



National
Endowment
for the
Humanities

Office of
Challenge
Grants

Guidelines and
Application Materials

Application Deadline:
May 1 /

Challenge Grants

NATIONAL ENDOWMENT FOR THE HUMANITIES

CHALLENGE GRANTS

Guidelines and Application Instructions

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INTRODUCTION

The National Endowment for the Humanities

The National Endowment for the Humanities is an independent federal agency created in 1965 to support research, education, and public programs in the humanities.

The Endowment's grant-making activities are carried out through five divisions--Education Programs, Fellowships and Seminars, General Programs, Research Programs, State Programs--and two offices--the Office of Challenge Grants and the Office of Preservation.

For further information about other Endowment programs, write:

Office of Publications and Public Affairs
Room 409
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506
202/786-0438

The Humanities

In the act that established the National Endowment for the Humanities, the term humanities includes, but is not limited to, the study of the following disciplines: history; philosophy; languages; linguistics; literature; archaeology; jurisprudence; the history, theory, and criticism of the arts; ethics; comparative religion; and those aspects of the social sciences that employ historical or philosophical approaches.

Institutions or organizations sponsoring programs and activities in the social and natural sciences that are historical or philosophical, or that attempt to cast light on questions of interpretation or criticism traditionally in the humanities, are eligible to apply. Institutions that emphasize the practice or performance of the arts should apply to the National Endowment for the Arts.

In all instances, the burden of proving that funds will support work in the humanities lies with the applicant.

The Challenge Grant Program and Its Goals

An Endowment challenge grant is designed to improve program quality and financial stability in institutions where teaching, learning, and research in the humanities occur. Awards in this program will be made only when there is evident need for Endowment funds both to attain fund-raising goals and to effect significant improvement in humanities programs.

The recipient of a challenge grant must raise from nonfederal donors three times the amount of federal funds offered for a first award. Recipients of second-time awards will be required to raise four times the amount offered. The nonfederal funds must come either from new sources of giving or from increased contributions from previous donors.

Examples of Recent Awards

Hendrix College in Conway, Arkansas, received a grant of \$143,750 (plus \$431,250 in gifts for a total of \$575,000) to augment endowment to provide summer seminars and fellowships for faculty and to support visiting scholars and lecturers in order to strengthen the required curriculum of its Collegiate Center.

The University of California at San Diego received a grant of \$875,000 (plus \$2,625,000 in gifts for a total of \$3,500,000) to create an endowment for acquisitions in the humanities, which will increase the library's general holdings in the humanities and its special collections for Pacific Studies, Latin American Studies, and Contemporary Studies.

The Museum of History and Science in Louisville, Kentucky, received a grant of \$450,000 (plus \$1,350,000 in gifts for a total of \$1.8 million) to renovate the museum for climate control, to create a permanent exhibition on the region's history, and to endow a fund for the conservation of anthropology collections.

Iowa City Public Library Foundation received a grant of \$125,000 (plus gifts of \$375,000 for a total of \$500,000) to establish an endowment to increase the library's budget for humanities materials.

Freeport Historical Society in Maine received a grant of \$150,000 (plus \$450,000 in gifts for a total of \$600,000) to support the restoration of a historical house and to establish an endowment for a coordinator of public programs in the humanities and a part-time curator.

Saint Olaf College in Northfield, Minnesota, received a grant of \$568,750 (plus \$1,706,250 for a total of \$2,275,000) to support the construction of a wing to the library and to establish endowments for library operating costs and a chair in Norwegian Studies.

High Desert Museum in Bend, Oregon, received a grant of \$250,000 (plus gifts of \$750,000 for a total of \$1,000,000) to create an endowment to support staff salaries and operating costs of a new hall for humanities exhibitions and the creation of a permanent exhibition, "The Spirit of the West."

Fitchburg Art Museum of Fitchburg, Massachusetts, received a grant of \$200,000 (plus gifts of \$600,000 for a total of \$800,000) to renovate space for an expanded museum and to create an endowment fund that will support the expenses of the new addition.

Metropolitan Pittsburgh Public Broadcasting received a grant of \$455,000 (plus \$1,365,000 in gifts for a total of \$1,820,000) to develop local productions and to support national programming in the humanities.

Wing Luke Memorial Foundation in Seattle, Washington, received a grant of \$87,500 (plus \$262,500 in gifts for a total of \$350,000) to support preparation of its new building for use as a museum, the construction of a permanent exhibition on the Asian-American experience in the Seattle area, and the creation of an endowment for operating costs and marketing and development related to its work in the humanities.

Eligibility

With the exception of public and private elementary and secondary schools, any U.S. nonprofit institution or organization working wholly or in part within the humanities may apply for a challenge grant.

Second-Time Challenge Grants

An institution or organization that has received an NEH challenge grant may apply for a second NEH challenge grant when two calendar years have elapsed since the formal conclusion of the first one. The date of formal conclusion is the date acceptable final reports (narrative and financial) are submitted to the Endowment. Applications for second-time awards are given lower priority than applications for first awards, and all highly meritorious applications for a first challenge grant will be selected for awards before any applications for a second grant are considered for selection. Recipients of second-time awards will be required to raise from nonfederal donors four times the amount of federal funds offered.

NEH/NEA Applications

An applicant may submit simultaneous proposals for challenge grants to the National Endowment for the Humanities and the National Endowment for the Arts. No institution or organization, however, may receive challenge grants from both agencies concurrently. Should both NEH and NEA offer a challenge grant to an institution or organization, the applicant may accept only one offer. (The Arts Endowment's new "Challenge III" program could prove an exception to this rule. Applicants concerned about this question should consult with NEH staff.) Any eligible institution may submit a challenge grant application to one agency if it has already completed a challenge grant at the other. To be eligible to apply to NEH, such an institution must have submitted an acceptable final report to NEA before the NEH application deadline.

Grant Amounts

The requested grant amount should be appropriate to the needs of the humanities and the capacity for fund raising at the applicant institution. In the last three years the federal portions of challenge grants have ranged from \$17,500 to \$1 million, which is the maximum amount awarded in this category. The average award recently has been \$350,000 for a total project of \$1.4 million (first-time award) or \$1.75 million (second-time award). The Endowment may determine that an application merits support but only in part or at a reduced level. In such instances the Endowment will offer less than the amount requested.

Eligibility of Gifts for Meeting a Challenge Grant

All gifts meeting a challenge grant must be from new sources of giving or must be increases in contributions from existing donors. Whether contributions are new or increased depends on sources and amounts of giving during the base year. The base year is the twelve-month period immediately preceding the start of the grant period. The grant period may begin as early as December 1 of the year preceding the May 1 application deadline and as late as January 1 of the year following the deadline. This allows for a period of advance fund raising in anticipation of an Endowment award. The Endowment's formal award letter will identify the base year by using the beginning date of the grant period given on the official application cover sheet.

New contributions represent gifts from a donor or donors who have never given to the institution or organization or who did not contribute during the base year. Increased contributions represent gifts in excess of what donors gave during the base year. The amount of the increase--not the full gift--is the amount that is eligible. Challenge grant recipients may choose to pool the donations of some donor groups and submit the increases in pooled giving. In such instances, all pooled donors must have had knowledge--through solicitation literature, letters, or other means--that their increased gifts would be used in response to the challenge grant and that their gifts will support the humanities activities cited in the proposal. For example, an alumni group might have given a university \$100,000 during the base year. During four fund-raising years of the challenge grant, the group gives \$120,000, \$125,000, \$130,000, and \$150,000 respectively. Altogether, the university can count the amount of increase each year for matching: \$20,000 + \$25,000 + \$30,000 + \$50,000 = a total of \$125,000 over the grant period.

Release of Funds

These two examples illustrate how federal funds are released when the first matching dollar is raised, how the next two or three dollars must then be raised before the first matching dollar is raised to release the next portion of the NEH award, and how the grant period covers the raising of all matching dollars in nonfederal gifts.

Example One

Funding pattern for an institution's initial \$300,000/three-year challenge grant: 3 to 1 match for a total of \$1.2 million. IN \$ THOUSANDS.

Fund-Raising Periods	Start to 7/31 Year #1	8/1 to 7/31 Year #2	8/1 to 7/31 Year #3	8/1 to 7/31 Year #4	Totals
Nonfederal	\$100	\$300	\$300	\$200 =	\$ 900
NEH	100	100	100	- =	300
TOTALS:	200	400	400	200 =	1,200

Example Two

Funding pattern for an institution's second \$300,000/three-year challenge grant: 4 to 1 match for a total of \$1.5 million. IN \$ THOUSANDS.

Fund-Raising Periods	Start to 7/31 Year #1	8/1 to 7/31 Year #2	8/1 to 7/31 Year #3	8/1 to 7/31 Year #4	Totals
Nonfederal	\$100	\$400	\$400	\$300 =	\$1,200
NEH	100	100	100	- =	300
TOTALS	200	500	500	300 =	1,500

More detailed information on gift-eligibility and the mechanics of challenge grant administration are offered in the booklet entitled ADMINISTRATIVE REQUIREMENTS, which may be obtained from the Office of Challenge Grants.

THE APPLICATION AND REVIEW PROCESS

What Help Is Available?

Potential applicants should discuss an institution's or organization's proposal plans with the staff and should submit a draft application for staff review. Draft applications should be sent in single copy to the staff at least eight weeks before the formal application deadline, that is, by the beginning of March. The staff will offer comment and counsel by telephone or letter, and so it is not necessary to travel to Washington to receive this assistance.

Once the Endowment has received a formal application, the staff will not comment about the status of an application, except to settle questions about completeness or eligibility, until after letters announcing funding decisions have been mailed.

Whether or not an applicant receives a grant offer, an applicant may request information about the review of the proposal after the formal review process has been completed. Such information is of value to any institution intending to revise and re-submit the application in a subsequent cycle. It is also of value to institutions receiving awards.

Notice of Intent to Apply

At the back of this booklet is a postcard addressed to the Endowment entitled "Notice of Intent." The card should be sent to the Endowment before April 1, if an applicant plans to submit an application a month later.

Description of the Review Process

When an application is received by the Office of Challenge Grants, it is assigned to a program officer, who is in most cases the staff member who reviewed the draft form of the application.

The program officer reads the application to ensure that it is complete and that both the institution and the proposal are eligible for consideration. Should there be any question about completeness or eligibility, the program officer will call or write the applicant.

During the 1987 cycle there were seven panels convened for the review of challenge grant applications. Before meeting in Washington, D.C., panelists read the applications assigned to them. At the panel meeting each application is discussed in light of the program's guidelines and the evaluation criteria described in the next section.

The peer review panel is central to the evaluation of all Endowment applications. A panelist's primary responsibility is to identify for staff, the National Council on the Humanities, and the Chairman of the Endowment the merits and weaknesses of each application. Each challenge grants panel includes reviewers whose collective backgrounds represent a variety of experience and knowledge not only about the humanities but also about managing and financing nonprofit institutions and organizations. Panelists base their recommendations on the criteria for the funding category (see The Proposal Narrative below).

After the meetings of all panels and their discussions, the staff prepares recommendations for each application and presents both these recommendations and the comments of the panelists to a special committee of the National Council on the Humanities. That committee in turn reviews the recommendations and prepares a motion for submission to the full council. If approved by the National Council, the motion becomes a set of formal recommendations to the Chairman of the Endowment. After reviewing the comments of panelists and staff and upon the formal motion from the National Council, the Chairman makes all final decisions about funding. The Endowment then notifies each applicant about the disposition of the application.

The Application and its Preparation

The application should be typewritten, and the narrative should conform to standard manuscript presentation--double-spaced text on one side of a page only, with each page sequentially numbered. The one-page "institutional fact" summary, financial summary, and summary budget for challenge funds may be single-spaced. Because applications are mailed to panelists soon after their receipt at the Endowment, we ask applicants not to use covers, laminated notebooks, or other methods of binding that add unnecessary weight to the documents.

The Application Cover Sheet

Instructions for completing the cover sheet are on the following pages. The cover sheet identifies personnel responsible for administering the potential challenge grant, the amounts requested, the summary of proposed uses, and the kind of institution or organization applying. The first date of the "requested grant period" should be the starting fund-raising date. The cover sheet should be the first page of the original and each copy of the application.

National Endowment for the Humanities

Washington, D.C.

The following pages include:

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

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

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

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

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

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

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

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

The information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. This information is needed to process the grant application and for statistical research and analysis of trends. The routine uses which may be made of this information are: general administration of the grant review process; 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.

Cover Sheet Instructions

Block 1--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 the humanities activities to be supported by the fund-raising. (Information about the institution also is requested in Blocks 2 and 11.)

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

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

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

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

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

Block 2--Type of Applicant

Already completed.

Identify Type such as: business, religious, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, etc.), educational (2-yr. college, 4-yr. college, etc.), library (public, research, etc.), center (advanced study, research, etc.). Identify Status as either Private Nonprofit or Unit of State or Local Government. Example: Type: Historical Society. Status: Private Nonprofit.

Block 3--Type of Application

Check appropriate type:

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

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

Item c. Second-time--this is an application for a second NEH challenge grant.

Block 4--Program to which Application Is Being Made

This information is preprinted on your form. Preprinted forms ensure that the applicant has the correct instructions for the specific program.

If application is being made under one of the Endowment's initiatives described on page 19 of the guidelines, please indicate the number corresponding to the initiative in the space provided after Endowment Initiatives:

03C--The Foundations of American Society
03M--Columbian Quincentenary

Block 5--Requested Grant Period

The grant period begins on the date funds are first raised to match the challenge grant (no earlier than December 1 of last year; no later than January 1 of next year). The grant period closes on July 31 the year after the last fiscal year in which federal funds are requested.

Block 6--Project Funding

Enter on lines a, b, and c the federal funds requested in three fiscal years. If requesting funds for less than three fiscal years, enter -0- on the appropriate lines. Line e should be three times the amount of total federal funds requested for applicants requesting a first challenge grant. Line e should be four times the amount of total federal funds requested for applicants requesting a second-time challenge grant.

Block 7--Field of Project

This will be appropriate only when particular humanities disciplines are involved. For example, an endowed chair in American history would be easily described here.

Block 8--Descriptive Title of Project

The humanities activities to be supported by the fund-raising should be described here. Examples: Cataloguing and Conservation of Collections; Faculty Development; Endowed Chairs in Classics and Philosophy.

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?

In most cases, applications for challenge grants will be shared with private funding sources, since fundraising in the private sector is a major activity here.

Block 11--Institutional Data

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

Item b. Indicate the name and title of the person who is authorized to submit applications on behalf of the institution or organization. That person must sign and date the application.

Item c. Indicate here the name, mailing address, form of address (see instructions for Block 1b), and 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 b), but the actual administration of the project--such as, negotiating the project budget, ensuring compliance with the terms and conditions of the award--is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12--Federal Debt Status

Only one signature is required. If Block 2 box "a" was checked, then the individual named in Block 1 shall certify that he or she is not delinquent in repayment of any federal debt. If Block 2 box "b" is checked, then the authorizing official named in Block 11b shall certify that the institution is not delinquent in repayment of any federal debt. Federal debt is defined as an amount of money or property that has been determined by an appropriate agency official to be owed to the United States from any person, organization, or entity, and is interpreted to include such debts as guaranteed student loans, FHA loans, SBA loans, Department of Education institutional loans, and all other federally backed loans and debts. Delinquent means any account 30 days past due.

In cases where the applicant (either individual or institution) is delinquent in payments on a federal debt, a statement may be attached explaining the circumstances.

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

NEH APPLICATION COVER SHEET

OMB No. 3136-0062
Expires 10/31/90

1. Individual applicant or project director

a. Name and mailing address

Name _____
(last) (first) (initial)

Address _____

(city) (state) (zip code)

b. Form of address: ☐

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

d. Telephone number
Office _____ Home: _____
(area code) (area code)

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

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

2. Type of applicant

a. ☐ by an individual b. ☒ through an org. institute
If a. indicate an institutional affiliation, if applicable, on line 11a
If b. complete block 11 below and indicate here
c. Type
d. Status

3. Type of application

a. ☐ new c. ☐ second-time
b. ☐ revision and resubmission d. ☐ supplement
If either c or d, indicate previous grant number

4. Program to which application is being made

Challenge Grants ☐
Endowment Initiatives _____
(code)

5. Requested grant period

From _____ To 7/31/
(month year) (month year)

6. Project funding

a. Fiscal Year #1	\$ _____
b. Fiscal Year #2	\$ _____
c. Fiscal Year #3	\$ _____
d. Total from NEH	\$ _____
e. Nonfederal Match	\$ _____
f. Total	\$ _____

7. Field of project

☐

8. Descriptive title of project

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

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

(if yes, indicate where and when)

11. Institutional data

a. Institution or organization:

(name) _____
(city) _____ (state)

b. Name of authorizing official

(last) _____ (first) _____ (initial) _____
(title) _____
(signature) _____ (date) _____

c. Name and mailing address of the institutional grant administrator

(last) _____ (first) _____ (initial) _____
(city) _____ (state) _____ (zip code) _____

Telephone _____ Form of address ☐
(area code)

12. Federal debt status

I certify that I am not delinquent on repayment of any federal debt.

Not applicable

(signature, person named in Block 1)

This institution certifies that it is not delinquent on repayment of any federal debt.

(signature, authorizing official named in Block 11b)

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

For NEH use only

Date received
Application #
Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 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.

<i>Anthropology</i> L1
Archaeology U6
<i>Archival Management/Conservation</i> I1
<i>Arts, History and Criticism</i> MA
Architecture: History & Criticism U3
Art: History and Criticism M1
Dance: History & Criticism M3
Film: History & Criticism M4
Music: History & Criticism M5
Theater: History & Criticism M2
<i>Communications</i> P2
Composition & Rhetoric P1
Journalism P4
Media P3
<i>Education</i> H1
<i>Ethnic Studies</i> K1
Asian American K5
Black/Afro-American K4
Hispanic American K3
Jewish K6
Native American K2
<i>History</i> A1
African A2
American A3
Ancient AC
British A4
Classical A5
European A6
Far Eastern A7
Latin American A8
Near Eastern A9
Russian AA
South Asian AB

<i>Humanities</i> U8
<i>Interdisciplinary</i> U1
African Studies GI
American Studies G3
Area Studies GH
Asian Studies G5
Classics G7
Folklore/Folklife R1
History/Philosophy of Science, Technology or Medicine GA
International Studies GG
Labor Studies G4
Latin American Studies GJ
Medieval Studies G8
Regional Studies GF
Renaissance Studies G9
Rural Studies GC
Urban Studies G2
Western Civilization GB
Women's Studies G1
<i>Languages</i> C1
Ancient CC
Asian CA
Classical C2
Comparative C9
English CE
French C3
German C4
Italian C5
Latin American C6
Near Eastern CB
Slavic C7
Spanish C8
<i>Law/Jurisprudence</i> Q1
<i>Library Science</i> H3
<i>Linguistics</i> J1

<i>Literature</i> D1
African DK
American DE
Ancient DC
Asian DA
British DD
Classical D2
Comparative D9
French D3
German D4
Latin American D6
Literary Criticism DI
Near Eastern DB
Slavic D7
Spanish D8
<i>Museum Studies/Historic Preservation</i> I2
<i>Philosophy</i> B1
Aesthetics B2
Epistemology B3
Ethics B4
History of Philosophy B5
Logic B6
Metaphysics B7
Non-Western Philosophy B8
<i>Religion</i> E1
Comparative Religion E5
History of Religion E2
Non-Western Religion E4
Philosophy of Religion E3
<i>Social Science</i> U2
American Government F2
Economics N1
Geography U7
International Relations F3
Political Science F1
Psychology U5
Public Administration F4
Sociology S1

Table of Contents

Following the cover sheet should be a table of contents providing page numbers for the required summaries, for all subsections of the proposal narrative, and for the appendices. Any enclosed supplementary materials should also be listed.

Institutional Fact Summary

Following the table of contents should be a summary of relevant facts and statistics about the institution or organization. This summary may be single-spaced but should not exceed one page in length. In addition to a statement identifying

the institution or organization,
year established or founded,
and institutional type,

the following kinds of information should be summarized:

For Museums and Historical Organizations

- Recent attendance figures
- Description of collections
- Percentage of humanities programs
- Number of temporary or special exhibits each year
- Description of recent education programs
- Publications program, if applicable
- Size and breakdown of staff
- Description of governing board, executive committee
- Current paid membership
- Size of friends groups, if any
- Admission fees
- Description of physical plant
- Accreditation or MAP program, if applicable

For Colleges and Universities

- Enrollment figures
- Current tuition and fees
- Admissions statistics for past three years
- Faculty statistics
- Percentage of faculty in humanities
- Percentage of humanities faculty holding doctoral degrees
- Types of degrees granted and numbers awarded in last two years
- Accreditation

- Library statistics
- Faculty salary range and mean salary by faculty rank
- Percentage of courses in the humanities
- Percentage of students with humanities majors
- Enrollment in humanities courses

For Public Libraries

- Population and geographic size of the area served
- Description of collections
- Extent of humanities collections
- Hours open per week
- Annual circulation figures for the last three years
- Number and breakdown of staff
- Size of friends group, if any
- Type and size of governing board
- Description of physical facility

Nonprofit Media Stations and Organizations

- Hours on air weekly
- Hours of humanities programming
- Status of organization: independent or university-affiliated
- Number and breakdown of staff
- Listing of recent humanities programs
- Audience profile
- Number of members for each of the past three years
- Friends group, if applicable
- Studio and production facilities

Professional Organizations and Societies

- Number of members for each of the past three years
- Membership profile
- Number and breakdown of staff
- Publications, if any
- Annual meetings, symposia, and events sponsored
- Annual dues or membership fees for the past three years
- Membership or affiliation in other societies
- Size and type of governing board or editorial board
- Relationship to any host institution or organization
- Percentage of programming in the humanities

Financial Summary

Following the institutional fact summary sheet should be a one- or two-page summary about the institution's or organization's finances. This should give a clear indication of the financial health of the institution during the last three years. The information should pertain

to annual operating budgets, exclusive of capital campaign or other special income and exclusive of capital project expenditures. Figures should be compatible with figures cited in the text of the proposal and with the accompanying audits. Significant operating surpluses or deficits should be explained. If applicable, the financial summary should include an addendum listing sources and amounts of contributions for capital projects and endowments, broken down by types of donors, during the same three fiscal years.

Challenge Grant Budget

Following the financial summary, please provide a clearly itemized one-page summary budget describing how all challenge grant funds--federal and nonfederal--would be expended. Where funds will be invested, the budget should show how anticipated annual revenues will be spent for the first ten years.

The Proposal Narrative

This the heart of the application. It is also the most demanding and individual section, and consequently the part most needing the counsel of staff at the drafting stage. Therefore, the generalizations offered here are valuable but limited.

The narrative should offer a full description of the state of humanities programs at the institution and of the plans for improving the study of the humanities and increasing the numbers of students, formal and informal. It should also present a financial picture of the organization, and project plans for raising federal matching funds to support needs in the humanities.

The criteria that will be applied in evaluating applications should be closely observed by those preparing applications. Indeed, a well-organized application will address each standard in turn:

1. The improvement in the study of the humanities offered by this application is significant, and its lasting value seems commensurate with the amount of money requested.
2. The application offers a full and honest assessment of the state of the humanities in this context and proposes reasonable solutions for the problems and difficulties cited.
3. The needs in the humanities, the related financial needs, and the need for NEH funding are persuasively demonstrated in the application.
4. The fund-raising plan is persuasive and likely to continue producing funds that will benefit the humanities beyond the grant period.

5. (APPLICATIONS FOR A SECOND-TIME AWARD ONLY) The first award amply fulfilled the purposes of the grant and the program, and the need for a second award is documented in the application.

The Endowment does not stipulate a specific length for the narrative, but it should be noted that many excellent applications are no longer than twenty double-spaced pages. It follows that a narrative of thirty double-spaced pages is probably longer than necessary. Statistical and other supporting materials should be relegated to appendices.

The proposal must include, in an appendix if desired, a paragraph describing pertinent NEH or humanities state council grants to the institution and any pertinent pending NEH applications. If the applicant has held an NEA challenge grant, there should be a brief description of work accomplished with that grant. If the applicant has applied for or has received a Department of Education Title III grant for Developing Institutions, the differences between the Title III grant and the NEH challenge request must be explained.

Current Operating Budget

Attached to each copy of the proposal narrative should be a copy of the current operating budget as approved by the trustees and governors. If this document is unusually long or cumbersome, a suitable abstract is appropriate.

Lists of Trustees and Staff

A list of the institution's board of governors or trustees with their professional affiliations and a list of staff and faculty members principally involved with the challenge grant, indicating their professional qualifications, should be attached to each copy of the proposal.

Most Recent Audited Financial Statements

Endowment staff review the official audits for the two most recently completed fiscal years. Furthermore, these audits are available for panelists to review when they meet in Washington to discuss applications. The audits should be submitted in the application package but should not be attached to any of the other documents.

Resume of Project Director

The project director should be the person primarily responsible for implementing the humanities activities described in the proposal narrative. The resume, which should be an appendix to the application, should demonstrate training and experience in the humanities appropriate to the activities described.

Letter from the State Historic Preservation Office

Applicants requesting support for the construction of a free-standing structure, for building renovations, or for additions to buildings of any age are required to consult with their state historic preservation officer to determine if a property or site is listed (or is eligible for listing) in the National Register of Historic Places.

The opinion of the preservation officer about whether or not the property is eligible for listing in the National Register should be forwarded to the Endowment as an appendix to the application. If it is determined that a property is eligible for listing, the applicant should also forward the written comments of the preservation officer as to the proposed project's effect on the building or site according to the guidelines set forth in the Secretary of the Interior's "Standards for Rehabilitation and Guidelines for Rehabilitating Historic Buildings." A description and/or map of the property, architectural plans, and any other such documents suggested by the preservation officer should be included in the supporting materials. A letter of support for the project from the state historic preservation officer does not meet the requirement for a letter commenting on the effect of the renovation, addition, or new construction.

If an award is made, the Endowment will provide this information for review to the Advisory Council for Historic Preservation to satisfy the agency's responsibility under Section 106 of the National Historic Preservation Act of 1966 (16 USC 470f) as amended.

The IRS Determination Letter

If a nonprofit organization or institution holds letters from the U.S. Internal Revenue Service declaring the institution or organization exempt from certain types of taxes, a copy of that letter should be included with the application package.

Supplementary Materials

Applications should contain adequate information about the institution and its humanities programs to enable panelists to reach confident decisions. If printed materials would be helpful to this end, they may be submitted in single copies with the ten copies of the proposal.

What Are the Chances?

In the 1986 cycle the Endowment offered forty-one awards from among 209 applications (20 percent). Over the past ten years 61 percent of the institutions and organizations that did not receive an offer in response to a first application have competed successfully in subsequent cycles.

Common Pitfalls

These are the most common reasons applications fail to receive awards:

- The solution proposed for the humanities problems described does not represent the best possible use of these funds.
- The plans for humanities programs are not sufficiently developed for an assessment of their quality to be made.
- The programs described do not include the participation of appropriately qualified humanities personnel.
- Funds to be raised will replace operating funds currently used for humanities programs, and so an award would not help to increase support for the humanities.
- The application confuses the humanities with the fine and performing arts or with current affairs programming.
- The proposal contains insufficient information about the substance, rigor, and standards of humanities programs.
- The fund-raising plan is not persuasive.
- For an application for a second-time award, no compelling case is made for a second-time award based on the experience of the first.

The Next Move

If any of the foregoing prompts any thought that an application might be a possibility, please call or write the staff in the Office of Challenge Grants. A preliminary letter is a particularly good way to initiate discourse, since the written form offers opportunities for detail and exact expression denied by the brevity and informality of a telephone call. A document of this sort will often become the basis for a draft proposal at a later date. Potential applicants may also want to phone for an appointment with a staff member to discuss the preparation of an application.

SPECIAL ENDOWMENT INITIATIVES

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

THE FOUNDATIONS OF AMERICAN SOCIETY

Within its existing programs, the Endowment continues to encourage study, research, and discussion about the history, culture, and principles of the American founding, an emphasis that began with the NEH initiative on the bicentennial of the U.S. Constitution. Proposals may deal directly with the events and achievements of the founding, including the ratification of the new Constitution, the establishment of the federal government, and the works of philosophy, politics, literature, and art that were produced during this founding period; they may also treat later events, achievements, and works that have resulted or developed from the founding or that reflect or respond to its concerns and principles.

THE COLUMBIAN QUINCENTENARY

As part of the international observance of the 500th anniversary of Christopher Columbus's voyage of discovery to the New World, NEH invites proposals for original scholarship on related topics and for the dissemination of both new and existing scholarship. Topics may include the expansion of European civilization through the efforts of the Spanish and Portuguese crowns; the establishment of new societies and new forms of cultural expression through encounters among native American, European, and African peoples; and the ideas--political, religious, philosophical, scientific, technological, and aesthetic--that shaped the processes of exploration, settlement, and cultural conflict and transformation set into motion by Columbus's momentous voyage.

EQUAL OPPORTUNITY

The Code of Federal Regulations, Title 45, Part 1110, implements provisions of Title VI of the Civil Rights Act of 1964, and along with Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, provides that the National Endowment for the Humanities is responsible for ensuring compliance with and enforcement of public laws prohibiting discrimination because of race, color, national origin, sex, handicap, and age in programs and activities receiving federal assistance from the National Endowment for the Humanities. Any person who believes he or she has been discriminated against in any program, activity, or facility receiving federal assistance from the Endowment should write immediately to the director, Office of Equal Opportunity, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.

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

HANDICAPPED ACCESSIBILITY

Institutions receiving Endowment support must conduct their operations in accordance with section 504 of the Rehabilitation Act of 1973 prohibiting discrimination against the handicapped: "No otherwise qualified handicapped individual in the United States . . . shall, solely by reason of his handicap be excluded from the participation in, denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance" (PL 93-112) (29 U.S.C. 794). At the time challenge grants are offered, recipient institutions that have not already done so will be required to sign an assurance of compliance with the regulations governing the administration of this provision (45 CFR 1170), including the requirement that facilities proposed for capital improvements will accommodate the handicapped.

DAVIS-BACON ACT

Challenge grant recipients are required by law to furnish assurances to the Secretary of Labor that all laborers and mechanics employed by contractors or subcontractors on Endowment-supported construction projects shall be paid wages at rates that are not less than those prevailing on similar construction in the locality, as determined by the Secretary of Labor in accordance with the Davis-Bacon Act, as amended, 40 U.S.C. 276a-276a-5. Additional information is available by contacting the U.S. Department of Labor, Wage and Hour Division, Division of Contract Standards and Operations, 200 Constitution Avenue, N.W., Washington, D.C. 20210.

APPLICATION CHECKLIST

1. Ten copies of the application package, each copy including, in this order,
 - a) the application cover sheet (original signed by authorizing official);
 - b) a table of contents;
 - c) the one-page institutional fact summary;
 - d) the financial summary;
 - e) a one-page summary budget for the proposed use of all federal challenge funds and matching gifts;
 - f) the proposal narrative (double-spaced);
 - g) a copy of the current operating budget;
 - h) resume of project director;
 - h) lists of trustees and staff.
2. Single sets of audited financial statements (including opinion and notes) for each of the two most recently completed fiscal years.
3. One copy of the Internal Revenue Service determination letter establishing the institution's or organization's nonprofit status.
4. Two additional copies of the cover sheet.

CHALLENGE GRANTS TIMETABLE

<u>December 1, Previous Year</u>	Date from which advance fund raising may occur
<u>March 16, This Year</u>	Date by which draft application should be sent to program staff for counsel
<u>April 1, This Year</u>	Date by which applicants should notify the Endowment by card of their intent to apply
<u>May 1, This Year</u>	Postmark deadline for sending formal applications to the Endowment
<u>November This Year</u>	National Council on the Humanities meets to review applications
<u>December 1, This Year</u>	Notification of awards; upon receipt of certification, beginning of release of federal funds
<u>July 31, Next Year</u>	Date by which grant recipients must complete certification for the first year's offer and file the first annual report



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