



National
Endowment
for the
Humanities

Division
of
Research
Programs

Guidelines and
Application Forms

Centers For Advanced Study

**Centers for Advanced Study
National Endowment for the Humanities
Room 318
Washington, DC 20506
202/606-8210**

TIMETABLE

August 1	Date by which applicants desiring staff comment should send draft proposals
October 1	Postmark deadline for sending formal applications to the Endowment
June, the following year	Notification of awards
July 1	Earliest suggested starting date for grant period

APPLICATION CHECKLIST

1. Twelve copies of the application package, each copy including, in the following order:
 - ___ a) Application Cover Sheet (one copy with the original signature of the authorizing official)
 - ___ b) Table of Contents
 - ___ c) Narrative Description (limited to 25 or fewer double-spaced pages)
 - ___ d) Proposed Budget
 - ___ e) Appendices
 - ___ f) Statement of History of Grants
- ___ 2. Three additional copies of the application cover sheet.

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GENERAL INFORMATION

The National Endowment for the Humanities

The National Endowment for the Humanities is an independent federal agency established by Congress in 1965 to support research, education, and public projects in the humanities.

The Endowment supports work in the humanities through programs administered by six divisions—Education Programs, Fellowships and Seminars, Preservation and Access, Public Programs, Research Programs, and State Programs—and by the Office of Challenge Grants.

The Humanities

In the act that established the Endowment, 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.

Work in the creative or performing arts—such as writing of fiction or poetry, painting, sculpting, composing or performing music, 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. Critical, historical, and theoretical studies of the arts, however, are eligible for NEH support.

Presidential Directives

The National Endowment for the Humanities participates in two government-wide Presidential Directives. Executive Order 12677 was promulgated in 1989 in order to help strengthen and ensure the long-term viability of the nation's Historically Black Colleges and Universities, and Executive Order 12729 was issued by the White House on behalf of educational excellence for Hispanic Americans. The NEH encourages applications that respond to these Presidential Directives.

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 subject or event. Proposals are currently solicited for the following initiative:

The Emergence of Democracy. In commemoration of the 2500th anniversary of the birth of democracy and in recognition of the spread of democratic institutions in our own time, the Endowment invites projects that focus on democracy, its origins and development, as well as its recent growth around the world. The collapse of the Soviet Union has created a renewed interest in—and greater opportunities for—the study of the history and culture of countries in that part of the world that have recently established democratic institutions. At the same time, the trend toward democracy in Latin America, as well as democratic movements in Asia and Africa, make the emergence of democracy a timely topic for research, educational, and public projects in the humanities.

The Endowment encourages projects that focus on the history and philosophy of democracy, on the historical and cultural contexts of emerging democracies and democratic movements around the world. The Endowment also encourages projects that make use of libraries, archives, and scholars inaccessible under previous regimes.

Applications responding to Endowment initiatives should be submitted to regular Endowment programs and will be judged according to the criteria stated for those programs.

CENTERS FOR ADVANCED STUDY

This program makes grants in support of fellowship programs administered by research libraries and museums, American research centers overseas, and other independent centers for advanced study. The fellowships awarded by each center enable individual scholars to pursue their own research for periods ranging from six to twelve months and to participate in the interchange of ideas among the center's scholars. In assessing an application from a center, the Endowment emphasizes the intrinsic importance of the work to be undertaken, the relation of this work to the center's collections and other resources, the quality and productivity of the center's previous

fellows, and the degree to which arrangements at the center promote collegial exchange. A fundamental consideration in the awarding of funds to a center is the advantage to scholars of working collegially at the center in contrast to working individually at separate locations. Endowment funds awarded in this program may be used only to support fellowship stipends and standard allowances, costs of publicizing the availability of the NEH fellowships, and costs of selecting the fellows.

Individual scholars interested in pursuing research at any of the centers receiving Endowment support should apply directly to the centers themselves. A list of currently funded centers is available from the Endowment on request.

Eligibility

Centers for advanced study that are nonprofit, tax-exempt institutions and are financed, governed, and administered independently of institutions of higher education are eligible for funding. Because the purpose of the Endowment's support is to enhance existing fellowship programs, eligibility is limited to centers that have established fellowship programs with their own or other private funding and that are prepared to offer fellowships for periods of six to twelve months.

All applicants are encouraged to correspond with the Centers for Advanced Study program staff early in their planning about questions of eligibility. Applicants should also bear in mind that eligibility does not ensure that an application will be competitive in the review process.

To be eligible to receive NEH funding, applicants must have obtained tax exempt status from the Internal Revenue Service. 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.

What the Centers for Advanced Study Program Does Not Support

The Centers for Advanced Study Program does not provide support for fellowships for

research undertaken in the pursuit of an academic degree;

the preparation of textbooks;

projects that focus on pedagogical theory, research in educational methods, tests, and measurements, or cognitive psychology;

projects that are directed at persuading an audience to a particular political, philosophical, religious, or ideological point of view, or that advocate a particular program of social action or change, and projects that examine controversial issues without taking into account competing perspectives.

Conditions Governing NEH Fellowships at Centers

1. Eligibility for NEH Fellowships at Centers

NEH fellowships are for persons who have already completed their formal professional training. Consequently, degree candidates and persons seeking support for work in pursuit of a degree are not eligible to apply for NEH fellowships at centers for advanced study. Foreign nationals are not eligible to apply unless they have lived in the United States for the three years immediately preceding the application deadline for the fellowship. Centers must give all eligible applicants equal consideration; they may not restrict applications to members of a scholarly organization or to persons affiliated with institutional members of a scholarly organization. Centers may not require an administrative or application fee. Centers may not accept applications from any officer, employee, member of the board of trustees or advisers, selection committee member, or officer, employee, or board member of a parent organization until at least one year has elapsed since the person's last service in such a position.

2. Publicity

Centers should publicize the NEH fellowships and their application procedures clearly and effectively so that all qualified potential applicants may learn of the full range of fellowship opportunities.

3. Selection Procedures

Each center should ensure fair and informed selection of recipients of NEH fellowships. Staff, officers, board members, and trustees of centers may not serve as voting members on committees that select NEH fellows. The same restrictions apply to staff, officers, and trustees of umbrella organizations. In awarding an NEH fellowship, a center must give preference to persons who have not held any long-term fellowships (six months or more) within the three years preceding the period during which the NEH fellowship will be held.

4. Fellowship Tenure

Fellowship tenure must be continuous and last from six to twelve months.

5. Stipends

Stipends and allowances for NEH fellows are determined in accordance with a center's usual practices, although the maximum amount that may be awarded to a fellow from NEH funds is \$30,000. The maximum stipend of \$30,000 is applicable to any six-to-twelve-month period. A center may supplement the stipend from its own funds, but in no case may the total amount that a fellow receives exceed his or her salary for the portion of the academic or calendar year equivalent to the tenure period of the fellowship, except for customary allowances for travel and other research expenses.

6. Other Benefits and Services to Fellows

Centers must grant NEH fellows all benefits, services, and accommodations normally accorded other fellows.

7. Reports on the Selection Process

After the completion of each fellowship competition and the award of fellowships, the center must provide the Endowment with a full report on its competition, from publicity campaign to selection of fellows. In particular, the center must provide:

a) copies of printed material used to publicize the availability of NEH fellowships at the center;

b) a description of the audience at which the publicity was aimed and a list of the journals, newsletters, institutions, and organizations to which publicity materials were sent;

c) a detailed account of the procedures used to select fellows, including the names, institutions, and fields of the people who reviewed the applications; and instructions and criteria of selection supplied to reviewers;

d) a list of the NEH fellows selected, annotated with the fellows' fields or departments, their institutions, and a brief description of the fellows' projects; and full applications, including résumés, project proposals, tenure periods, and stipend amounts;

e) a comparative statistical analysis of the NEH fellows and the group of applicants eligible for NEH fellowships by field, type of institution, academic rank, and geographical distribution; and

f) a comparison of the fellows and eligible applicants with the previous year's fellows and eligible applicants and an analysis of any discernible statistical trends in recent years or sudden changes from the previous year.

NEH staff members will regularly review reports on the selection procedures and on occasion may attend the meetings at which NEH fellows are chosen to observe the proceedings.

8. Acknowledgment of Endowment Support

Centers are expected to include an acknowledgment of the support of the National Endowment for the Humanities in all its publications that result from or pertain to the use of the grant funds. This requirement includes materials prepared by the center to advertise the availability of fellowships at the center, materials that describe the procedures for the selection of fellows, announcements of fellows selected, and reports on the substantive work accomplished by NEH fellows. Persons supported in whole or in part by NEH funds must be so identified, even when other sources of funding are involved. In addition, centers are expected to insure, unless advised otherwise, that all scholarly articles, books, and other publications resulting from work conducted at the center by NEH fellows contain an acknowledgment of NEH support.

9. Publications by NEH Fellows at Centers

A center should list in its annual reports to NEH all books, articles, and monographs appearing during the year being reported that were prepared at the center by NEH fellows supported under the current grant or previous grants and should provide NEH's Division of Research Programs with one copy of all such books, articles, and monographs.

10. Responsibilities of NEH Fellows at Centers

Fellows must devote full time to their fellowship studies and may not accept teaching assignments or undertake any other major activities during the tenure of their fellowships. At the end of their tenure, NEH fellows must submit final reports on their activities and accomplishments to NEH's Division of Research Programs.

The Review Process

Each application to the National Endowment for the Humanities is carefully assessed by knowledgeable persons outside the Endowment 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. The judgment of panelists in the Centers for Advanced Study Program normally is supplemented by individual site visit reports or reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the applications under review. The questions listed in the following section are the criteria used in the evaluation.

The advice of the panels and site visitors or outside reviewers 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 presented 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 four times each year to advise the Chairman of the Endowment. 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.

Questions for the Review of Applications

- o How important has previous work conducted at the center been for the advancement of thought and knowledge in the humanities?
- o How are the areas in which fellowships will be given related to the center's resources and to the advancement of research in the discipline or disciplines involved?
- o How effective are the direction and administration of the fellowship program? How effective is the publicity for the competition for fellowships? How expert and equitable is the process of selecting the fellows?
- o What is the overall quality of the center's past and present fellows?
- o What are the quality and scope of the resources, facilities, and services available to the fellows for their work?
- o In what ways will the arrangements at the center promote collegial exchange?

Preliminary Proposal

At least two months before the October 1 application deadline centers planning to apply are urged to submit a draft of the narrative and budget sections and the appendices of the proposal. This preliminary step will permit the staff of the Endowment to assess eligibility, advise on the preparation of the application, call or write the applicant about the proposal, and, if appropriate, arrange a site visit to the center to take place after the formal application has been submitted. Staff responses to preliminary proposals are not a part of the formal review process, which normally begins with a site visit.

Other Programs of the Research Division

Interpretive Research grants support long-term collaborative projects and conferences designed to advance the state of research on topics of major importance; significant archaeological excavations and publications worldwide; and projects that apply

humanities to subjects in science, technology, and medicine. For **Collaborative Projects and Humanities, Science, and Technology**, the application deadline is October 15 for projects beginning on or after July 1 of the following year. For **Archaeology**, the application deadline is October 15 for projects beginning on or after April 1 of the following year. For **Conferences**, there are two annual application deadlines for sponsoring organizations: January 15 for projects beginning on or after October 1, and July 15 for projects beginning on or after April 1 of the following year.

Scholarly Publications grants support the preparation of authoritative and annotated editions of works and documents of value to humanities scholars and general readers; the translation into English of works that provide insight into the history, literature, philosophy, and artistic achievements of other cultures and that make available to scholars, students, teachers, and general readers the thought and learning of those civilizations; and the publication and dissemination of excellent books in all fields of the humanities. The application deadline for **Editions and Translations** is June 1 for projects beginning on or after April 1 of the following year. The application deadline for **Subventions** is March 15 for projects beginning on or after October 1.

Reference Materials grants provide support for projects that will facilitate research by preparing reference works that improve scholars' and researchers' access to humanities source materials. The application deadline is September 1 for projects beginning on or after July 1 of the following year.

International Research grants to national organizations and learned societies enable American scholars to pursue research in the United States and abroad on foreign cultures and to collaborate with foreign colleagues. The application deadline for sponsoring organizations is April 1 for projects beginning on or after January 1 of the following year. Each sponsoring organization has deadlines for individual applications. Individuals apply directly to sponsoring organizations.

The Division of Research Programs also reviews **Challenge Grant** applications intended to promote long-term improvements in the quality of an institution's research resources or programs in the humanities.

Further Information

Information on the programs of the Research Division is available from the

Division of Research Programs
Room 318
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506

Reference Materials and Challenge Grants: 202/606-8358.

Editions, Translations, and Publication
Subvention: 202/606-8207.

Interpretive Research, Centers for Advanced
Study, and International Research: 202/606-8210.

APPLICATION INSTRUCTIONS

The application will consist of six parts: a cover sheet, a table of contents, a narrative description of the center's program, a budget, appendices (including résumés, which may be provided in any format but should include pertinent information concerning an individual's education, experience, and other qualifications), and a statement of the history of any federal grants received by the center. Forms for the cover sheet and the history of grants are enclosed.

General Advice

All applications to the Endowment should present, in a clear, coherent manner, a sound intellectual justification for the proposal and an appropriate plan of work. Successful applications are usually free of jargon, clichés, pedantry, unsubstantiated claims, unnecessary repetition, and imprecise prose. Titles of projects should be brief, descriptive, and substantive. Proposal narratives should be limited to twenty-five or fewer double-spaced pages, with appendices used to provide appropriate illustrative material. Résumés should be concise and current.

Prospective applicants are advised to review carefully the list of questions (see p. 6) that evaluators of Centers for Advanced Study applications are asked to address. The issues raised in those questions should be addressed in the appropriate sections of the proposal. Applicants also are advised that it is preferable to follow the format outlined below.

Cover Sheet

The NEH Application Cover Sheet and instructions for completing it are included in this booklet.

Table of Contents

The table of contents should list the parts of the application, and the subdivisions within them, with page numbers.

Narrative Description

Centers may have much of the information requested in this section in their annual reports, auditors' reports, and brochures. Applicants should include such material and refer to it when preparing a detailed description that includes the following sections:

Nature of the Center. This section should contain clear and concise statements about the nature of the center and about the importance of the work done there for the advancement of thought and knowledge in the humanities. Applicants should describe the center's philosophy, purpose, history, and governance as well as the usual sources of funding; the size and scope of library holdings or special collections at the center or nearby institutions; the facilities available for study, research, and discussion (such as offices, computer equipment, word processors, typewriters, carrels, and common rooms); and any services that would be available to fellows (such as secretarial or research assistance, photocopying, meals, and housing or housing assistance).

Nature of the Fellowship Program. Applicants should describe the history, purpose, scope, and focus of the center's fellowship program. This description should include information about any special fields of interest on which the fellowship program focuses and any particular mix of fellows that the center attempts to achieve. Applicants should describe the activities

of the fellows from several recent years, reporting on their research and their informal and structured collegial activities.

To this section the applicant should append lists of all fellows, their fields, and their home institutions for the current year and for at least the two preceding years. This list should distinguish long-term (six- to twelve-month) from short-term (one- to five-month) fellows. Applicants for renewal grants should identify the NEH fellows on the list. The applicant should also append a comparative statistical analysis of the applicant pool and the resulting awards for the current year and each of the two preceding years, including an explanation of any significant trends and a statement of any efforts that the center is making to influence the trends. Fields of study, types of institution, academic rank, and geographical distribution are the most important general categories of analysis. In addition, the applicant should include in the appendices a bibliography with full citations of books and articles that are attributable to previous fellowships. Those attributable to NEH fellowships should be so designated.

Because one of the purposes of the Endowment's support for fellowships at centers for advanced study is to encourage collegial exchange, applicants should describe the publicity methods used by the center to attract scholars with related interests; they should append lists of publications, organizations, and other institutions receiving announcements as well as copies of announcements and posters used to publicize the program. Applicants should also address the ways in which the center nurtures collegiality among the scholars once they are in residence. This would be an appropriate place to describe the centers' seminars, colloquia, "brown-bag talks," and any other devices by which the center seeks to foster intellectual interaction.

Applicants must provide full details on the selection process, including a description of the procedures and schedule; the selection criteria; a list of members of the selection committee, rating panel, or slate of outside reviewers; a statement of the guidance, instructions, and selection criteria provided persons who take part in the selection of fellows; copies of form letters used in responding to inquiries from potential applicants; and application forms and instructions. Applicants should describe the criteria by which members of selection committees themselves are chosen and the years of service for which they are retained. In particular, applicants should

describe the kind of balance they try to achieve in their committees with respect to discipline, institutional and geographical diversity, and other factors. Lists of committee members who chose the fellows for the current year and the two preceding years, annotated as to discipline, institutional affiliation, and academic rank, should be appended.

Applicants should also list the stipend amounts and lengths of tenure of the fellowships offered by the center. Applicants should explain whether they offer a set amount for fellows' stipends, match salaries, respond to budgets submitted by fellows, or use some other method to determine the stipends. Applicants should also note whether stipends are offered for living expenses only or include amounts to defray travel expenses.

The kinds of reports requested from fellows should be described as should the results of the most recent assessment of the value to the fellows of the center's program. Copies of NEH fellows' reports for the preceding three years should be appended. Institutions that have not had NEH fellows should attach reports from their long- or short-term postdoctoral fellows.

In this section, applicants should also provide an annual budget for their complete fellowship program, including funds budgeted from the center's own resources and from other sources. This budget should be divided into categories of expenses similar to those in the NEH budget described below, and it should clearly distinguish long-term from short-term fellowships. If the center's program now operates with the support of an Endowment grant, the applicant should list separately the funding for the NEH fellowship program (consisting of NEH outright and matching funds as well as the gifts used to release the matching funds). In addition, the applicant should provide information about the extent to which the center can continue its fellowship program without NEH funding. For example, the applicant should describe what reductions in numbers of fellows in the humanities and length of tenure would be necessary without NEH support.

Center Staff. Applicants should identify the permanent professional staff and faculty at the center and should explain the extent to which they will be directly involved in the fellowship program. Brief résumés for the director of the center and the principal staff or faculty members involved in the fellowship program should be included in an appendix.

Future of the Fellowship Program. Applicants should describe any proposed changes in the center's focus, interests, purposes, scope, structure, or mix of fellows and should explain how these changes will increase the importance of the work done at the center. Any changes in the number of fellows (Endowment-supported and other fellows) or stipend levels needed to achieve the center's purposes should also be explained.

Proposed Budget

The center should prepare a budget that includes all expenses charged to outright and matching funds from NEH as well as expenses that are charged to gifts from third parties that NEH is being asked to match. The budget should break these expenses down, year by year, into the costs of fellowship stipends, travel allowances, printing, postage, travel and per diem expenses for selection committee members, etc.

A sample budget is provided in the attachments to these instructions.

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 fund raising by the grantees.

Matching Funds: Matching funds, by contrast, require a grantee to secure gift funds from third parties before federal funds are awarded. Endowment matching grants are made 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.

Combined Funds: Applicants may also request a combination of outright and matching funds from the Endowment. For example, if a project will cost \$40,000, and the applicant expects to receive \$10,000 from an eligible third-party donor, the applicant should request \$10,000 in matching funds. The balance of the project's costs (\$20,000) may be requested in outright funds.

The Endowment may offer funding at a different level than that requested. In some instances, the Endowment 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 support is requested in the current application. All project activities and the expenditure of project funds, that is, grant funds and third party funds that are used to release federal matching funds, must occur during the grant period. Projects can include full- or part-time activities for periods of up to three years. Centers may request fellowship funds for periods of from one to three years; if funds are requested for fellowship publicity and selection, the grant period should include adequate time for these activities.

Appendices

The appendices should be limited to supplementary but essential materials. These materials should include:

- a) résumés from the relevant members of the center's staff and faculty;
- b) lists of publications of previous NEH and other fellows. NEH fellows should be clearly identified as such, and full citations should be given for all publications;
- c) lists of fellows (NEH and other) for the current and at least the past two years, including disciplines and institutional affiliations of fellows;
- d) statistics on applications and awards as described above (pp. 8-9);
- e) lists of publications and addressees receiving announcements of fellowship programs;

- f) copies of publicity materials;
- g) lists of selection committee members who chose the fellows for the current and last two years; and
- h) copies of reports from fellows for the last three years.

Statement of History of Grants

Please complete the enclosed form with this heading.

Formal Submission

A checklist for assembling the final application is included at the front of this booklet.

Each copy of the application should be stapled or bound securely and assembled in the following order:

1. Cover Sheet
2. Table of Contents
3. Narrative Description
4. Budget
5. Appendices
6. Statement of History of Grants

Applicants should submit **twelve** copies of the application, including one copy with the original, signed cover sheet, along with three extra copies of the cover sheet. Applications may not be submitted to NEH by means of a FAX machine or via electronic mail. The complete application package should be mailed to:

Centers for Advanced Study
Division of Research Programs
National Endowment for the Humanities
Room 318
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506

Deadline

The complete application package must be postmarked no later than **October 1**. Receipt of the application will be acknowledged by postcard within four weeks after the application deadline. Applicants who do not receive such an acknowledgment should call or write the Endowment as soon as possible. The review of applications requires approximately nine months, and applicants are notified about the Endowment's decision early in June.

EEO 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, DC 20506. TDD (for hearing impaired only) 202/606-8282.

Where applicable, the Endowment encourages applicants to consider issues related to program as well as architectural accessibility in early planning stages of a project. Costs of exhibition and program accommodations for people with disabilities—for example, exhibition design fees, cassette recordings of printed materials, large print labelling, or sign language interpreters—are generally eligible project costs.

Alternate format publications concerning Endowment programs (i.e., audio tapes, larger print) are available upon request.

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.

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

INSTRUCTIONS FOR COMPLETING THE APPLICATION COVER SHEET

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is 27 hours per response. This estimate includes the time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete it, to the Assistant Chairman for Operations, National Endowment for the Humanities, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0099), Washington, DC 20503.

Block 1—Individual Applicant or Project Director

Item a. Enter the name and mailing address of the center staff member who will be chiefly responsible for the project.

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

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

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

Item d and Item e. Applicants for grants in the Centers for Advanced Study program need not complete these items.

Block 2—Type of Applicant

All applicants for grants in the Centers for Advanced Study category should be applying through an organization or institution. Item b has already been indicated on your form.

The **Type**, Center for Advanced Study, is preprinted on your form. Identify **Status** as either Private Nonprofit or Unit of State or Local Government. Example: **Type:** Center for Advanced Study. **Status:** Private Nonprofit.

Block 3—Type of Application

Check appropriate type:

Item a. New—applicants requesting a new period of funding, whether for a new project or for a project previously funded by NEH, should check this box.

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

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 the Endowment's initiative described on p. 3, please indicate the number corresponding to the initiative in the space provided after Endowment Initiatives:

03D—Emergence of Democracy

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.

Block 6—Project Funding

Enter here the appropriate figures from the Project Budget that is part of your application.

Gift money that will be raised to release any federal matching funds should be listed in Block 6d as cost sharing.

Block 7—Field of Project

Indicate the category and code from the listing on the reverse side of the cover sheet to indicate the specific humanities field that best describes the content of the project.

Block 8—Descriptive Title of Project

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

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 applications 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 telephone number of the person who will be responsible for the financial administration of the grant if an 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 and ensuring compliance with the terms and conditions of the award—is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12—Certification

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

NEH APPLICATION COVER SHEET

OMB No.3136-0099

Expires: 6/30/95

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. Telephone number**Office: _____ / _____ Home: _____ / _____
(area code) (area code)**d. Major field of applicant or project director** _____
(code)**e. Citizenship:** _____ U.S.
_____ Other _____
(specify)**2. Type of applicant****a.** _____ by an individual **b.** ☒ through an org./institution
If a, indicate an institutional affiliation, if applicable, on line 11a.
If b, complete block 11 below and indicate here:**c. Type****d. Status****3. Type of application****a.** _____ new **b.** _____ supplement**4. Program to which application is being made**Centers for Advanced StudyEndowment Initiatives: _____
(code)**5. Requested grant period**

From: _____ To: _____

6. Project Funding

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

7. Field of project _____
(code)**8. Descriptive title of project****9. Description of project (do not exceed space provided)****10. Will this proposal be submitted to another government agency or private entity for funding? (If yes, indicate where and when):****11. Institutional data****a. Institution or organization:**

(name) _____

(city) (state)

b. Employer identification number: _____**c. Name of authorizing official:**

(last) (first) (initial)

(title)

d. Name and mailing address of institutional grant administrator:

(last) (first) (initial)

(city) (state) (zip code)

Telephone: _____ / _____ Form of address _____
(area code)**12. Certification.** By signing and submitting this application, the individual or the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes and implementing regulations, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities, as set forth in the appendix to these guidelines.

(printed name)

(signature)

(date)

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

For NEH use only

Date received

Application #

Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 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

Archaeology U6

Archival Management/Conservation I1

Arts/History and Criticism MA

Architecture: History & Criticism U3

Art: History and Criticism M1

Dance: History & Criticism M3

Film: History & Criticism M4

Music: History & Criticism M5

Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1

Journalism P4

Media P3

Education H1

Ethnic Studies K1

Asian American K5

Black/African-American K4

Hispanic American K3

Jewish K6

Native American K2

History A1

African A2

American A3

Ancient AC

British A4

Classical A5

European A6

Far Eastern A7

Latin American A8

Near Eastern A9

Russian AA

South Asian AB

Humanities U8

Interdisciplinary U1

African Studies GI

American Studies G3

Area Studies GH

Asian Studies G5

Classics G7

Folklore/Folklife R1

History/Philosophy of Science,
Technology, or Medicine GA

International Studies GG

Labor Studies G4

Latin American Studies GJ

Medieval Studies G8

Regional Studies GF

Renaissance Studies G9

Rural Studies GC

Urban Studies G2

Western Civilization GB

Women's Studies G1

Languages C1

Ancient CC

Asian CA

Classical C2

Comparative C9

English CE

French C3

German C4

Italian C5

Latin American C6

Near Eastern CB

Slavic C7

Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK

American DE

Ancient DC

Asian DA

British DD

Classical D2

Comparative D9

French D3

German D4

Italian D5

Latin American D6

Literary Criticism DI

Near Eastern DB

Slavic D7

Spanish D8

Museum Studies/Historic Preservation I2

Philosophy B1

Aesthetics B2

Epistemology B3

Ethics B4

History of Philosophy B5

Logic B6

Metaphysics B7

Non-Western Philosophy B8

Religion E1

Comparative Religion E5

History of Religion E2

Non-Western Religion E4

Philosophy of Religion E3

Social Science U2

American Government F2

Economics N1

Geography U7

International Relations F3

Political Science F1

Psychology U5

Public Administration F4

Sociology SI

SAMPLE BUDGET

I. Outlays (by year of expenditure)

	1993-94	1994-95	Totals
Direct payments to fellows			
Fellowship stipends		\$58,000.00 [2]*	
Travel allowances		<u>2,000.00</u>	
		60,000.00	
Publicity			
Printing	1,000.00		
Postage	<u>1,200.00</u>		
	2,200.00		
Selection			
Travel of five committee members	1,500.00		
Per diem for same for two days	750.00		
Duplication of applications	<u>40.00</u>		
	2,290.00		
Total outlays			
Direct payments to fellows			60,000.00
Publicity and selection			<u>4,490.00</u>
			64,490.00

II. Funding

NEH Outright funds	30,490.00
NEH Matching funds	17,000.00
Gifts	<u>17,000.00</u>
Total Funding	64,490.00

* Indicate in brackets the estimated number of NEH fellowships to be funded.

STATEMENT OF HISTORY OF GRANTS

If the center has received previous support from any federal sources, including the Endowment, in the five years preceding this application, please list below the sources of these funds as well as the date and total dollar amount of each contribution. If the center has had a long history of support, the sources and contributions may be grouped and summarized so that the list will not exceed one page.

GRANTEE RESPONSIBILITIES

If funding is approved by the Endowment, the grantee will be responsible for insuring that the grant is administered in accordance with the following grant provisions:

- o 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. (A checklist of the basic financial management standards for nonprofit organizations is available from the NEH Grants Office, Room 310, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506.)
- o All commitments and obligations of grant funds and cost-sharing contributions are to occur during the grant period.
- o Project activities are to be carried out in accordance with the workplan provided in the approved application. The following changes require written approval in advance from the Endowment:
 - o Changes in the project's focus or scope;
 - o Major adjustments in the budget; and
 - o The replacement of the project director, the codirector, or other project personnel specifically named in the award notice.
- o Interim performance reports are required and should provide detailed and thorough descriptions of the project's activities and progress.
- o Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.
- o Unless advised to the contrary, all materials publicizing or resulting from grant activities shall contain an acknowledgment of NEH support.
- o The grantee shall be directly responsible for the administration and supervision of the project.

- o Grantee organizations receiving \$25,000 or more in federal awards during their fiscal year are required to have an audit performed that meets the requirements of either OMB Circular A-133, "Audits of Institutions of Higher Education and Other Nonprofit Organizations" or OMB Circular A-128, "Audits of State and Local Governments." Copies of these circulars may be obtained from the NEH Grants Office.

ELIGIBLE GIFTS AND DONORS

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

Both restricted gifts (gifts that are given specifically in support of a project) and unrestricted gifts (gifts that may be used at the recipient's discretion) are eligible to be matched if they are donated 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 gift 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 institution or individual who is involved in project activities and who will receive some sort of remuneration from project funds. To avoid any possibility of conflict of interest, a gift should not be used to release federal matching funds when there is the appearance that the donor might benefit in any way by giving a gift to a particular project.

Appendix

Instructions for the Certifications

General Requirements

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Institutional applicants are required to certify that they will comply with the nondiscrimination statutes 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 the failure to pay an obligation or debt by the date specified in the agency's initial written notification or applicable contractual agreement, unless other satisfactory payment arrangements have been made by that date, or if at any time thereafter, the debtor fails to satisfy the obligation under a payment agreement with the agency.

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

Debarment and Suspension

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

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

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals 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 the purpose of this certification a "regularly employed officer or employee of the applicant" is one who is employed by the applicant for at least 130 working days within one year immediately preceding the date of the submission that initiates Endowment consideration of the applicant for receipt of a grant or cooperative agreement.

Certifications

1. Certification Regarding the Nondiscrimination Statutes 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.

R93-4

Approved by OMB
0348-0046

Approved by OMB
0348-0046

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: _____	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known: _____	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ _____	
<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> 10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI): </div> <div style="width: 48%;"> b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): </div> </div> <p style="text-align: center; font-size: small;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>		
11. Amount of Payment (check all that apply): \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	13. Type of Payment (check all that apply): <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____	
12. Form of Payment (check all that apply): <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11: <p style="text-align: center; font-size: small;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>		
15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes <input type="checkbox"/> No		
16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
Federal Use Only:		Authorized for Local Reproduction Standard Form - LLL

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____

**National Endowment for the Humanities
Division of Research Programs
Room 318
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506**



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