTOTAL	$	$	$

2. Fringe Benefits

If more than one rate is used, list each rate and salary base.

rate		salary base	(a)	(b)	(c)
%	of	$	$	$	$
%	of	$			
		SUBTOTAL	$	$	$

3. Consultant Fees

Include payments for professional and technical consultants and honoraria.

name or type of consultant	no. of days on project	daily rate of compensation	(a)	(b)	(c)
		$	$	$	$
		$			
		$			
		$			
		$			
		SUBTOTAL	$	$	$

4. Travel

For each trip, indicate the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip. When a project will involve the travel of a number of people to a conference, institute, etc., these costs may be summarized on one line by indicating the point of origin as "various." All foreign travel must be listed separately.

from/to	no. of persons	total travel days	subsistence costs +	transportation costs =	**NEH Funds** (a)	**Cost Sharing** (b)	**Total** (c)
	[ ]	[ ]	$	$	$	$	$
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
				SUBTOTAL	$	$	$

5. Supplies and Materials

Include consumable supplies, materials to be used in the project, and items of expendable equipment; i.e., equipment items costing less than $500 or with an estimated useful life of less than two years.

item	basis/method of cost computation	(a)	(b)	(c)
		$	$	$
	SUBTOTAL	$	$	$

6. Services

Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool. For subcontracts over $10,000, provide an itemization of subcontract costs on this form or on an attachment.

item	basis/method of cost computation	(a)	(b)	(c)
		$	$	$
	SUBTOTAL	$	$	$

7. Other Costs

Include participant stipends and room and board, equipment purchases, and other items not previously listed. Please note that "miscellaneous" and "contingency" are not acceptable budget categories. Refer to the budget instructions for the restriction on the purchase of permanent equipment.

item	basis/method of cost computation	**NEH Funds** (a)	**Cost Sharing** (b)	**Total** (c)
		$	$	$
	SUBTOTAL	$	$	$

8. Total Direct Costs (add subtotals of items 1 through 7) $____ $____ $____

9. Indirect Costs [This budget item applies only to institutional applicants.]

If indirect costs are to be charged to this project, check the appropriate box below and provide the information requested. Refer to the budget instructions for explanations of these options.

- ☐ Current indirect cost rate(s) has/have been negotiated with a federal agency. (Complete items A and B.)
- ☐ Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)
- ☐ Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)
- ☐ Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of $5,000. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or $5,000, whichever sum is less.)

A. __________________ __________________

name of federal agency date of agreement

B.

rate(s)		base(s)	**NEH Funds** (a)	**Cost Sharing** (b)	**Total** (c)
%	of	$	$	$	$
%	of	$			
		TOTAL INDIRECT COSTS	$	$	$

10. Total Project Costs (direct and indirect) for Budget Period $____ $____ $____

SECTION B — Summary Budget and Project Funding

SUMMARY BUDGET

Transfer from section A the total costs (column c) for each category of project expense. When the proposed grant period is eighteen months or longer, project expenses for each twelve-month period are to be listed separately and totaled in the last column of the summary budget. For projects that will run less than eighteen months, only the last column of the summary budget should be completed.

Budget Categories	First Year/ from: to:	Second Year/ from: to:	Third Year/ from: to:		TOTAL COSTS FOR ENTIRE GRANT PERIOD
1. Salaries and Wages	$______	$______	$______	=	$______
2. Fringe Benefits	______	______	______	=	______
3. Consultant Fees	______	______	______	=	______
4. Travel	______	______	______	=	______
5. Supplies and Materials	______	______	______	=	______
6. Services	______	______	______	=	______
7. Other Costs	______	______	______	=	______
8. **Total Direct Costs (items 1-7)**	$______	$______	$______	=	$______
9. Indirect Costs	$______	$______	$______	=	$______
10. **Total Project Costs (Direct & Indirect)**	$______	$______	$______	=	$______

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

Requested from NEH:[1]		Cost Sharing:[2]	
Outright	$______	Cash Contributions	$______
Federal Matching	$______	In-Kind Contributions	$______
		Project Income	$______
TOTAL NEH FUNDING	$______	TOTAL COST SHARING	$______

Total Project Funding (NEH Funds + Cost Sharing)[3] = $______

[1]Indicate the amount of outright and/or federal matching funds that is requested from the Endowment.

[2]Indicate the amount of cash contributions that will be made by the applicant or third parties to support project expenses that appear in the budget. Include in this amount third-party cash gifts that will be raised to release federal matching funds. (Consult the program guidelines for information on cost-sharing requirements.)

Occasionally, in-kind (noncash) contributions from third parties are included in a project budget as cost sharing; e.g., the value of services or equipment that is donated to the project free of charge. If this is the case, the total value of in-kind contributions should be indicated.

When a project will generate income that will be used during the grant period to support expenses listed in the budget, indicate the amount of income that will be expended on budgeted project activities.

[3]Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator

Complete the information requested below when a revised budget is submitted. Block 11 of the application cover sheet instructions contains a description of the functions of the institutional grant administrator. The signature of this person indicates approval of the budget submission and the agreement of the organization to cost share project expenses at the level indicated under "Project Funding."

______________________ Telephone (   ) ______
Name and Title (please type or print) area code

______________________ Date ______
Signature

NEH Application/Grant Number: ______

CHECKLIST FOR A COMPLETE APPLICATION PACKAGE

The application package sent to the division should contain twelve copies of the application itself and, placed on top of those twelve copies, the following separate documents:

__The completed gray NEH Application Cover Sheet with an original signature of the institution's authorizing official

__Four photocopies of the completed Application Cover Sheet

__The original completed NEH Budget Form

__One copy of a current catalogue (institutions applying for Higher Education institutional grants only)

Each of the twelve copies of the application itself, placed underneath the separate documents in the application package, should be organized in the following way:

Twelve copies of the application should be assembled in this order:

__NEH Application Cover Sheet (photocopy of the signed original)

__Table of contents

__One-Page summary of the project (may be single-spaced)

__Narrative description of the project (double-spaced)

__Project budget (photocopy of the original NEH Budget Form and the budget narrative)

__Appendices:

__ Reading lists or syllabi, if any

__ Workplans or schedules

__ Resumes for all project personnel

__ Documentation of the commitment of key project personnel, including those not affiliated with the applicant institution (for example, visiting lecturers or outside consultants)

III. APPLICATION DEADLINES

Program	Application Deadline*	For Projects Beginning
Elementary and Secondary Education in the Humanities	December 15 March 15	July October** December
NEH Teacher-Scholar Program	May 1	September of the next calendar year
Higher Education in the Humanities	October 1 April 1	April October
Special Opportunity in Foreign Language Education	March 15	October

*All application deadlines are **receipt** deadlines.

**National and regional institutes only.

IV. ELIGIBILITY

Any U.S. or domestic, nonprofit organization or institution with a commitment to the improvement of humanities education may apply to the Division of Education Programs. The division accepts applications from schools, school systems, two- and four-year colleges, universities, college and university systems, libraries, museums, educational associations, professional organizations, research centers, units of state and local governments, and educational and cultural consortia. When two or more institutions or organizations collaborate on an application, one of them ordinarily serves as the prospective grantee and administers the project on behalf of all the participating units.

The Endowment does not support the preparation of textbooks or other materials for commercial purposes. Projects may use a new technology such as computer-aided instruction if it is the best means of achieving the substantive goal, and if it is not intended to replace individual instruction by faculty members. Proposals focusing primarily on the development of educational technology or pedagogical methods ordinarily are not eligible for consideration. The Endowment normally does not fund projects that are intended to improve writing, speaking, or thinking skills apart from a focus on humanities content. Finally, the Endowment does not ordinarily support equipment costs.

Individuals may apply to the NEH Teacher-Scholar Program for Elementary and Secondary School Teachers. The Teacher-Scholar Program Guidelines are published separately and are available on request from the Endowment.

V. EVALUATION CRITERIA

Endowment reviewers evaluate proposals by answering the following general questions:

1. Is the project rooted in texts and topics of central importance to the humanities, and is it likely to result in better humanities instruction?

2. Is the intellectual rationale for the proposed project clear and persuasive?

3. Does the proposal include academically rigorous syllabi or reading lists?

4. Is the schedule of activities well planned and feasible?

5. Are project personnel well qualified to carry out their proposed duties?

6. Do letters from visiting scholars, consultants, or prospective participants demonstrate sufficient interest and commitment?

7. Are the plans for project administration sound? Is the budget reasonable?

8. Is the level of institutional cost sharing adequate?

9. Where appropriate, does the institution possess the resources and commitment to maintain the program once it is in place?

10. Are plans for project evaluation reasonable?

11. Where appropriate, are follow-up activities likely to improve teaching and learning in the humanities?

VI. TYPES OF GRANT SUPPORT

The Endowment provides three types of funding: federal matching funds, outright funds, and a combination of the two.

Matching Funds

The Endowment is authorized to match gifts made to NEH or gifts that are given directly to an applicant and that will be used to support budgeted project activities during the grant period. Applicants are encouraged to identify in the proposal narrative potential sources of gift funds at the time they make an application to the Endowment.

Endowment matching funds are awarded on an up to one-for-one basis. The purpose of matching funds is to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts. Because matching funds enable NEH to provide support to a wider range of significant but often costly projects, institutional applicants are encouraged to consider requesting complete or partial funding in the form of a matching grant. Applicants who apply for matching funds support should refer to page 27 for information on eligible gifts and donors.

Outright Funds

An outright grant is one in which the award of Endowment funds is not contingent on the applicant's raising gifts for the project.

Combined Funds

Applicants also may request a combination of outright and matching funds from the Endowment. For example, if a project will cost $85,000 and $20,000 in gifts will be raised from eligible third parties, the applicant should request $20,000 in matching funds from the Endowment. Support for the balance of project expenditures ($45,000) may be requested in outright funds.

It should be noted that, under certain circumstances, the Endowment may offer total or partial matching support to an applicant requesting only outright support.

Cost Sharing

All applicants are encouraged to participate in the support of project expenses. Cost sharing consists of the cash contributions made to the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Normally, the Endowment's contribution to projects funded by the Division of Education Programs will not exceed 85 percent of total project costs. For higher education institutional projects the Endowment's contribution will not normally exceed 70 percent of total project costs. Cost sharing is not required in masterwork study projects or planning grants.

Grant Period

The grant period encompasses the entire period for which Endowment funding is requested in the current application. All project activities and the expenditure of project funds, that is, grant funds and cost-sharing contributions, must occur during the grant period.

In determining the beginning date of a proposed grant period, applicants should refer to the schedule of application deadline dates and project beginning dates on page 24 of this booklet. The maximum period for which funding may be requested in an application is 36 months.

Grantee Responsibilities

If funding is approved by the Endowment, the applicant organization will be responsible for insuring that the grant is administered in accord with the following provisions.

- The grantee must have a financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost-sharing contributions and that monitors the expenditure of these funds against the approved budget.
- All commitments and obligations of grant funds and cost-sharing contributions are to occur during the grant period.
- Project activities are to be carried out in accordance with the schedule provided in the approved application.
- Changes in the scope and objectives of the project may not be made without prior Endowment approval.
- The replacement of the project director, the codirector, or other professional staff members who are specifically named in an award notice requires prior Endowment approval.
- Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.
- All procurement transactions are to be conducted in a manner that provides, to the maximum extent practical, open and free competition; for purchases in excess of $10,000, any use of sole-source contracts must be fully justified and documented.
- Unless otherwise notified in writing, grantees must acknowledge Endowment support in all materials resulting from grant activities.
- If a grantee earns income from grant activities or products that result from grant activities, the Endowment reserves the right to recover a portion of the program income.

Eligible Gifts and Donors

Only gifts of money, including the net proceeds from the sale of noncash gifts, that will be used to support budgeted project activities during the grant period are eligible to be matched with federal matching funds. The source, date of transfer, and amount of the gift or net proceeds from the sale of a noncash gift must be documented in the applicant's records.

Both restricted gifts (gifts that are given specifically in support of a project) and unrestricted gifts (gifts that may be used at the recipient's discretion) are eligible to be matched if the donors give the gifts directly to the applicant.

If a gift of money is given to an individual or organization associated with the project rather than directly to the applicant, that gift normally will not be deemed eligible to release federal matching funds. The only exception is if the donor has given the gift specifically in support of the project and control over the expenditure of these funds is transferred immediately to the applicant.

Applicants should note that the following items are not eligible to be matched with federal funds: federally appropriated funds, deferred and noncash gifts, income earned from gifts after they are transferred to the applicant, and income received from any fees for participation in project activities.

Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and who will receive some sort of remuneration from project funds. To avoid any possibility of conflict of interest, a gift should not be used to release federal matching funds when there is the appearance that the donor might benefit in any way by giving a gift to a particular project.

Appendix

Instructions for the Certifications

General Requirements

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Applicants requesting more than $100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Institutional applicants are required to certify that they will comply with the nondiscrimination statutes.

By signing and submitting a proposal the individual applicant or the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to certify regarding the nondiscrimination statutes, a drug-free workplace, or lobbying, that person is not eligible to apply for funding from the Endowment. When an applicant is unable to certify regarding federal debt status or debarment and suspension, an explanation must be attached to the proposal. The explanation of why the certification cannot be submitted will be considered in connection with the Endowment's funding determination. Failure to furnish a certification or an explanation shall disqualify the applicant from receiving an award from the Endowment.

The certifications are material representations of fact upon which reliance will be placed when the Endowment determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, in addition to other remedies available to the federal government, the Endowment may seek judicial enforcement of the certification (nondiscrimination statutes); may terminate the award for cause or default (federal debt status and debarment and suspension); and may suspend payment, suspend or terminate the grant, or suspend or debar the grantee (drug-free workplace). Any person who fails to file a required certification regarding lobbying or submits an erroneous certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

The applicant shall provide immediate written notice to the director of the NEH Grants Office if at any time the applicant learns that its certifications were erroneous when submitted or have become erroneous by reason of changed circumstances.

Nondiscrimination Statutes

The certification regarding the nondiscrimination statutes shall obligate the applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with Endowment assistance, this certification shall obligate the applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with Endowment support, this certification shall obligate the applicant or any transferee for as long as the property or structure is used for the grant or similar purposes. This certification is binding on the applicant, its successors, transferees, and assignees, and on the authorizing official whose signature appears on the application cover sheet for this proposal.

Grantees are also required to evaluate their policies and practices toward the handicapped and grantee organizations that employ fifteen or more persons must keep on file a list of the interested persons that were consulted and a description of the areas that were examined, the problems that were identified, and any modifications or remedial steps that were undertaken.

Federal Debt Status

If an applicant is unable to certify regarding federal debt status, an explanation must be submitted with the proposal.

Definitions of terms used in the federal debt status certification:

Delinquent: Represents the failure to pay an obligation or debt by the date specified in the agency's initial written notification or applicable contractual agreement, unless other satisfactory payment arrangements have been made by that date, or if at any time thereafter, the debtor fails to satisfy the obligation under a payment agreement with the agency.

Federal Debt: The amount of money or property that has been determined by an appropriate agency official to be owed to the United States by any person, organization, or entity. Examples of debts include delinquent taxes, audit disallowances, guaranteed and direct student loans, housing loans, farm loans, business loans, Department of Education institutional loans, benefit overpayments, and other miscellaneous administrative debts.

Debarment and Suspension

The applicant agrees by submitting this proposal that should the proposal be funded by the Endowment, it shall not knowingly enter into any project-related transactions (as defined under "lower tier covered transactions") with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Endowment.

The applicant further agrees by submitting this proposal to include without modification the following clause in all lower tier covered transactions and in all solicitations for lower tier covered transactions:

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

A grantee may rely on the certification of a prospective subrecipient that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A grantee may decide the method and frequency by which it determines the eligibility of its "principals."

Except when specifically authorized by the Endowment, if a grantee knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to the remedies available to the federal government, the Endowment may terminate this transaction for cause or default.

Definitions of terms used in the debarment and suspension certification:

Covered Transaction: A covered transaction is either a primary covered transaction or a lower tier covered transaction.

Debarment: An action taken by a debarring official in accordance with 45 CFR Part 1169 to exclude a person from participating in covered transactions. A person so excluded is "debarred."

Ineligible: Excluded from participation in federal nonprocurement programs pursuant to a determination of ineligibility under statutory, executive order, or regulatory authority, other than Executive Order 12549.

Lower Tier Covered Transaction: (a) Any transaction between a participant and a person other than a procurement contract for goods or services, regardless of type, under a primary covered transaction. (b) Any procurement contract for goods or services between a participant and a person, regardless of type, expected to equal or exceed the federal procurement small purchase threshold fixed at 10 U.S.C. 2304(g) and 41 U.S.C. 253(g) [currently $25,000] under a primary covered transaction. (c) Any procurement contract for goods or services between a participant and a person under a covered transaction, regardless of amount, under which that person will have a critical influence on or substantive control over that covered transaction. Such persons are project directors, principal investigators, and providers of federally-required audit services.

Participant: Any person who submits a proposal for, enters into, or reasonably may be expected to enter into a covered transaction. This term also includes any person who acts on behalf of or is authorized to commit a participant in a covered transaction as an agent or representative of another participant.

Person: Any individual, corporation, partnership, association, unit of government or legal entity, however organized, except foreign governments or foreign governmental entities, public international organizations, foreign government owned or controlled entities.

Primary Covered Transaction: This is normally any nonprocurement transaction between an agency and a person, regardless of type, including grants, cooperative agreements, scholarships, fellowships, contracts of assistance, loans, loan guarantees, subsidies, insurance, payments for specified use, donation agreements, and any other nonprocurement transactions between a federal agency and a person.

Principal: Officer, director, owner, partner, key employee, or other person within a participant with primary management or supervisory responsibilities; or a person who has critical influence on or substantive control over a covered transaction, whether or not employed by the participant.

Suspension: An action taken by a suspending official in accordance with these regulations that immediately excludes a person from participating in covered transactions for a temporary period, pending completion of an investigation and such legal, debarment, or Program Fraud Civil Remedies Act proceedings as may ensue.

Voluntarily Excluded: The status of nonparticipation or limited participation in covered transactions assumed by a person pursuant to the terms of a settlement.

Drug-Free Workplace

By signing and submitting the application, the institutional applicant agrees, among other things, to establish an on-going drug-free awareness program; to publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace; and to give this statement to each employee to be engaged in the performance of the grant. For grants that have a performance period in excess of 30 days, the program and policy statement must be in place within thirty days of the date the award is issued.

A grantee will be considered in violation of the drug-free workplace requirements if the grantee falsely certifies, fails to carry out the requirements of the certification, or fails to make a good faith effort to maintain a drug-free workplace.

The applicant must either identify in the application proposal the place(s) where the grant activities will be carried out or must keep this information on file in its office so that it is available for federal inspection. Workplace identification shall include the actual address of buildings (or parts of buildings) or other sites where work under the grant will take place. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

Definitions of terms used in the drug-free workplace certification:

Controlled Substance: A controlled substance in schedules I through V of the Controlled Substance Act (21 U.S.C. 812), and as further defined by regulation at 21 CFR 1308.11 - 1308.15.

Drug-free Workplace: A site for the performance of work done in connection with a specific grant at which employees of the grantee are prohibited from engaging in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance.

Employee: The employee of a grantee directly engaged in the performance of work under the grant, including all "direct charge" employees; all "indirect charge" employees, unless their impact or involvement is insignificant to the performance of the grant; and all temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll.

Grantee: A person who applies for or receives a grant directly from a federal agency.

Lobbying Activities

An applicant who requests grant funds in excess of $100,000 is required to certify and, under certain circumstances, file a disclosure statement on lobbying activities. The "Certification Regarding Lobbying Activities" applies only to the individual application for which Endowment funding is being sought. If nonfederal funds were used or will be used to support lobbying activities for this application by persons other than regularly employed officers or employees of the applicant institution, the OMB "Disclosure of Lobbying Activities" (Standard Form LLL) shall be completed and returned to the NEH Grants Office. This form will also be filed at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information previously filed.

Those who received a subgrant, contract, or subcontract exceeding $100,000 at any tier under an Endowment grant are required to file a certification and, when necessary, a disclosure form to the next tier above. All disclosure forms shall be forwarded to the NEH Grants Office by the grantee.

For the purpose of this certification a "regularly employed officer or employee of the applicant" is one who is employed by the applicant for at least 130 working days within one year immediately preceding the date of the submission that initiates Endowment consideration of the applicant for receipt of a grant or cooperative agreement.

Certifications

1. Certification Regarding the Nondiscrimination Statutes (Applies to Recipients Other than Individuals)

The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d *et seq.*) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 *et seq.*) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 *et seq.*) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status (OMB Circular A-129)

The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169)

The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

4. Certification Regarding Drug-FreeWorkplace Requirements (Drug-Free Workplace Act of 1988)

Alternate I. (Applies to Grantees Other Than Individuals)

(A) The grantee certifies that it will or will continue to provide a drug-free workplace by

(a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;

(b) establishing an ongoing drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

Alternate II. (Applies to Grantees Who Are Individuals)

(A) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.

(B) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of $100,000)

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Note: If a proposed project relates to American Indians, Aleuts, Eskimo, or native Hawaiian people and artifacts, an applicant should obtain from the Endowment a copy of its Code of Ethics concerning native Americans. The code establishes certain standards of conduct in research, publication, and public programs involving native American peoples.

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action:
☐ a. contract
b. grant
c. cooperative agreement
d. loan
e. loan guarantee
f. loan insurance

2. Status of Federal Action:
☐ a. bid/offer/application
b. initial award
c. post-award

3. Report Type:
☐ a. initial filing
b. material change

For Material Change Only:
year ______ quarter ______
date of last report ______

4. Name and Address of Reporting Entity:
☐ Prime ☐ Subawardee
Tier ______, *if known*:

Congressional District, *if known*:

5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:

Congressional District, *if known*:

6. Federal Department/Agency:

7. Federal Program Name/Description:

CFDA Number, *if applicable*: ______

8. Federal Action Number, *if known*:

9. Award Amount, *if known*:
$

10. a. Name and Address of Lobbying Entity *(if individual, last name, first name, MI)*:

b. Individuals Performing Services *(including address if different from No. 10a) (last name, first name, MI)*:

(attach Continuation Sheet(s) SF-LLL-A, if necessary)

11. Amount of Payment *(check all that apply)*:
$ ______ ☐ actual ☐ planned

12. Form of Payment *(check all that apply)*:
☐ a. cash
☐ b. in-kind; specify: nature ______
value ______

13. Type of Payment *(check all that apply)*:
☐ a. retainer
☐ b. one-time fee
☐ c. commission
☐ d. contingent fee
☐ e. deferred
☐ f. other; specify: ______

14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:

(attach Continuation Sheet(s) SF-LLL-A, if necessary)

15. Continuation Sheet(s) SF-LLL-A attached: ☐ Yes ☐ No

16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature: ______
Print Name: ______
Title: ______
Telephone No.: ______ **Date:** ______

Federal Use Only:

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Standard Form - LLL

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: ______________________________ **Page** ______ **of** ______

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