

NATIONAL ENDOWMENT FOR THE
HUMANITIES



**EDUCATION
PROGRAMS**

Application Guidelines

DIVISION OF EDUCATION PROGRAMS

**STRUCTURE
OF THE
DIVISION OF EDUCATION PROGRAMS**

| | Elementary and Secondary Education Program | Higher Education Program |
|------------------------|---|---|
| National Projects | Institutes Special Projects | Institutes Special Projects |
| Institutional Projects | Humanities Focus Grants Collaborative Study/Curriculum Development Grants | Humanities Focus Grants Collaborative Study/Curriculum Development Grants |
| Special Opportunities | | |

For Application Deadlines see inside back cover

The Summer Seminars for College Teachers Program and the Summer Seminars for School Teachers Program are administered through a separate unit of the Division of Education Programs, with guidelines that are distinct from this publication. For a copy of the guidelines for the Summer Seminars Programs, and other information concerning these programs, please call: 202/606-8463.

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THE NATIONAL ENDOWMENT FOR THE HUMANITIES

“Democracy demands wisdom
and vision in its citizens”

—NATIONAL FOUNDATION
ON THE ARTS AND THE
HUMANITIES ACT OF 1965

In order “to promote progress and scholarship in the humanities and the arts in the United States,” Congress enacted the National Foundation on the Arts and the Humanities Act of 1965. This act established the National Endowment for the Humanities as an independent grant-making agency of the federal government to support research, education, and public programs in the humanities. Grants are made through the Office of Federal/State Partnership, four divisions—Education Programs, Preservation and Access, Public Programs, and Research Programs—and the Office of Challenge Grants.

DIVISION OF EDUCATION PROGRAMS

INTRODUCTION

Through the Division of Education Programs, the National Endowment for the Humanities provides grants to schools and colleges for ventures that will improve humanities education. The division supports teachers and educational institutions at all levels in efforts to engage students in sustained, thoughtful study of the humanities. Such study is the foundation for understanding important contemporary issues and enduring questions of human existence. History, literature, languages, ethics, philosophy, and other humanities disciplines introduce students to the riches of human thought and imagination and to the complexity of cultural expression in this country and worldwide. The humanities raise issues that are central to life in a democratic society and provide resources for engaging these issues with intelligence and wisdom.

The dialogue between past and present that characterizes the humanities calls for attention to tradition and to its renewal. In this generation, scholarship in the humanities has undergone far-reaching changes, producing new knowledge and new fields of inquiry. Those who teach the humanities recognize the need to assimilate a rapidly expanding body of scholarly knowledge and to explore new connections among humanities subjects while continuing to cultivate their original fields of study. Teachers and faculty also seek to translate their knowledge and understanding of the humanities into effective teaching that reaches all students.

To enable teachers to meet these challenges, the division supports national and institutional projects that

- provide an opportunity for collegiate and pre-collegiate faculty to engage in collaborative study of important topics and texts in the humanities and to consider how these may be taught effectively;
- help schools and colleges revise and improve humanities programs, curricula, and courses with close attention to how their students learn;
- foster effective, sustained study of second languages and their cultural contexts;
- apply the new electronic technologies to enhance humanities knowledge and understanding for all students;
- help make the humanities integral to the education of future teachers at all levels;
- address educational issues of nationwide importance to the humanities.

If a project aims primarily to improve precollegiate humanities education, it should be submitted to the **Elementary and Secondary Education Program**. A project for the improvement of postsecondary humanities education should be submitted to the **Higher Education Program**. The division encourages cooperative endeavors in which schools and institutions of higher education collaborate to improve humanities education at both levels. In the case of

WHAT ARE THE HUMANITIES?

The act that established the National Endowment for the Humanities says, "The term 'humanities' includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism and theory of the arts; those aspects of social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life."

projects that aim to benefit more than one student audience, the staff will help applicants determine which program is more appropriate.

From time to time, the division announces special opportunities that invite attention to particular areas of humanities education. Further information about these opportunities is available from the Division of Education Programs, NEH, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506, 202/606-8373.

WHO MAY APPLY FOR A GRANT?

Any U.S., nonprofit, tax-exempt organization or institution dedicated to improving humanities education is eligible to apply to the Division of Education Programs. The division accepts applications from public and private schools, school systems, two- and four-year colleges, universities, college and university systems, libraries, museums, educational associations, professional organizations, research centers, state humanities councils, state and local governments, and educational and cultural consortia. When two or more institutions or organizations collaborate on an application, one of them must serve as the lead applicant and administer the project on behalf of all the participating units. The division particularly welcomes proposals from educational institutions serving groups of Americans which historically have not had full access to educational opportunity. (Please see note on nonprofit tax-exempt status, page 40.)

WHAT MAY BE SUPPORTED?

The Division of Education Programs welcomes projects that will strengthen the capacity of teachers at all levels to engage their students in substantive study of the humanities. **National projects** are intended to provide access throughout the country to the best humanities scholarship as well as to effective ways of conveying it. **Institutional projects** provide groups of faculty outside support when it can make a difference in achieving significant, lasting improvement in humanities education at the schools, colleges, and universities where they teach.

All projects should address how specific humanities topics are best taught and learned. The Endowment does not, however, normally fund projects that deal solely with pedagogical theory or that are intended to improve writing, speaking, or thinking skills apart from a focus on specific humanities content.

The Division welcomes proposals to use new electronic technologies to create resources that can be widely used to enhance the teaching and learning of specific humanities content. The Endowment does not support the preparation of textbooks or other teaching materials for a commercial market. The Endowment does not ordinarily support equipment costs.

Critical, historical, and theoretical studies of the arts are eligible for NEH support. However, work in the creative or performing arts—such as the writing of fiction or poetry, painting, sculpture, musical composition or performance, acting, directing, and dance—is not eligible for support by the National Endowment for the Humanities. Persons interested in support in these areas should write or call the National Endowment for the Arts, Washington, D.C. 20506, 202/682-5400.

WHAT ARE THE CRITERIA FOR EVALUATING APPLICATIONS?

Applications to all grant categories are subject to three general criteria of evaluation: intellectual quality, potential for valuable results, and feasibility. Within these three general criteria the more detailed questions are applied insofar as they pertain to the specific proposal under consideration.

Applications are subject to three general criteria of evaluation: intellectual quality, potential for valuable results, and feasibility.

Is the intellectual quality of the project excellent? Is its intellectual rationale clear and persuasive? Does the project engage an important humanities topic or texts? Does it draw on sound humanities research? Are its study plans thoughtful and stimulating? Does it address effectively the pertinent issues of teaching and learning in this content area?

Is the project worth doing? Is it likely to result in better humanities learning for students? Is it well-suited to its institutional setting? Will it have lasting results? Will the project evaluation be thoughtful and informative? Will the results of the project be disseminated to those who will find them useful? Is the project budget reasonable in view of the likely results?

Is the project feasible? Are its activities well-planned and described in adequate detail? Are the personnel well-qualified to carry out their proposed responsibilities? Do letters from visiting scholars, consultants, or prospective participants demonstrate interest and commitment? Are the plans for administration sound? Is there evidence of a sufficient level of commitment and support within the participating institutions? Is there appropriate cost sharing?

SPECIAL INITIATIVE

A special initiative is an undertaking by the Endowment to encourage proposals in all grant-making categories for projects relating to a specific topic or event. Proposals are currently solicited for the following initiative:

A NATIONAL CONVERSATION ON AMERICAN PLURALISM AND IDENTITY

"All of our people—left, right, and center—have a responsibility to examine and discuss what unites us as a country, what we share as common American values in a nation comprised of so many divergent groups and beliefs. For too long, we have let what divides us capture the headlines and sound bites, polarizing us rather than bringing us together. . . . This is to be a national conversation open to all Americans, a conversation in which all voices need to be heard and in which we must grapple seriously with the meaning of American pluralism."

—Sheldon Hackney, Chairman
NATIONAL ENDOWMENT FOR THE HUMANITIES

In order to expand, inform, and enrich this national conversation, the Endowment invites proposals that address any of the complex topics and themes related to pluralism in America. The Endowment is particularly interested in how people—differentiated by ethnicity, race, or culture—have interacted within the framework of our national society (or, for comparative purposes, in other pluralistic societies) and what commonalities may have emerged as shared American values.

The goal of this initiative is to support humanities projects that will place questions about American pluralism and identity in historical and critical perspective, thus animating the national conversation on our shared values and differences and illuminating the evolving ideal suggested by our nation's motto, *E Pluribus Unum*. (As noted above, the focus of this initiative is on ethnic, racial, and cultural differences although other important differentiating and unifying factors such as class, gender, religion, or region may be interwoven where appropriate.)

Applications responding to this Endowment initiative should be submitted to regular Endowment programs and will be judged according to the criteria stated for those programs. The Division of Education Programs particularly welcomes projects which engage teachers at all levels in programs of study and curricular design on the topic of American pluralism.

For examples of projects under this special initiative, please write to:

NEH Public Information Office
Room 402
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

OVERVIEW

PROGRAMS OF THE DIVISION

ELEMENTARY AND SECONDARY EDUCATION PROGRAM

The Elementary and Secondary Education Program supports projects at both the national and local levels which enable teachers to deepen their knowledge and understanding of English, history, foreign languages and other humanities subjects taught in the schools and to consider how they may be taught more effectively.

Renewed national concern about elementary and secondary education gives teachers new opportunities to strengthen their educational leadership. The Elementary and Secondary Education Program supports projects at both the national and local levels which enable teachers to deepen their knowledge and understanding of English, history, foreign languages and other humanities subjects taught in the schools and to consider how they may be taught more effectively.

Projects typically enable groups of teachers, working with scholars, to design and pursue their own intensive, collegial study of humanities questions and materials. For example, projects might engage high school teachers in the comparative study of literary works from diverse eras and cultures and in the exploration of the role literature plays in our lives and societies. Middle school teachers might explore key themes in world history, or prepare to integrate literature and history in a unified course of study. Elementary school teachers might study folklore in cultural context or explore important themes in United States history.

Teachers of other languages need opportunities for intensive study. They need to maintain their own fluency and to deepen their understanding of the culture while reviewing improved teaching methods and materials. Student access to sustained and coherent study over a number of years is the only means of realizing genuine proficiency in another language. The program supports projects enabling teachers to extend their command of the foreign languages they teach and to create arrangements that will ensure a smooth progress for language students from grade to grade and level to level. Projects having to do with all languages are of interest, and those involving languages widely used around the world but less commonly taught in the United States are especially encouraged.

Projects often bring teachers and local scholars together in ongoing communities of learning and inquiry. Projects may examine new knowledge in the humanities, respond to national goals for improved content and student performance in humanities subject areas, or connect humanities curricula to larger strategies for systemic reform.

Other Opportunities for Elementary and Secondary Teachers:

Independent study for elementary and secondary school teachers, librarians, and administrators is available through a program of summer fellowships supported by an award from the Endowment to the Council for Basic Education. Information about this program may be obtained by calling or writing the Council for Basic Education, 1319 F Street, N.W., Washington, D.C. 20004, 202/347-4171.

Study abroad for elementary and secondary school foreign language teachers is available through a program of summer fellowships supported by an award from the Endowment to Connecticut College. Information about this program may be obtained by calling or writing NEH Fellowships Program for Foreign Language Teachers K-12, Connecticut College, 270 Mohegan Avenue, New London, CT 06320, 203/439-2282.

Higher Education projects can aid in the development of intellectual community, enabling faculty to study together within disciplines or across disciplinary lines as the foundation for curricular improvement.

HIGHER EDUCATION PROGRAM

College and university faculty on many campuses are reexamining courses and curricula in the light of new knowledge and fields of inquiry in the humanities and new information about how students best learn. Faculty also seek to extend their command of traditional topics and disciplines in order to provide students with a rich, integrative understanding of the humanities. Through both national and local grant opportunities, the Higher Education Program supports efforts to promote excellent humanities education for all students.

Projects can aid in the development of intellectual community, enabling faculty to study together within disciplines or across disciplinary lines as the foundation for curricular improvement. They can also support development of new and consolidated courses and curricula at specific institutions. For example, a two-year college might better integrate the humanities with technical programs; a state university might create small learning communities for students through the coordination of related humanities courses and begin to transform the reward system for faculty engaged in undergraduate teaching; a liberal arts college might develop a regional studies program that integrates science and humanities disciplines.

The program encourages attention to foreign language instruction in the context of culture, the use of authentic materials in language courses, and the study of language across the curriculum. Projects concerning languages such as Japanese, Russian, Chinese, or Arabic, which are widely spoken but not frequently taught, are especially invited. The responsibility to prepare the next generation of humanities teachers in the schools and at the undergraduate level is a special concern of the program. Projects to design coordinated humanities programs among institutions in a region are also encouraged.

SCIENCE AND HUMANITIES: INTEGRATING UNDERGRADUATE EDUCATION

In cooperation with the National Science Foundation, the program will provide in 1995 and 1996 special panel review and support for projects that cross disciplinary boundaries to explore the overlap and integration of the sciences and the humanities in significant areas of inquiry. Proposals for national institutes and special projects as well as proposals to develop courses and curricula at individual colleges and universities are invited. Projects should make use of significant texts and topics from the humanities and sciences, include field experiences, laboratory activities, and mathematics as appropriate, and incorporate excellent pedagogy. Faculty members across the disciplines are encouraged to collaborate in the design and implementation of projects. Applicants should request the **Special Instructions** for this jointly sponsored competition by calling 202/606-8384 or writing to the Division of Education Programs, NEH, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.

GRANT OPPORTUNITIES IN THE DIVISION

The following grant opportunities are available in both the Elementary and Secondary Education Program and the Higher Education Program to support initiatives that will improve humanities education, including collaboration across the levels of education.

National projects address broadly gauged issues central to the intellectual quality of humanities education and generally have high visibility as well as long-range impact. There are two types of national projects: residential summer or academic-year institutes and special projects.

NATIONAL PROJECTS

The Division of Education Programs supports national projects to strengthen humanities education at all levels from elementary school through graduate school. National projects address broadly gauged issues central to the intellectual quality of humanities education and generally have high visibility as well as long-range impact. They are conducted by sponsoring institutions prepared to coordinate intellectual and material resources that will ensure that the project provides national leadership in humanities education. There are two types of national projects: residential summer or academic-year institutes and special projects.

INSTITUTES

Institutes provide opportunities for intensive study and collaborative work with the assistance of outstanding scholars. The goal is to promote the collegial exchange and intellectual engagement that sustain excellent teaching. Participating faculty concentrate on materials related to a theme, issue, genre, major figure, period, or cultural movement frequently taught in the schools or at the undergraduate level. They work with experts to gain a thorough understanding of the topic in question. Institutes often respond to recent developments in scholarship or widespread changes in curricular patterns, such as the increasing emphasis on the teaching of world cultures. Institutes for precollegiate faculty also may help teachers address new educational policies and opportunities, such as the development of national goals for improved content and student performance in a number of humanities subjects. Institutes for college and university faculty typically focus on topics and materials which provide the intellectual foundation for teaching in broad undergraduate courses.

Institutes can be sponsored by universities, colleges, school systems, libraries, and cultural or professional organizations, and take place in settings with library and other resources necessary for intensive study in the humanities. Institutes held in the summer involve four to six weeks of study in residence, with twenty-five to thirty-five participants. In some cases, summer institutes are designed not just for individual participants but also for teams of participants from a given institution. Summer institutes occasionally recruit participants from a defined geographical region as well as from the nation at large.

Institutes held during the academic year convene on a monthly basis. The academic-year institutes usually involve participants from a more limited geographical area, but programs can be structured for a national audience as well.

Institutes normally include follow-up activities designed to extend the impact of the project. These activities are designed to assist participants in their efforts to apply the new knowledge in the classroom setting and can also involve the organization of workshops by institute participants for a group of faculty in neighboring institutions. Institutes for any level of teaching may extend their

Institutional projects may be developed to improve humanities programs within a single institution or to enable a number of institutions to develop complementary programs of study in the humanities. Institutional projects can vary widely in scope and design.

impact through electronic means, through the preparation of publications, or other formats for introducing the materials and methods of the project to a wider circle of colleagues.

Institute projects are often completed in an eighteen-month time frame. Awards for these projects range from approximately \$140,000 to \$180,000. Funding is available for compensation to directors of institutes, institute faculty, and visiting scholars, for stipends to participants, for subsidies toward the costs of travel, room, and board for participants, and for materials and administrative costs. **Applicants should consult the budget instructions and the sample institute budget on pages 27 to 31 and page 32 of this booklet.**

SPECIAL PROJECTS

The Division supports a small number of special projects designed to address issues in humanities instruction that have broad national significance. This grant category encourages imaginative responses to fundamental aspects of the way the humanities are taught in the nation's schools, colleges, and universities. For this reason, special projects may take various forms, including conferences, workshops, and networks of institutions. Plans for these projects should incorporate substantive reading and discussion. Proposals should demonstrate projects' educational impact and should include a plan for disseminating the results.

Awards can also support the development of materials for national dissemination that have a significant impact on humanities instruction, including those involving electronic educational technologies.

Teachers or college faculty members are encouraged to develop such projects on a collaborative basis. The costs of special projects will vary, depending on the type of activities proposed, their scope, and the number of institutions and participants involved.

INSTITUTIONAL PROJECTS

Through two types of awards—Humanities Focus Grants and Collaborative Study/Curriculum Development Grants—the Division of Education Programs offers support for groups of teachers and faculty to engage in joint study of humanities topics and to develop and implement academic plans for improving humanities education at their institutions. Educational institutions can better encourage thoughtful study of the humanities when faculty themselves have the opportunity to study humanities materials together, to plan cooperatively for curricular change, and to implement those changes with attention to their long-term effectiveness in a particular institutional setting. Institutional projects may be developed to improve humanities programs within a single institution or to enable a number of institutions to develop complementary programs of study in the humanities. Institutional projects can vary widely in scope and design. In all cases, however, awards for institutional projects are made as investments in humanities education, where teachers actually meet students to cultivate the knowledge and understanding the humanities can provide.

Humanities Focus Grants enable small groups of teachers, faculty members, and other educators who work together to develop their understanding of important topics in the humanities and, if they choose, to translate that understanding into plans of action for their institutions.

HUMANITIES FOCUS GRANTS

Humanities Focus Grants enable small groups of teachers, faculty members, and other educators who work together to develop their understanding of important topics in the humanities and, if they choose, to translate that understanding into plans of action for their institutions. These grants provide support to engage in joint study, to bring in outside experts, to organize workshops on intellectual issues and related curricular questions, and to bring relevant parties together for planning. With a simplified application process and an expedited review cycle, these small, “next semester” grants allow colleagues in schools, colleges, and universities to consider substantive questions and chart institutional directions in a timely way.

Humanities Focus Grants support collegial **study and exploration** of humanities issues, topics, and materials, whether as an end in itself or as the means of arriving at a decision on a course of action. In the schools, Humanities Focus Grants (like the former Masterwork Study Grants) can provide support for a group of eight to fifteen teachers and administrators to meet regularly with an outside scholar to pursue a planned schedule of reading and discussion. Although explicit attention to curricular development is not required, participants may explore ways to integrate what they have learned into their teaching. In institutions of higher education, Humanities Focus Grants enable small groups of faculty to engage in collegial study with reference to the curriculum but without specific course development as a necessary part of the project. Faculty may work together to achieve a more coherent approach to materials they currently teach or may pursue a program of reading and discussion with the participation of visiting scholars to prepare for curricular innovation.

Humanities Focus Grants also support a further stage of collegial work: **planning and design** of new institutional arrangements for humanities education. The grants support college and university faculty as they explore major changes in the humanities curriculum and support teachers as they respond to the opportunities presented by such reforms as school-based management and national goals for improved content and student performance. They offer schools and neighboring institutions of higher education the opportunity to plan joint projects for current teachers and for improving the humanities preparation of future teachers. Educators also may plan to capitalize on local cultural or historical resources or build on plans for systemic reform to help students make the most of their educational opportunities.

Proposals for Humanities Focus Grants should contain specific information about the topic or issue to be explored and about the humanities materials to be considered. Grants to plan cooperative ventures should bring together members of every constituency that would participate in the proposed undertaking.

Available Funding: Funds may be used to pay for guest scholars and visiting consultants, for investigation of model programs, for books and other materials, for logistical support, and especially for participants to have the time to read, think, write, and deliberate. Projects span an academic year or year and a half, and awards range from \$10,000 to \$25,000 in outright funds. There is no formal limit on the number of awards one institution may receive; groups of teachers and faculty members that have not recently received a Humanities Focus Grant are especially encouraged to apply. Endowment grants may not be used to support grant-writing activities. (See sample budget, page 33.)

Collaborative efforts may benefit students by enhancing humanities curricula that link schools, colleges, and universities or enabling neighboring institutions to use resources effectively by establishing complementary programs for humanities education.

Humanities Focus Grants are not a prerequisite for a grant for a large scale collaboration, nor does the award of a Humanities Focus Grant for planning commit the Endowment to provide subsequent support for project implementation.

COLLABORATIVE STUDY/CURRICULUM DEVELOPMENT GRANTS

The Division supports large-scale projects that bring faculty together within individual institutions or from neighboring schools, colleges, and universities to pursue a common program of study to prepare new or revised courses and curricula. These collaborative efforts may focus on the improvement of humanities education within a single institution. They also may benefit students by enhancing humanities curricula that link schools, colleges, and universities or enabling neighboring institutions to use resources effectively by establishing complementary programs for humanities education.

Projects should incorporate excellent scholarship and should devote careful attention to pertinent issues of teaching and learning in the humanities. Outstanding scholars and teachers should be engaged in the project as advisors and consultants. Projects should promote collegial relationships as well as lively intellectual exchange among participants. The goals and activities should be well-suited to the particular academic settings. Proposals should provide evidence of institutional commitment and institutions participating in a project should plan to maintain the venture after the grant ends. Projects should include provision for outside evaluation.

Projects whose focus is *elementary and secondary education* support ongoing collaborative endeavors among schools and nearby institutions of higher education or other organizations such as libraries and museums. Projects usually are designed to bring scholars together with teachers for two or three years, to study a topic or texts central to humanities subject areas, to revise or coordinate curricula, and to address problems or opportunities in humanities education common to the schools in a given area. These projects may involve a period of intensive summer study and also include activities during the year such as seminars, colloquia, conferences, meetings, or working groups addressing special implementation issues. Projects may result in new courses and curricula or, more typically, in the introduction of new materials and approaches into courses currently taught by the participants. Teachers should have leading roles in planning and implementing the projects. Projects may be designed to create a permanent capacity for high quality, substantive professional development available to teachers across a large metropolitan, rural, or other defined area. Projects also may be proposed which link schools within a single district for the purpose of coordinating curricular improvement.

Projects in *higher education* usually focus on collaborative faculty study leading to the improvement or consolidation of existing courses and curricula or the development of new ones. These grants provide support for faculty within a single institution to work collaboratively to improve humanities teaching and learning for their students. They also may be designed to promote collaborative efforts among neighboring institutions. Projects may address the need for improving general education, the major, or other concentrations. They may be

designed to achieve greater coherence, incorporate important new topics or areas of humanities study into existing courses and curricula, or to revise courses and curricula in the light of significant new scholarship or approaches to humanities disciplines and subjects. They also may support the development of courses and curricula that explore the connections among disciplines. The Endowment especially encourages projects in which humanities faculty, teacher educators, and teachers in the schools collaborate to revise courses and curricula or coordinate efforts to improve the humanities education of future teachers. **Applicants should consult the opportunity afforded by Humanities Focus Grants, described above, to support planning for initiation of complex academic partnerships.**

Available Funding: Funds are available for stipends for participation in intensive study workshops, for released time during the academic year, for administrative costs and necessary materials, and for travel and honoraria for visiting scholars. The size of grants is consistent with such factors as the scope of the project and the number of participants. Projects may be designed for up to three years' duration and institutions also are expected to describe realistic plans for maintaining the project after the grant period expires. The Endowment seldom provides more than \$250,000 of outright funds toward the total cost of complex, multiyear projects. Because these awards are expected to result in lasting improvements in humanities programs, a significant commitment of cost sharing normally is required. **Applicants should consult the sample Collaborative Study/Curriculum Development budget on page 34 of this booklet as well as the budget instructions on pages 27 to 31 for additional information about the kinds of support available.**

CHALLENGE GRANTS

NEH Challenge Grants help academic institutions and cultural organizations secure long-term support for their programs, activities, and resources in the humanities. The Division of Education Programs assists the Office of Challenge Grants in providing guidance for the preparation of applications for challenge grants from colleges, universities, and other organizations whose missions concern formal education programs in the humanities. **Challenge grant guidelines and applications are provided in a separate publication. Please call 202/606-8309.**

STAFF OF THE DIVISION

Staff members are listed here according to the grant programs with which they are principally affiliated. Every member of the staff is familiar with all of the division's programs, however, and potential applicants may call or write any staff member and be assured that their inquiries will be routed promptly to the most appropriate program.

Program officers in the Division of Education Programs are experienced humanities teachers and scholars who are thoroughly familiar with the division's programs and grant opportunities.

Division of Education Programs

202/606-8373 Fax: 202/606-8394

| | |
|-----------------|---------------|
| Director | James Herbert |
| Deputy Director | Edythe Manza |

Elementary and Secondary Education Program

202/606-8377

| | |
|--------------------|-------------------|
| Assistant Director | F. Bruce Robinson |
| Program Officers | Ralph C. Canevali |
| | Janet Ray Edwards |
| | Angela Iovino |
| | Michael L. Lanza |
| | Annette Palmer |
| | Michael Pratt |

Higher Education Program

202/606-8380

| | |
|--------------------|-----------------------|
| Assistant Director | Lyn Maxwell White |
| Program Officers | Thomas M. Adams |
| | Helen Agüera |
| | Barbara Ashbrook |
| | Susan Greenstein |
| | Judith Jeffrey Howard |

BECOMING A GRANTEE

About 1,200 scholars, professionals in the humanities, and other experts serve on approximately 250 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds.

SUBMITTING AN APPLICATION

After reading these guidelines, a potential applicant should contact a division program officer to describe the proposed project. Program officers in the Division of Education Programs are experienced humanities teachers and scholars who are thoroughly familiar with the division's programs and grant opportunities. The program officer will assess the eligibility of a proposed project, the appropriate category to which an application should be submitted, and its likely strengths and weaknesses. This step of consultation can be accomplished by means of a telephone call.

In the cases of all National Projects and of Collaborative Study/Curriculum Development Grants, the potential applicant should submit a draft of the proposal for further review by a program officer approximately two months before the formal application deadline. In the case of Humanities Focus Grants, the volume of applications to the Higher Education Program prohibits the review of draft proposals. The staff does undertake, however, to review draft Humanities Focus applications to the Elementary and Secondary Education Program. Although review of a written draft is not required, many applicants report that they have benefited from such consultation with division staff.

Ultimately, the applicant should submit the completed proposal on the official application forms by the pertinent application receipt deadline. Once a proposal has been formally submitted, staff members are not permitted to discuss its status with applicants until the conclusion of the review process.

Receipt of applications will be acknowledged by post card within three weeks. Applicants who have filed by the receipt deadline and who do not receive such an acknowledgment should call or write the Endowment as soon as possible. Applicants will receive formal notification once a final decision on the proposal has been reached.

REVIEW OF APPLICATIONS

Each Endowment application is assessed first by knowledgeable persons outside the agency who are asked for their judgments about the quality and significance of the proposed project. About 1,200 scholars, professionals in the humanities, and other experts serve on approximately 250 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. In some programs the judgment of panelists is supplemented by individual reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the application under review.

The advice of evaluators is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then forwarded to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The National Council meets three times each year to advise the Chairman of the Endow-

ment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding. A final decision can normally be expected about six months after the application deadline. Applicants for Humanities Focus Grants, however, will receive a response within four months from the submission deadline.

Reapplication is always possible, and failure to gain support in one competition does not prejudice an applicant's chances in future competitions. Applicants may, by submitting a written request, obtain detailed information about the evaluation of the proposal. The Endowment respects the confidentiality of applicants and of the authors of specific reviews.

TYPES OF GRANT SUPPORT

The Endowment supports projects with outright funds, matching funds, and a combination of the two.

OUTRIGHT FUNDS

Outright funds are awarded by the Endowment to support approved projects and are not contingent on additional fundraising by the grantees.

MATCHING FUNDS

Matching funds, by contrast, require a grantee to secure gift funds from third parties before federal funds are awarded. Matching grants are made by the Endowment on a one-to-one basis and are intended to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts.

Because matching awards enable the Endowment to provide support to a greater number of significant but often costly projects, applicants are encouraged to request complete or partial support in the form of matching grants. Whenever possible, applicants requesting matching funds should identify potential sources of gift funds at the time they submit an application to the Endowment. (Please see note on eligible gifts and donors, page 40.)

COST SHARING

Applicant institutions are encouraged to participate in the support of project expenses. Cost sharing consists of the cash contributions made to the project by the applicant institution and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that may 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. Because of the importance of institutional commitment in the case of Collaborative Study/Curriculum Development Grants, the Endowment's contribution will not normally exceed 70 percent of total project costs. Humanities Focus Grants do not require cost sharing.

COMBINED FUNDS

Applicants may request a combination of outright and matching funds from the Endowment. For example, if a project will cost \$100,000 and the applicant will contribute \$20,000 directly to the project's cost and expects to receive an additional \$10,000 from an eligible third-party donor, the applicant should request \$10,000 in matching funds. The balance of the project's cost (\$60,000) may be requested in outright funds. The gifts raised in order to obtain the match should be included in the proposed budget as a component of the institution's cost-share. The total cost-share shown would then be \$30,000.

NEH may offer funding at a different level than that requested. In some instances, NEH may offer matching funds only, or it may offer a combination of matching and outright funds in response to a request for outright funds.

GRANT PERIOD

The grant period encompasses the entire period for which Endowment funding is requested in the 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 listed inside the back cover 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 NEH, the applicant organization will be responsible for ensuring that the grant is administered in accordance with the following provisions.

- 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.
- 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.
- Adequate documentation of the time spent by all project personnel on grant

- 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 \$25,000, any use of sole-source contracts must be fully justified and documented.
- Grantees receiving \$25,000 or more in federal awards during their fiscal year are required to have an audit performed. (This audit must meet the requirements of either OMB Circular A-133, "Audits of Institutions of Higher Education and other Nonprofit Organizations." Copies of these circulars may be obtained from the NEH Grants Office.)
- 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.

The narrative is an extended discussion of the project, its intellectual content, its activities, and its intended beneficiaries. It is the focal point at every stage of the review process.

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:

- type (double-space) the application on white 8 1/2" x 11" paper;
- create margins and select a type face and size that allow reviewers to read the application easily;
- label the appendices, refer to them clearly in the narrative, and number the pages of all appendices consecutively.

OVERVIEW OF THE APPLICATION

APPLICATION COVER SHEET

See the instructions for completing the Application Cover Sheet on page 22.

TABLE OF CONTENTS

List all sections, including appendices.

ONE-PAGE SUMMARY

Briefly summarize the narrative (see below). This summary must be no more than one typed page in length, but may be single-spaced.

NARRATIVE DESCRIPTION OF THE PROJECT

The narrative is an extended discussion of the project, its intellectual content, its activities, and its intended beneficiaries. It is the focal point at every stage of the review process. The narrative should not exceed twenty double-spaced pages; for Humanities Focus Grants the narrative should be from five to ten double-spaced pages in length. To be competitive, a proposal should address in the narrative the six matters listed below:

1. RATIONALE

An intellectual rationale must be clearly articulated. Explain how the project will improve the quality of humanities education. Identify the intended beneficiaries of the project. 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 of the project to the mission, curricular history, and students of the institution(s) in question.

2. INSTITUTIONAL CONTEXT

Where relevant, describe how the project relates to the institution where 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 resources that would help foster a sense of intellectual community. For residential institutes, living facilities should be described.

If the proposal is similar or related to a project previously funded by the Endowment, include a detailed evaluation of the initial project in an appendix. Explain how the second grant would augment the first. If more than a single institution is involved, describe any collaboration that has already taken place to achieve similar goals.

For Collaborative Study/Curriculum Development Grants: Describe the mission, students, and existing humanities curriculum of participating institution(s). If previous funding has been received from the Endowment to undertake work related to that proposed in this application, describe the previously funded project and what it achieved. Show how the proposed project will advance that work toward lasting results. If the project involves more than one institution, the application should include in an appendix letters of commitment from each.

3. CONTENT OF THE PROJECT

Identify the central issue or guiding question of the project. Provide details about the topics and texts to be studied and an explanation of the order in which they are to be considered. Include a workplan of activities. Specify when each activity would take place and what approaches would be employed to address the humanities issues and materials. A detailed list of readings (separating required and recommended sources) should be included.

For Collaborative Study/Curriculum Development Grants: Describe the existing curriculum in the "Institutional Context" section mentioned above. Any proposed curricular changes should be described here in the content section. If the project's immediate aim is to develop or improve courses, explain how these courses relate to the rest of the curriculum and include detailed descriptions or draft syllabi of the proposed courses and the courses they would replace, as well as pertinent bibliographies, in an appendix. Also explain teaching approaches and student writing requirements in the context of the humanities content of the proposed courses. If collaborative faculty study activities are proposed, include a detailed workplan that identifies and describes the materials to be studied and discussed by the participants and that describes the role of visiting scholars. If the project proposes faculty study in support of an existing curriculum, describe how teaching and learning in the humanities would be improved.

4. PROJECT STAFF AND PARTICIPANTS

Identify those who will conduct and administer the project, define their roles, and state their qualifications for undertaking the specific responsibilities assigned to them. Identify visiting scholars and describe their qualifications and

letters of commitment from each. Where applicable, describe the nature of the commitment and duties of advisory board members.

For projects in which participants should be identified at the time of application, provide names and pertinent information in this section. Otherwise, describe the criteria and procedures by which participants will be selected.

5. EVALUATION

Describe what information is to be collected from participants and the criteria by which results of the project will be assessed. Identify the independent external evaluators, describe their qualifications, and include in an appendix letters of commitment that demonstrate their willingness to serve. External evaluation is not required for Humanities Focus Grants or for national institutes for college and university faculty.

6. FOLLOW-UP AND DISSEMINATION

Follow-up activities are very important and may include curricular projects, workshops with colleagues, and in-service presentations. Where pertinent, describe in detail how the institutional effort would continue once project funding ends. Where pertinent, show how materials produced by a project, or other results of broad significance, would be made accessible nationwide. Dissemination activities are not required in Humanities Focus Grants.

PROJECT BUDGET

See the budget instructions on pages 27-31.

APPENDICES

Use appendices to provide supplementary but **essential** materials, such as workplans, lists of readings, syllabi, résumés, and letters of commitment. Appendices should include relevant and concisely presented information only. Each appendix should be identified clearly and listed in the Table of Contents. Pages of the appendices should be numbered consecutively. At appropriate places in the proposal narrative, references should be made to items included in the appendices. For higher education Collaborative Study/Curriculum Development Grants, one copy of the institution's current college catalog also should be submitted.

For Humanities Focus Grants, appendices need include only one-page résumés from the project director and any visiting scholars, letters of commitment from the outside scholars, and—in the case of proposals from one or more institutions seeking to plan and design a collaborative endeavor—letters of institutional support.

INSTRUCTIONS FOR COMPLETING THE NEH APPLICATION COVER SHEET

A standard cover sheet is required for applications to NEH. These instructions explain how applicants to the Division of Education Programs should complete the cover sheet. (Applicants to "Science and Humanities: Integrating Undergraduate Education" should consult the **Special Instructions** for that competition.)

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 needed to complete it, to the Director of the Office of Publications and Public Affairs, National Endowment for the Humanities, Washington, D.C. 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. 2-Mrs. 3-Miss 4-Ms. 5-Professor 6-Dr.

Item c. 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 d. 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. Preprinted.

Identify **Type** of institution—for example, educational institution (elementary/secondary, school district, two-year college, four-year college, etc.), religious organization, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, 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—applicants requesting a new period of funding, whether for an entirely new project or for a project funded by NEH for a previous period, should check this box.

Item b. Supplement—applicants requesting additional funding during a current NEH grant should check this box.

Block 4—Program to which application is being made. In the space provided, enter either Elementary and Secondary Education, or Higher Education. If the application falls under the initiative described on page 5 indicate the number corresponding to the initiative in the space provided:

03P—A National Conversation on American Pluralism and Identity

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 page 27 for further information about grant periods.

Block 6—Project funding. Enter here the appropriate figures from page 4 of the NEH Budget Form, "Project Funding for Entire Grant Period." 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.

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.

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.

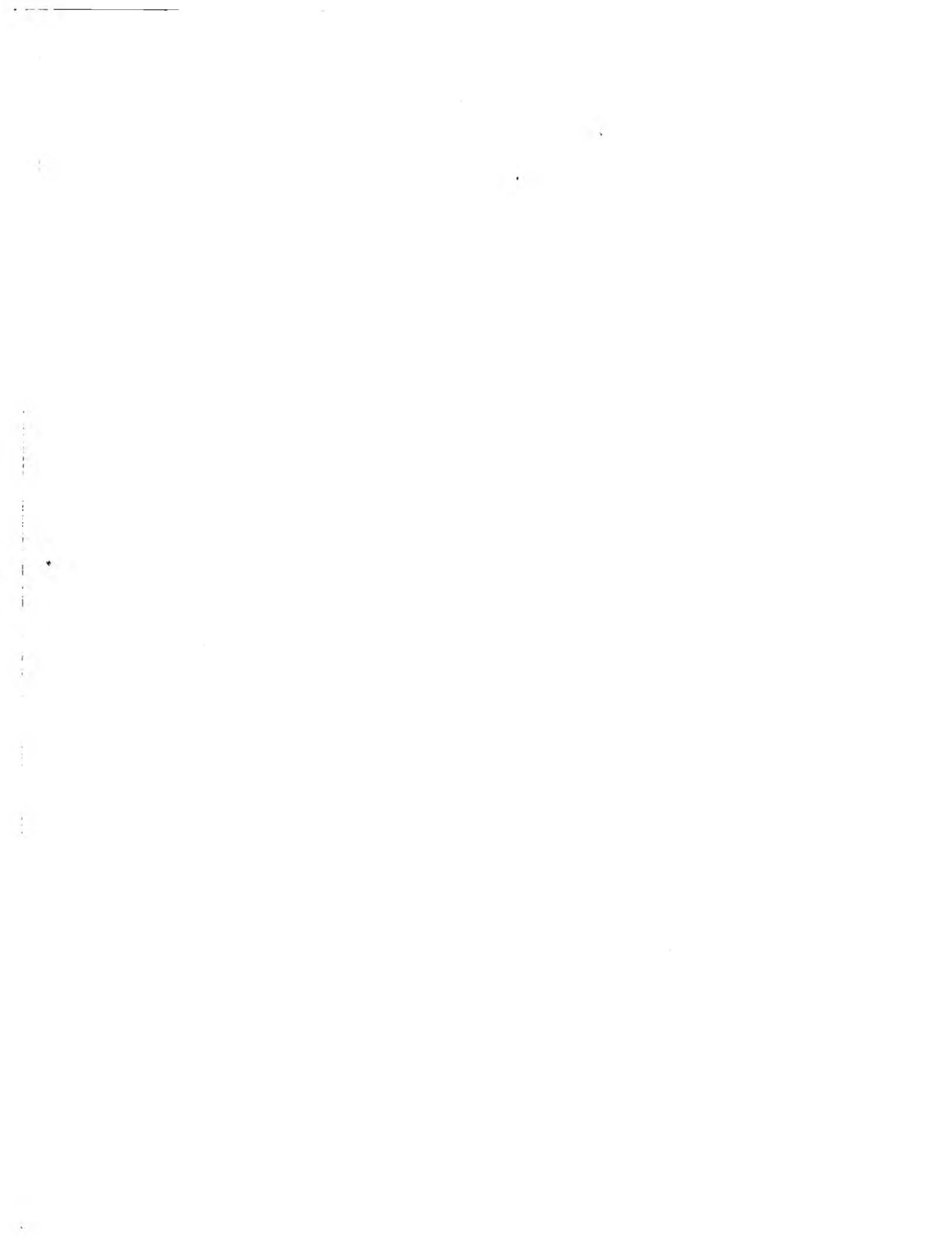
Item b. Enter the institution's employer identification number.

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 or 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 also must 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. These certifications and the accompanying instructions found in the section of this booklet beginning on page 41 should be read carefully before the application cover sheet is signed because most of these certifications impose new responsibilities on successful applicants.

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



FIELD OF PROJECT CATEGORIES AND CODES

The following categories and codes should be used to complete blocks 1d and 7 of the NEH Application 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 | History A1 | Languages C1 | Slavic D7 |
| Archaeology U6 | African A2 | Ancient CC | Spanish D8 |
| | American A3 | Asian CA | |
| Archival Management/ Conservation I1 | Ancient AC | Classical C2 | Museum Studies/Historic Preservation I2 |
| | British A4 | Comparative C9 | |
| | Classical A5 | English CE | |
| Arts/History and Criticism MA | European A6 | French C3 | Philosophy B1 |
| Architecture: History & Criticism U3 | Far Eastern A7 | German C4 | Aesthetics B2 |
| Art: History & Criticism M1 | Latin American A8 | Italian C5 | Epistemology B3 |
| Dance: History & Criticism M3 | Near Eastern A9 | Latin American C6 | Ethics B4 |
| Film: History & Criticism M4 | Russian AA | Near Eastern CB | History of Philosophy B5 |
| Music: History & Criticism M5 | South Asian AB | Slavic C7 | Logic B6 |
| Theater: History & Criticism M2 | | Spanish C8 | Metaphysics B7 |
| | Humanities U8 | | Non-Western Philosophy B8 |
| Communications P2 | Interdisciplinary U1 | Law/Jurisprudence Q1 | |
| Composition & Rhetoric P1 | African Studies G1 | Library Science H3 | Religion E1 |
| Journalism P4 | American Studies G3 | | Comparative Religion E5 |
| Media P3 | Area Studies GH | Linguistics J1 | History of Religion E2 |
| | Asian Studies G5 | | Non-Western Religion E4 |
| Education H1 | Classics G7 | Literature D1 | Philosophy of Religion E3 |
| | Folklore/Folklife R1 | African DK | |
| Ethnic Studies K1 | History/Philosophy of Science, Technology, or Medicine GA | American DE | Social Science U2 |
| Asian American K5 | International Studies GG | Ancient DC | American Government F2 |
| Black/African-American K4 | Labor Studies G4 | Asian DA | Economics N1 |
| Hispanic American K3 | Latin American Studies GJ | British DD | Geography U7 |
| Jewish K6 | Medieval Studies G8 | Classical D2 | International Relations F3 |
| Native American K2 | Regional Studies GF | Comparative D9 | Political Science F1 |
| | Renaissance Studies G9 | French D3 | Psychology U5 |
| | Rural Studies GC | German D4 | Public Administration F4 |
| | Urban Studies G2 | Italian D5 | Sociology S1 |
| | Western Civilization GB | Latin American D6 | |
| | Women's Studies G1 | Literary Criticism D1 | |
| | | Near Eastern DB | |

The division supports released time but does not support replacement teachers or compensate faculty members for performing their regular duties. Compensation for support staff may be calculated as a percentage of salary or based on an hourly rate.

BUDGET INSTRUCTIONS

The project budget must appear on the NEH Budget Form and must be prepared in accordance with the budget instructions. Additional explanation may be appended in a budget narrative. Before completing the budget form, review the information on pages 16 and 17 that pertains to the types of funds available, costsharing expectations, grant period definition, and grantee responsibilities, as well as the note on page 40 concerning eligible gifts and donors. If you have questions after reading these guidelines and budget instructions, please contact a division program officer for advice. The division staff will provide guidance on preliminary budgets submitted with draft proposals.

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 contain all costs related to the project. Therefore it should include costs that will be supported by applicant or third-party cash and in-kind contributions as well as those that will be charged to grant funds. (See the section on cost sharing, page 16.) **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, page 30) are not charged to the project as direct costs.

1. SALARIES AND WAGES

This section should include all project personnel except participants and consultants who are not employees of the applicant institution. Calculations for faculty compensation should be based on a percentage of academic year or annual salary (except in the case of summertime work supported by Collaborative Study/Curriculum Development Grants, for which faculty participants normally receive stipends). The division does not support replacement teachers or compensate faculty members for performing their regular duties. Compensation for support staff may be calculated as a percentage of salary or based on an hourly rate.

For Institutes: Directors of institutes receive compensation for the time they spend on planning, directing the institute during the summer, and conducting follow-up activities.

- For a four-week institute: total compensation for the director would normally be 22.2% of base academic year salary.

- For a five-week institute: total compensation would normally be 25% of base academic year salary.
- For a six-week institute: total compensation would normally be 27.8% of base academic year salary.
- For two codirectors: each would be compensated at 70% of the rates described above, based on their individual base academic year salaries.

Compensation may be greater if institutes require extensive follow-up activities or smaller if portions of the work will be carried out by an administrative assistant or project coordinator or by the other codirector. Justification for requests for additional compensation or for an unusually long or complex project must be provided in the budget narrative.

For Collaborative Study/Curriculum Development Grants: Salary compensation should be shown in the project budget as follows:

- For Project Directors during the academic year: released time normally should not exceed one course (or 40% of course load, whichever is greater) per quarter or semester.
- For Project Directors during the summer: compensation is based on a percentage of their base academic year salary. For example, one month would equal one-ninth or 11.1% of a nine-month academic year salary. Two codirectors would each receive 70% of this amount, based on their individual academic year salaries.
- For Higher Education faculty participants during the academic year: released time should normally not exceed one course per academic year.
- For Higher Education faculty participants during the summer: uniform stipends of no more than \$500 per week may be charged.

2. FRINGE BENEFITS

Fringe benefits should be calculated only for those individuals listed under Salaries and Wages. 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.

Depending on institutional practice, fringe benefits may or **may not** be calculated for summer stipends. Also, fringe benefits for support, administrative, and part-time personnel may be calculated at different rates than academic year employees. This should be reflected in the breakdowns shown on the budget form.

3. CONSULTANT FEES

List those individuals who would contribute to the project as visiting lecturers, leaders of faculty study sessions, and external evaluators. The honoraria for visiting faculty and other consultants range from \$250 to \$350 per person per

day or \$1,250 per person per week, not including travel and subsistence costs. Travel and subsistence costs should be entered in budget section 4.

Institutes provide participants with an allowance to defray the costs of room and board and a stipend of \$250 per week. The host institution should provide project participants with arrangements and privileges appropriate to their status as visiting scholar/teachers.

4. TRAVEL

Travel and subsistence costs, including participant travel that occurs as part of a summer institute or collaborative project, should be entered in this section. Costs should be calculated in conformity with institutional policy. (However, room and board for participants in residential projects 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.

NOTE: Project directors for all projects except institutes for college and university faculty will attend planning meetings at NEH offices in Washington, D.C. Directors of multiyear elementary and secondary education projects should budget for a two-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.

5. SUPPLIES AND MATERIALS

Include such items as stationery supplies, computer diskettes, books for participants, films, videotapes, and educational software. All must be essential to the project. See the section on page 30 for inadmissible budget items.

6. SERVICES

Include items such as costs of photocopying, postage, long distance telephone, and the printing of publicity materials. If rental of equipment is proposed, enter it in this section of the budget form. (Equipment may be purchased only if rental costs exceed purchase price.) Large or expensive equipment rentals and purchases must be justified in the budget narrative. (See section 7 for treatment of equipment purchases.)

7. OTHER COSTS

Participant Stipends: Stipends for participants not employed by the applicant institution should be listed here. Institutes provide participants with an allowance to defray the costs of room and board and a stipend of \$250 per week. The host institution should provide project participants with arrangements and privileges appropriate to their status as visiting scholar/teachers. In the case of residential institutes, the host institution is required to allow participants to apply the room and board allowance to off-campus housing and meals. For projects in Elementary and Secondary Education, applicants may charge the costs for support of teachers participating in academic-year follow-up activities. Stipends for Humanities Focus Grants should be calculated on the basis of \$100 per full day.

Equipment: When an applicant proposes to charge the purchase of permanent equipment to a project, this expense should be included under "Other Costs." The applicant must demonstrate in the budget narrative that the purchase of permanent equipment is necessary to carry out the project and will be less expensive than rental. Permanent equipment is defined as an item costing more than \$5,000 with an estimated useful life of more than one year.

Include a brief budget narrative when costs are unusual or not easily related to the project narrative. Clarification of salary items may be useful here. If released time from teaching duties is proposed, indicate clearly how it will be used.

8. TOTAL DIRECT COSTS

These are the costs of the project excluding indirect costs.

9. 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. 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 federally 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:

a. 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 to the project of \$5,000 annually, including cost sharing**. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.)

b. If your organization wishes to use a rate higher than 10 percent or claim more than \$5,000 per year in indirect costs per year, 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 a brief budget narrative when costs are unusual or not easily related to the project narrative. Clarification of salary items may be useful here. If released time from teaching duties is proposed, indicate clearly how it will be used. Justifications for large or expensive equipment rentals and purchases must be provided here.

INADMISSIBLE BUDGET ITEMS

The following costs are not allowable and may not appear in project budgets:

- The cost of replacement teachers or compensation for faculty members performing their regular duties.
- The rental of recreational facilities and costs related to social events such as banquets, receptions, and entertainment.
- Tuition fees for participants. 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.

The division does not fund or accept as cost sharing (see page 16) the following budget items:

- Travel associated with independent scholarly research.
- Development of education technologies or materials that are solely pedagogical and do not concern specific academic content.

SAMPLE BUDGET COMPUTATIONS

SAMPLE A: INSTITUTE

| | | NEH Funds | Cost Sharing | Total |
|--|-----------------------------------|----------------------|---|------------------|
| 1. Salaries and Wages | | | | |
| Project Director | 22.2% @ \$60,000/ academic yr. | \$ 6,660 | \$ 6,660 | \$ 13,320 |
| Assistant | 20% @ \$27,000/ academic yr. | \$ 2,700 | \$ 2,700 | \$ 5,400 |
| Secretarial Support | 3 mo. x 100% @ \$14,000/yr. | \$ 3,500 | | \$ 3,500 |
| 2. Fringe Benefits | | | | |
| | 11% of \$18,720 | \$ 1,157 | \$ 902 | \$ 2,059 |
| | 8% of \$3,500 | \$ 280 | | \$ 280 |
| 3. Consultant Fees | | | | |
| Professor | 3 days @ \$250 | \$ 750 | | \$ 750 |
| Professor | 5 days @ \$250 | \$ 1,250 | | \$ 1,250 |
| Professor | 3 days @ \$250 | \$ 750 | | \$ 750 |
| 4. Travel | | | | |
| | no. of persons | total travel days | subsistence costs + transport. costs = | |
| City/City | [1] | [3] | \$300 \$730 | \$ 1,030 |
| City/City | [1] | [5] | \$500 \$425 | \$ 925 |
| City/City | [1] | [3] | \$300 \$300 | \$ 600 |
| City/Wash., D.C.* | [1] | [2] | \$250 \$500 | \$ 750 |
| Participants/City | [25]** | [2] | \$10,000 | \$10,000 |
| 5. Supplies and Materials | | | | |
| Books | 25 sets @ \$45 per | \$ 1,125 | | \$ 1,125 |
| Films | 3 films @ \$75 ea. rental | \$ 225 | | \$ 225 |
| 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 |
| Advertising | 3 journal notices @ \$150 | \$ 450 | | \$ 450 |
| 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 | | \$ 89,622 | \$10,262 | \$ 99,884 |
| 9. Indirect Costs | | \$ 23,602 | \$12,342 | \$ 35,944 |
| 10. Total Project Costs (Direct and Indirect) | | \$113,224 | \$22,604 | \$135,828 |

* Elementary & Secondary Education Program Institutes only, for Project Directors Meeting

**Higher Education institutes only. Elementary and Secondary Education institutes normally serve thirty-five participants.

SAMPLE B: HUMANITIES FOCUS GRANT

| | | NEH Funds | Cost Sharing* | Total | |
|--|-----------------------------------|----------------------|------------------------|-----------------------|--------|
| 1. Salaries and Wages | | | | | |
| Project Director | 11.1% @ \$38,000/ academic yr. | \$ 4,218 | | \$ 4,218 | |
| Secretarial Support | 10% @ \$14,000/yr. | \$ 1,400 | | \$ 1,400 | |
| 2. Fringe Benefits | | | | | |
| | 11% of \$ 4,218 | \$ 464 | | \$ 464 | |
| | 8% of \$ 1,400 | \$ 112 | | \$ 112 | |
| 3. Consultant Fees | | | | | |
| Consultant | 5 days @ \$250 | \$ 1,250 | | \$ 1,250 | |
| Consultant | 3 days @ \$250 | \$ 750 | | \$ 750 | |
| 4. Travel | | | | | |
| | no. of persons | total travel days | subsistence costs + | transport. costs = | |
| Within City | [2] | [8] | \$ 240 | \$ 192 | \$ 432 |
| Wash., D.C. (Project Directors Meeting) | [1] | [2] | \$ 250 | \$ 450 | \$ 700 |
| 5. Supplies and Materials | | | | | |
| Books | 12 sets at \$40 per | \$ 480 | | \$ 480 | |
| 6. Services | | | | | |
| 7. Other Costs | | | | | |
| Stipends to Participants | 12 x \$50 x 15 half days | \$ 9,000 | | \$ 9,000 | |
| 8. Total Direct Costs | | \$ 18,806 | | \$ 18,806 | |
| 9. Indirect Costs | | 10% of \$ 9,806 | \$ 981 | \$ 981 | |
| 10. Total Project Costs (Direct and Indirect) | | \$ 19,787 | | \$ 19,787 | |

* Cost sharing is not required for Humanities Focus Grants

SAMPLE C: COLLABORATIVE STUDY/CURRICULUM DEVELOPMENT GRANT

| | | NEH Funds | Cost Sharing | Total |
|--|--|----------------------|--|-----------------------|
| 1. Salaries and Wages | | | | |
| Project Director | 25% (2-course release) @ \$45,000/academic yr. 1 summer mo. at 11.1% | \$ 5,625 \$ 2,498 | \$ 5,625 \$ 2,497 | \$ 11,250 \$ 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 | 5 days @ \$250 | \$ 1,250 | | \$ 1,250 |
| Professor | 2 days @ \$350 | \$ 700 | | \$ 700 |
| Professor | 3 days @ \$350 | \$ 1,050 | | \$ 1,050 |
| Professor | 5 days @ \$250 | \$ 1,250 | | \$ 1,250 |
| 4. Travel | | | | |
| | no. of persons | total travel days | subsistence costs + transport. costs = | |
| City/City | [1] | [3] | \$300 + \$350 | \$ 650 |
| City/City | [1] | [4] | \$400 + \$300 | \$ 700 |
| City/City | [1] | [3] | \$300 + \$730 | \$ 1,030 |
| City/City | [1] | [4] | \$400 + \$210 | \$ 610 |
| City/Wash., D.C. | [1] | [2] | \$250 + \$350 | \$ 600 |
| 5. Supplies and Materials | | | | |
| Books | 10 sets at \$40 per | \$ 400 | | \$ 400 |
| Stationery | | \$ 100 | | \$ 100 |
| 6. Services | | | | |
| Photocopying | est. 2,500 copies @ \$.10 | \$ 250 | | \$ 250 |
| 7. Other Costs | | | | |
| 8. Total Direct Costs | | \$ 53,302 | \$ 25,390 | \$ 78,692 |
| 9. Indirect Costs | | 30% of \$ 58,692 | \$ 14,793 | \$ 2,815 |
| 10. Total Project Costs (Direct and Indirect) | | \$ 68,095 | \$ 28,205 | \$ 96,300 |

* This sample budget shows all participants as employed by the grantee institution with stipends listed under **1. Salaries and Wages**. In the case of Elementary and Secondary Program collaborative projects and other projects in which several institutions cooperate, stipends for those participants **not** employed by the grantee institution should be entered under **7. Other Costs**.

National Endowment for the Humanities
BUDGET FORM

OMB No. 3136-0134
 Expires 7/31/97

| | |
|------------------------|---|
| Project Director | If this is a revised budget, indicate the NEH application/grant number: |
| Applicant Organization | Requested Grant Period FROM _____ THRU _____ 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 _____ THRU _____
 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 | | | \$ _____ | \$ _____ | \$ _____ |

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: thru: | Second Year/ from: thru: | Third Year/ from: thru: | = | 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/Individual Applicant. The signature of this person indicates approval of the budget submission and the agreement of the organization/individual to cost share project expenses at the level indicated under "Project Funding."

Name and Title (please type or print)

Telephone (_____) _____

Signature

Date

CHECKLIST FOR A COMPLETE APPLICATION PACKAGE

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

- The completed NEH Application Cover Sheet with an original signature of the institution's authorizing official (Do not use black ink)
- Three photocopies of the completed Application Cover Sheet
- Three photocopies of the one-page summary of the project (may be single-spaced)
- The original completed NEH Budget Form
- One copy of a current catalog (institutions applying for Higher Education Collaborative Study/Curriculum Development Grants only)

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

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

- Photocopy of the signed NEH Application Cover Sheet
- 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:
 - Workplans or schedules
 - Reading lists or syllabi, if any
 - Résumés 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)

NOTES

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 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 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 institutions or individuals who are 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.

PRESIDENTIAL DIRECTIVES

The National Endowment for the Humanities participates in two government-wide Presidential Directives. Executive Order 12876 was promulgated in order to help strengthen and ensure the long-term viability of the nation's Historically Black Colleges and Universities, and Executive Order 12900 was issued by the White House on behalf of educational excellence for Hispanic Americans. The NEH encourages applications that respond to these Presidential Directives.

NONPROFIT TAX-EXEMPT STATUS

Any private, nonprofit and tax-exempt organization, college or university, or branch of state or local government that is established in the United States may apply. To be eligible to receive NEH funding, applicants must have obtained tax-exempt status by the time funding decisions are made. Accordingly, by accepting a grant, the recipient certifies that it has tax-exempt status. It should be understood by the grant recipient that, in the event an award of a grant is erroneously made to an organization, institution, or group subsequently determined to be ineligible for a grant, the award may be terminated.

CERTIFICATION INFORMATION

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 and implementing regulations.

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 and implementing regulations, 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 and Implementing Regulations

The certification regarding the nondiscrimination statutes and implementing regulations 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 disabled to make certain they comply with Endowment regulations prohibiting discrimination of the disabled.

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 failure to pay obligation or debt by the date specified in 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, debtor fails to satisfy the obligation under a payment agreement with 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 are 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 purpose of this certification a "regularly employed officer or employee of the applicant" is one who is employed by 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 and Implementing Regulations (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-Free Workplace 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.

EQUAL OPPORTUNITY STATEMENT

Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Equal Employment Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506. TDD: 202/606-8282 (this is a special Telephone Device for the Deaf).

COMPLIANCE WITH OTHER FEDERAL LAWS

Applicants should be aware that a number of other federal laws and regulations apply to Endowment-supported projects.

Depending on the project, these may include compliance with

- the NEH Code of Ethics governing research, publication, and public programming in projects related to American Indian, Aleut, Eskimo, or native Hawaiian peoples;
- Department of Labor minimum compensation requirements; and
- a Congressional preference for the purchase of American-made equipment and products.

Other requirements may apply, and applicants are encouraged to consult with Endowment officers early in the application process.

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DEADLINES FOR RECEIPT OF APPLICATIONS**

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| Humanities Focus | September 15, 1995 January 15, 1996 | December 1995 April 1996 |
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| Science and Humanities | February 1, 1996 | August 1996 |
| Elementary and Secondary Education in the Humanities ¹ | October 1, 1995 February 1, 1996 | April 1996 August 1996 |
| Independent Study in the Humanities | Please see page 7 for information | |
| Fellowships for Foreign Language Teachers K-12 | Please see page 7 for information | |

Mail Applications to:

Division of Education Programs
National Endowment for the Humanities
Room 302
1100 Pennsylvania Avenue, NW
Washington, D.C. 20506

¹Other than Humanities Focus Grants

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