

N A T I O N A L

E N D O W M E N T

F O R T H E

H U M A N I T I E S

*Division of Research and Education Programs*

Education  
Development  
and  
Demonstration

APPLICATION DEADLINES:  
October 15 and April 15

*This booklet contains the guidelines and application forms necessary to apply for Humanities Focus Grants and National Education Projects. These forms may be photocopied for use by more than one person.*

## DEADLINES FOR EDUCATION DEVELOPMENT AND DEMONSTRATION APPLICATIONS

	Apply	Projects Beginning
<b>Humanities Focus Grants</b>	April 15, 1999 April 15, 2000	September 1999 September 2000
<b>National Education Projects</b>	October 15, 1998 October 15, 1999	May 1999 May 2000
<b>Schools for a New Millennium</b> (guidelines and application forms under separate cover)		
Planning Grants	April 1, 1999	September 1999
Implementation Grants	October 1, 1999 October 1, 2000	May 2000 May 2001

### Mail Application to:

Education Development and Demonstration Program  
Division of Research and Education  
National Endowment for the Humanities  
Room 318  
1100 Pennsylvania Avenue, NW  
Washington, DC 20506

Education Development and Demonstration Program  
Telephone: 202/606-8380  
E-mail: [education@neh.gov](mailto:education@neh.gov)

NEH information and forms are also available on the  
World Wide Web at <http://www.neh.gov>.

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OMB No. 3136-0134  
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## **Customer Service Standards**

### **In assisting you as a prospective applicant, you can expect us to:**

- respond courteously and quickly to your requests for information about our grant programs;
- be able to describe the programs that best suit your needs;
- provide application instructions and forms that are clear and easy to use;
- offer prompt and thoughtful advice and guidance in preparing your application;
- explain accurately the procedures that would be used to evaluate your application and tell you when you could expect a decision.

### **In assisting you as an applicant, you can expect us to:**

- ensure that the evaluation of your application is fair, expeditious, and informed by the expert judgments of your peers;
- notify you promptly of the decision on your application;
- provide substantive reasons for the decision reached on your application;
- give you helpful advice, if you are unsuccessful, on revising or resubmitting your application.

### **In assisting you as a grantee, you can expect us to:**

- provide you with an award document that is clear and easy to understand and that sets forth sensible reporting requirements;
- provide the names of our staff members who will serve as contacts for your reports and for any assistance you may need;
- answer promptly and satisfactorily all requests for information on NEH policies and procedures;
- read and acknowledge promptly your reports on grant activities;
- maintain a professional, helpful relationship with you as you carry your project to completion.

## THE NATIONAL ENDOWMENT FOR THE HUMANITIES

In order "to promote progress and scholarship in the humanities and the arts in the United States," Congress enacted the National Foundation on the Arts and the Humanities Act of 1965. This act established the National Endowment for the Humanities as an independent grant-making agency of the federal government to support research, education, and public programs in the humanities.

### The Humanities

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

### Organization of the Endowment

Grants are made through three divisions (Preservation and Access, Public Programs, and Research and Education Programs) and two offices (Challenge Grants and the Federal/State Partnership).

### Presidential Directives

The National Endowment for the Humanities participates in three government-wide Presidential Directives. Executive Order 12677 mandates federal efforts to help strengthen and ensure the long term viability of the nation's Historically Black Colleges and Universities, Executive Order 12729 mandates federal efforts on behalf of educational excellence for Hispanic Americans, and Executive Order 13021 mandates increased accessibility of federal resources for Tribal Colleges and Universities. The NEH encourages applications that respond to these Presidential Directives.

## WELCOME TO THE NATIONAL ENDOWMENT FOR THE HUMANITIES

*"Democracy demands wisdom  
and vision in its citizens"*

*--National Foundation on the Arts  
and the Humanities Act of 1965.*

*Supported projects may apply new electronic technologies to provide excellent humanities teaching and learning to various student audiences.*

## **DIVISION OF RESEARCH AND EDUCATION EDUCATION DEVELOPMENT AND DEMONSTRATION PROGRAM**

The Education Development and Demonstration Program of the Division of Research and Education provides grants to schools, colleges, universities, libraries, museums and other cultural institutions to improve humanities education in the United States. The program supports teachers and educational institutions at all levels in exemplary efforts to engage students in sustained, thoughtful study of the humanities. Such study is the foundation for understanding important contemporary issues and enduring questions of human existence. History, literature, languages, ethics, philosophy, and other humanities disciplines introduce students to the riches of human thought and imagination and to the complexity of cultural expression in this country and worldwide. The humanities raise issues that are central to life in a democratic society and provide resources for engaging these issues with intelligence and wisdom.

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

To enable teachers in the United States to meet these challenges, the program supports projects that promise national significance by virtue of their content, approach, or reach. Supported projects may

- enable school teachers and college and university faculty to engage in collaborative study of important texts in the humanities and to explore how these may be taught effectively;
- make the humanities integral to the education of future teachers at all levels;
- foster effective, sustained study of second languages and their cultural contexts;
- apply new electronic technologies to provide excellent humanities teaching and learning to student audiences;
- help schools, colleges, and universities develop, revise, and

try out significant humanities programs, curricula, courses, and materials with close attention to how their students learn;

- encourage the wide dissemination of exemplary educational programs and materials;
- address other educational issues of national importance to the humanities.

### **A Special Opportunity: Schools for a New Millennium**

The goals of this initiative are to engage a critical mass of educators in a single school in sustained study of History/Social Studies, English/Language Arts, Government, or Foreign Languages; to help teachers master digital technologies to enrich students' knowledge and understanding in these fields; to translate this mastery into curricular improvements, which will eventually reach every child in the school; and to enlist the support of the wider community—parents, libraries, local businesses—in these reform efforts for the ultimate benefit of the students.

Guidelines and application forms for Schools for a New Millennium are available under separate cover; please contact the program for additional information.

## **EDUCATION DEVELOPMENT AND DEMONSTRATION** (use these guidelines and application forms)

### **Humanities Focus Grants**

A Humanities Focus Grant enables a group of teachers, faculty members, or other educators, normally from a school or college, to work together to explore an important humanities topic and to consider plans of action for their institution. These grants may support joint study involving outside experts or workshops on scholarly issues and related curricular questions. With a simplified application process and an expedited review cycle, these small, "next semester" grants allow educators to consider substantive questions and chart institutional directions in a timely way.

Humanities Focus Grants may support collegial study and exploration of humanities issues, topics, and materials. In the schools, Humanities Focus Grants can provide support for groups of eight to twenty teachers and administrators to meet regularly with outside scholars to pursue a planned schedule of intellectually challenging reading and discussion and to explore ways to integrate what they have learned into their teaching of the humanities, including history/social studies, English/language arts, and foreign languages. In institutions of higher education, Humanities Focus

*Humanities Focus Grants may support collegial study and exploration of humanities issues, topics, and materials.*

*Proposals involving school teachers and those aiming to enhance K-12 humanities education are especially encouraged.*

Grants enable groups of faculty to engage in rigorous collegial study with reference to larger institutional purposes or specific curricular issues.

Humanities Focus Grants also may support a further stage of collegial work: design and development of new institutional arrangements for humanities education. The grants may support opportunities for teachers to develop model content for applicable frameworks and standards; for college and university faculty to plan major changes in the humanities curriculum; and for schools and neighboring cultural and educational institutions to conduct joint humanities study projects for current and future teachers.

Proposals for Humanities Focus Grants must identify a coherent sequence of topics or issues to be explored and provide a detailed list of texts and materials to be considered. Projects must demonstrate a commitment from participating groups and individuals. Applicants should indicate the potential of their project to be nationally significant. Applicants who have received Humanities Focus Grants in the previous three years should demonstrate the effectiveness of their earlier work. Applicants who have already received Endowment support should describe how further support will enhance substantially the value of their project. New applicants are especially encouraged to apply.

### **National Education Projects**

Grants are also available to support larger education projects of national importance. Proposals may fall into one or more of the following three areas:

*Materials Development* projects focus on the creation of materials for national dissemination that will have a significant impact on humanities instruction. Such materials may use print or electronic formats, but do not ordinarily include textbooks. Projects may include the preparation of materials such as a set of sourcebooks or teaching guides that suggest strategies for reading and interpreting specific humanities topics, themes, and texts. Materials Development projects normally involve groups of teachers and scholars working in a collaborative fashion.

Projects may plan, design, or produce interactive educational software with excellent humanities content, or use other electronic technologies in the service of humanities teaching and learning. Projects involving computer technology should be designed to run on Windows and Macintosh operating systems. To ensure the long-term usability of digital materials, planning should provide for possible conversion to formats such as the World Wide Web and "DVD". They also may involve design and field testing of innovative classroom uses of the materials being developed. Proposals involving school teachers and those aiming to enhance K-12 humanities education are especially encouraged. Applicants should be as creative as possible in

using technology to enhance teaching and learning in a particular content area of the humanities.

*Curricular Development and Demonstration* projects typically bring faculty together within individual institutions or from cooperating schools, colleges, and universities to prepare, implement, and evaluate new or revised curricular changes that will serve as national models or pilot programs. Generally characterized by high visibility as well as long-range impact, these projects address broad issues central to the intellectual content and quality of humanities education. They incorporate excellent scholarship and devote careful attention to pertinent issues of teaching and learning in the humanities. Projects engage outstanding scholars and teachers as advisers, consultants, and evaluators. Curricular Development and Demonstration projects may last up to three years. Projects should include provisions for maintaining or expanding the results of the grant after the funding ends.

These projects may support preparatory faculty study as well as the development and trial implementation of courses, curricula, and effective instructional approaches at all levels of humanities education. They often involve collaboration among schools and institutions of higher education or organizations such as libraries or museums as well as regional and national consortia. The Endowment especially encourages projects in which humanities faculty, teacher educators, and school teachers collaborate to revise courses and curricula or coordinate efforts to improve the humanities education of future teachers.

In addition, Curricular Development and Demonstration projects may enable a broad range of school and college teachers to integrate specific technologically innovative humanities materials and approaches into their teaching and promote collaboration among teachers in distant institutions.

*Dissemination* projects extend the reach and impact of promising and significant new developments in humanities education. Projects may take various forms, including presentations, publications, workshops, conferences, visitor or mentor programs, and networks of collaborating institutions. Support for these efforts helps to ensure that students and schools across the nation benefit from the most promising developments in humanities education. Proposals should indicate the projects' national educational significance and should include plans to disseminate the results broadly to pertinent institutions and faculty throughout the country.

Projects that seek to disseminate humanities learning through national seminars and institutes should apply to Seminars and Institutes.

*Curricular Development and Demonstration projects may last up to three years. Projects should include provisions for maintaining or expanding the results of the grant after the funding ends.*

**G**rants are not intended to support the large-scale acquisition of computer equipment by schools or colleges; modest purchases of equipment intended for use in the project are allowed.

## Type of Projects NOT Supported

The Education Development and Demonstration Program welcomes projects that will help teachers and faculty to engage their students in substantive study of the humanities. All projects should address how specific humanities topics are best taught and learned. The Endowment does not, however, normally fund projects that deal solely with pedagogical theory or that are intended to improve writing, speaking, or thinking skills apart from a focus on specific humanities content. **Grants are not intended to support the large-scale acquisition of computer equipment by schools or colleges; modest purchases of equipment intended for use in the project are allowed.**

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

## Size and Scope of Awards

*Humanities Focus Grants:* Awards range from \$10,000 to \$25,000 in outright funds and normally span an academic year or year and a half. Funds may be used to pay for guest scholars and visiting consultants, for investigation of model programs, for books and other materials, for logistical support, and especially for released time so that participants have the time to read, think, write, and deliberate. Endowment grants may not be used to support grant-writing activities.

*National Education Projects:* The size of grants is consistent with such factors as the scope of the project and the number of participants; however, the Endowment seldom provides more than \$250,000 of outright funds toward the total cost of complex, multiyear projects. Projects may be designed for up to three years' duration. A significant commitment of cost sharing normally is required (See section, "Cost Sharing Requirements.") Funds are available for stipends for participation in intensive study workshops, for released time during the academic year, for administrative costs and necessary materials, and for travel and honoraria for visiting scholars.

## Eligibility

Any U.S., nonprofit, tax-exempt organization or institution dedicated to improving humanities education is eligible to apply to the Education Development and Demonstration Program. To be eligible to receive NEH funding, applicants must have obtained IRS tax-exempt status by the time funding decisions are made.

The program accepts applications from public and private schools, school systems, two- and four-year colleges, universities, college and university systems, libraries, museums, educational associations, professional organizations, research centers, state humanities councils, state and local governments, and educational and cultural consortia. Individuals without an institutional affiliation are not eligible for support. When two or more institutions or organizations collaborate on an application, one of them must serve as the lead applicant and administer the project on behalf of all the participating units. The program particularly welcomes proposals from educational institutions serving groups of Americans who historically have not had full access to educational opportunity.

### **Cost Sharing Requirements**

Applicant institutions are encouraged to participate in the support of project expenses. Cost sharing consists of the cash contributions made to the project by the applicant institution and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that may be raised to release federal matching funds. Except for Humanities Focus Grants, which do not require cost sharing, a minimum cost-sharing level of 15% of total project costs is expected for projects funded by the Education Development and Demonstration program.

### **Application Review Process**

Each Endowment application is assessed by knowledgeable persons outside the agency who are asked for their judgments about the quality and significance of the proposed project. About 650 scholars, professionals in the humanities, and other experts serve on approximately 125 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. In the Collaborative Research program the judgment of panelists is supplemented by individual reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the application under review.

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

*About 650 scholars, professionals in the humanities, and other experts serve on approximately 125 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds.*

## Evaluation Criteria

What Are the Criteria for Evaluating Applications? Applications for all Education Development and Demonstration grants are subject to three general criteria of evaluation: 1) intellectual quality, 2) quality of design, and 3) potential for significant impact. Within these three general criteria, more detailed questions are applied insofar as they pertain to the specific proposal under consideration.

### The intellectual quality of the project

- The intellectual rationale is clear and persuasive.
- The project engages significant humanities topics or texts.
- It draws on sound humanities scholarship.
- The proposed study plans are thoughtful and stimulating.
- The project addresses effectively the pertinent issues of teaching and learning in its content area.

### The quality of the project design

- The activities will achieve the goals of the project in thoughtful and creative ways.
- The activities are well planned and described in adequate detail.
- The personnel are well qualified to carry out their proposed responsibilities.
- The letters from scholars, other consultants, and prospective participants demonstrate interest and commitment.
- The plans for administration are sound.
- There is evidence of commitment and support among the participating institutions.
- The project will include appropriate and informative evaluation.

### The potential for significant results

- The project is likely to result in better humanities learning for American students.
- It will generate nationally significant resources and materials, serve as a pioneer or replicable model, or lead to extensive opportunities for enhanced humanities teaching and learning.
- The project budget is reasonable in view of the likely results.
- The project results will be disseminated to those who will find them most useful.
- The project's impact will extend beyond the period of the grant.

## Examples of Funded Projects

### Humanities Focus Grants:

Twenty faculty members at a community college aiming to diversify its humanities courses take part in twelve monthly seminar sessions and a curriculum development workshop to strengthen the college's offerings in Asian, African, Latin American, and Native American history and literature. Visiting scholars and local guest speakers meet with the participants over the course of the project. In addition to reading a wide variety of works, the participants consider theoretical frameworks for the study of these various regions and explore their particular cultural contexts. To extend the impact of the project, the participants prepare a handbook for other teachers seeking to broaden the basis of their humanities courses.

### National Education Projects:

(1) An educational consortium seeks to expand a program of training for humanities teaching technology in the schools to a national group of teachers and their college and university partners. Their goal is to respond to the challenge of making the wiring of America's classrooms meaningful by ensuring that humanities teachers are well prepared to exploit the potential of new digitized media. Twenty high school teachers recruited in teams from five states meet on campus for a two-week intensive summer seminar. They explore new materials on and approaches to the teaching of U.S. history. During the following school year, they carry out their classroom innovations with the support of an electronic forum and a Web site, both of which reinforce the intellectual standards and pedagogy of the seminar. In the next phase of the project, the teachers receive additional training to enable them to conduct small workshops for their colleagues. Finally, larger workshops are sponsored on a regional basis under the leadership of the school and university partners and in cooperation with the project's consulting scholars and state education agencies.

(2) A team of scholars, teachers, and technical experts work to develop an interactive, on-line resource on the classical Latin poet Vergil, for use by educators and students with various levels of sophistication and expertise. For example, the project includes grammatical analyses of Vergil's works prepared by high school Latin students, along with hypertext links prepared by advanced scholars. Organized around a hypertext critical edition and commentary of Vergil's works, this resource includes a variety of multimedia materials. A group of high school, college, and university instructors would meet for six weeks in the summer to produce a commentary on the Aeneid and to learn, in the process, how to prepare their students to take part in the collaborative work. Activities include entering and editing materials needed for the commentary, training a team to write the commentary on the Aeneid and several other Vergilian works, and designing a tool box to make the Web site more accessible. In the course of the

year, the teachers would test these materials in their high school, college, and university classes, and thus contribute to their ongoing refinement.

(3) A national educational organization and a consortium of twelve colleges and universities attempt to strengthen Foreign Language Across the Curriculum (FLAC) programs through a two-year project including a conference, an electronic network, and a final publication. Each institution, in collaboration with the group, will address one critical issue in building a strong FLAC program: materials development; recruiting faculty from non-foreign language disciplines; constructing introductory courses to develop reading skills demanded in FLAC courses; FLAC in Western civilization courses; adapting a successful program in one language to a second language; integrating FLAC more closely with study abroad programs; and creating courses in which native speakers serve as mentors for English-speaking students. Through a conference and an electronic network, this group of diverse institutions will report to the field on their progress on each of these issues, formulating a general statement of the theory, purposes, and value of FLAC, and proposing a research agenda.

## GRANTEE RESPONSIBILITIES

Before any work is done in developing a proposal, the project director and the authorizing official of the applicant institution should review the following section on grantee responsibilities to determine if their institution is able to comply with these requirements. **The authorizing official is also advised to review the material on certifications in the appendix to this brochure before signing Block 12 of the application cover sheet.**

The grantee organization is required to

- have a sound 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;
- carry out project activities in accordance with the workplan provided in the approved application—changes in key project personnel, project scope or design, or in the arrangements to contract out project activities must be submitted to NEH in advance for review and approval;
- have in place a written organizational prior approval system for prior review and approval of all grant actions and expenditures that the grantee institution is delegated authority to approve;
- maintain adequate documentation of the time spent by all project personnel on grant activities;
- have an audit performed that meets the requirements of Office of Management and Budget Circular A-133 whenever \$300,000 or more in federal funds is expended during a fiscal year;
- ensure that all procurement transactions are conducted in a manner that provides, to the maximum extent practical, open and free competition and that for purchases in excess of \$100,000 any use of sole-source contracts is fully justified and documented;
- return to NEH a portion of the income earned on services and products resulting from grant activities when this is required by the terms and conditions of an award; and
- acknowledge NEH support in all materials publicizing or resulting from grant activities.

*The narrative should not exceed twenty double-spaced pages; for Humanities Focus Grants the narrative should be from five to ten double-spaced pages.*

## APPLICATION INFORMATION

What help is available?

Education Development and Demonstration program staff are available to discuss possible applications via telephone, in writing, or by e-mail. Those intending to apply for Education Development and Demonstration grants are strongly encouraged to submit a draft of the narrative of the proposal at least six weeks for the application deadline for consultation. After the deadline, staff may not comment on pending applications.

## INSTRUCTIONS FOR PREPARING A PROPOSAL

Applications to the Education Development and Demonstration Program vary considerably in length and degree of complexity. In all cases, however, a complete application consists of six parts: a completed NEH Application Cover Sheet, a table of contents, a one-page summary of the proposed project, a detailed narrative describing the proposed project, a project budget, and appendices. **The deadline for all proposals is a receipt, not a postmark.** Please type double-spaced and number all pages (including appendices) consecutively. Please consult the application checklist on the inside back cover of this booklet for information on assembling the application.

### Overview of the Application

#### *Application Cover Sheet*

See the instructions for completing the NEH Application Cover Sheet on page 18.

#### *Table of Contents*

List all sections, including appendices.

#### *One-Page Summary*

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

#### *Narrative Description of the Project*

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

### 1. Rationale

An intellectual rationale must be clearly articulated. Identify the central issue or guiding question of the project. Explain how the project will im-

prove the quality of humanities education. If a newer technology is to be used, describe in detail what value will be added by this use. If materials development is proposed, list and discuss any similar materials already available and demonstrate why the proposed materials are needed.

When appropriate, describe how the project helps teachers to meet applicable frameworks and standards.

Identify the intended beneficiaries of the project. If the immediate impact of a project will be confined to a single or a few institutions, show how the project could serve as a stimulus or a replicable model in other similar institutions, or what broader impact the project would likely have.

## 2. Content of the Project

Describe in detail the project's humanities content. Discuss particular humanities topics to be studied in the project. List pertinent texts and explain their proposed use, including an explanation of the order in which they are to be considered. Provide a detailed workplan and schedule of activities in an appendix. Discuss how the project approaches the particular issues of teaching and learning in this humanities area. Provide at least one example of how these approaches could be implemented in a classroom setting. Include a tentative syllabus of any new courses and specific discussion of any related curricular changes. If a database or other compendium of resources is to be developed, list and describe its contents fully. Describe any provisions for updating materials. If a project involves materials currently under copyright, indicate what will be done to secure the necessary permission for the use of materials.

For interactive computer technology projects, describe the nature and structure of the interactivity proposed and why it is appropriate to learning the subject matter. Describe the user experience, explaining how the audience will use and navigate the product. Outline the potential pathways that would guide the user through the project and describe the audio and visual images, text, and interactivity that would enhance the user's understanding. If an online site is proposed, describe plans for regular site management and updates.

## 3. Institutional Context

Describe how the project relates to the mission, curricular history, and students of the institution where it will take place. Show how the resources—e.g. faculty, library, archival or museum holdings—of the host institution support the project, and describe any previous efforts to address the issues and objectives of the proposed undertaking. Describe how the project will affect teaching and learning at other institutions.

If the proposal is related to a project previously funded by the Endowment, include a detailed evaluation of the initial project in an appendix. If more than one institution is involved, describe any collaboration

*Describe how the project relates to the mission, curricular history, and students of the institution where it will take place.*

*The evaluation of materials development projects should focus both on their design and their uses in the classroom.*

that has already taken place and include letters of commitment from each institution in an appendix.

#### **4. Project Staff and Participants**

Identify project staff, define their roles, and state their qualifications. Identify visiting scholars and technical specialists and describe their qualifications and their role in the project. In an appendix, include one-page résumés from the project director and all scholars and other experts, along with letters of commitment from each. List and describe the nature of the commitment and duties of any advisory board members.

Where other participants, such as teachers or college faculty, can be identified at the time of application, provide names and pertinent information. Otherwise, describe the criteria and procedures by which they will be selected.

#### **5. Evaluation**

Include a specific evaluation plan that corresponds to the project's objectives. The plan should include formative and summative evaluation of the project's effects on teaching and learning in the humanities. Describe the criteria by which the success of the project would be measured.

The evaluation of materials development projects should focus both on their design and their uses in the classroom.

If external evaluators are to be used, describe their qualifications, and include in an appendix letters indicating their willingness to serve. External evaluation is not required for Humanities Focus Grants.

#### **6. Follow-up and Dissemination**

Describe follow-up activities. These may include curricular projects, workshops with colleagues, in-service presentations, and other means. Where pertinent, show how materials produced by a project, or other results of broad significance, would be made accessible nationwide, particularly to people who would most benefit from their use. For example, indicate why the format or formats chosen for a final product (printed volume, CD-ROM, Internet distribution) represent the most effective means of dissemination to the intended audience. Indicate what publication arrangements have been made and whether an agreement to publish has been reached, and append any pertinent correspondence. Provide the expected price of the product and the plans for publicity, including announcements in professional journals, electronic discussion groups, or newsletters; the preparation and distribution of demonstration versions; and participation in conferences or exhibits. Describe how the effects of the project will continue after the grant funding ends.

#### *Project Budget*

See the budget instructions on page 23.

### *Appendices*

Use appendices to provide supplementary but essential materials, such as workplans, reading lists, syllabi, résumés, samples, and letters of commitment. Appendices should include relevant and concisely presented information only. Each appendix should be identified clearly and listed in the Table of Contents. Pages of the appendices should be numbered. The proposal narrative should refer to items included in the appendices or samples of work.

Applications for projects with an electronic format may submit samples in that format. Applicants should check samples carefully to ensure that there are no technical problems, and screen each copy for viruses. All samples must be clearly labeled with the name of the project director, the applicant institution, the title of the project, and directions for starting the program.

*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 fifteen hours per response. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Director of the Office of Publications and Public Affairs, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number.*

## INSTRUCTIONS FOR COMPLETING THE NEH APPLICATION COVER SHEET

### 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 it.

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

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

**Item c.** Enter the project director's full telephone number with area code and, if applicable, extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left. Enter FAX or E-Mail numbers if applicable.

### Block 2. Type of Applicant

**Item a.** Identify *Type* such as: business, religious, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, etc.), educational (elementary/secondary, school district, 2-year college, 4-year college, etc.), library (public, research, etc.), or center (advanced study, research, etc.).

**Item b.** 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 the 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**

The title of the program is preprinted.

**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.

**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 the 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.

*Privacy Act. This 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. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.*

**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 by government-wide regulations to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Institutional applicants are required to certify that they will comply with the nondiscrimination statutes. When an applicant requests more than \$100,000 in grant funds, it must also certify that no federal funds have or will be paid to any person to influence the funding decision for the specific proposal that is being submitted for consideration. In the unlikely event that an NEH applicant has used or plans to use nonfederal funds for this purpose, it must request, complete, and submit a standard disclosure form. These certifications, which appear in the Appendix to the guidelines, should be read before Block 12 of the application cover sheet is signed. Additional information on these certifications is available from the NEH World Wide Web site, <http://www.neh.gov>, or from the NEH Grants Office, room 311, Washington, D.C. 20506, 202/606-8494.

**EDUCATION DEVELOPMENT AND DEMONSTRATION  
APPLICATION COVER SHEET**

OMB No. 3136-0134  
Expires: 7/31/00

**1 Project director**

a. Name and mailing address:

\_\_\_\_\_  
(last) (first) (initial)

\_\_\_\_\_  
(city) (state) (zip code)

b. Form of address: \_\_\_\_\_

c. Telephone numbers:

Office: \_\_\_\_\_ / \_\_\_\_\_ Home: \_\_\_\_\_ / \_\_\_\_\_  
(area code) (area code)

FAX: \_\_\_\_\_ / \_\_\_\_\_ Email: \_\_\_\_\_  
(area code)

**2 Type of applicant**

a. Type:

b. Status:

**3 Type of application**

a. ☐ new b. ☐ supplement

**4 Program to which application is being made**

Education Development and Demonstration

**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)

FAX: \_\_\_\_\_ / \_\_\_\_\_ Email: \_\_\_\_\_  
(area code)

**12 Certification.** By signing 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)

**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 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.)*

<b>Anthropology</b>	<b>L1</b>	<b>Languages</b>	<b>C1</b>
Archaeology	U6	Ancient	CC
		Asian	CA
<b>Archival Management/ Conservation</b>	<b>I1</b>	Classical	C2
		Comparative	C9
<b>Arts/History and Criticism</b>	<b>MA</b>	English	CE
Architecture: History & Criticism	U3	French	C3
Art: History & Criticism	M1	German	C4
Dance: History & Criticism	M3	Italian	C5
Film: History & Criticism	M4	Latin American	C6
Music: History & Criticism	M5	Near Eastern	CB
Theater: History & Criticism	M2	Slavic	C7
		Spanish	C8
<b>Communications</b>	<b>P2</b>	<b>Law/Jurisprudence</b>	<b>Q1</b>
Composition & Rhetoric	P1	<b>Library Science</b>	<b>H3</b>
Journalism	P4	<b>Linguistics</b>	<b>J1</b>
Media	P3	<b>Literature</b>	<b>D1</b>
<b>Education</b>	<b>H1</b>	African	DK
<b>Ethnic Studies</b>	<b>K1</b>	American	DE
Asian American	K5	Ancient	DC
Black/African-American	K4	Asian	DA
Hispanic American	K3	British	DD
Jewish	K6	Classical	D2
Native American	K2	Comparative	D9
		French	D3
<b>History</b>	<b>A1</b>	German	D4
African	A2	Italian	D5
American	A3	Latin American	D6
Ancient	AC	Literary Criticism	DI
British	A4	Near Eastern	DB
Classical	A5	Slavic	D7
European	A6	Spanish	D8
Far Eastern	A7	<b>Museum Studies/Historic Preservation</b>	<b>I2</b>
Latin American	A8	<b>Philosophy</b>	<b>B1</b>
Near Eastern	A9	Aesthetics	B2
Russian	AA	Epistemology	B3
South Asian	AB	Ethics	B4
<b>Humanities</b>	<b>U8</b>	History of Philosophy	B5
<b>Interdisciplinary</b>	<b>U1</b>	Logic	B6
African Studies	GI	Metaphysics	B7
American Studies	G3	Non-Western Philosophy	B8
Area Studies	GH	<b>Religion</b>	<b>E1</b>
Asian Studies	G5	Comparative Religion	E5
Classics	G7	History of Religion	E2
Folklore/Folklife	R1	Non-Western Religion	E4
History/Philosophy of Science, Technology, or Medicine	GA	Philosophy of Religion	E3
International Studies	GG	<b>Social Science</b>	<b>U2</b>
Labor Studies	G4	American Government	F2
Latin American Studies	GJ	Economics	N1
Medieval Studies	G8	Geography	U7
Regional Studies	GF	International Relations	F3
Renaissance Studies	G9	Political Science	F1
Rural Studies	GC	Psychology	U5
Urban Studies	G2	Public Administration	F4
Western Civilization	GB	Sociology	S1
Women's Studies	GI		

## BUDGET INFORMATION, INSTRUCTIONS, AND FORMS

### Project Budget

The Budget Form and instructions for completing it follow.

**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. (See Eligible Gifts and Donors on page 24).

*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 an additional \$5,000 from an eligible third-party donor, the applicant should request \$5,000 in matching funds. The balance of the project's costs (\$30,000) 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.

**Cost Sharing.** Because of the limited funds available for support of research, the Endowment normally can contribute only part of the funds needed to carry out projects. Cost sharing consists of the cash contributions made to the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Except for Humanities Focus Grants, which do not require cost sharing, a minimum cost sharing level of 15% of total project

costs is expected for projects funded by the Education Development and Demonstration program.

**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 must occur during the grant period.

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

### **Eligible Gifts and Donors**

For the purpose of the Endowment's gifts and matching program, gift is a voluntary transfer of money (or a noncash contribution that is subsequently converted to cash) from a nonfederal third party to the applicant without compensation or consideration in return. Only gifts that will be used to support budgeted project activities during the grant period are eligible to be matched with federal funds. Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and will receive some sort of remuneration from project funds.

## BUDGET INSTRUCTIONS

The project budget must appear on the NEH Budget Form and must be prepared in accordance with the budget instructions. **Additional explanation may be appended in a budget narrative.** Before completing the budget form, review the information on the preceding pages that pertains to the types of funds available, cost-sharing expectations, grant period definitions, grantee responsibilities, and eligible gifts and donors.

### Requested Grant Period

The grant period must reflect that shown on the application cover sheet. All project activities must take place during the requested grant period. For grant periods of longer than eighteen months, separate budgets for each twelve-month period of the project must be submitted.

### Project Costs

The budget should contain all costs related to the project. Therefore it should include costs that will be supported by applicant or third-party cash and in-kind contributions as well as those that will be charged to grant funds. **All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period.** Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization. When indirect costs are charged to the project, care should be taken that expenses included in the organizations indirect cost pool (see indirect costs) are not charged to the project as direct costs.

#### 1. Salaries and Wages

This section should include all project personnel except participants and consultants who are not employees of the applicant institution. Calculations for faculty compensation should be based on a percentage of academic year and annual salary. The program does not support replacement teachers or compensate faculty members for performing their regular duties. Compensation for support staff may be calculated as a percentage of salary or based on an hourly rate.

Salary compensation for employees of colleges and universities should be shown in the project budget as follows:

- o for Project Directors during the academic year: released time normally should not exceed one course (or 40% of courseload, whichever is greater) per quarter or semester.

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

## **2. Fringe Benefits**

Fringe benefits should be calculated only for those individuals listed under Salaries and Wages. Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

Fringe benefits for support, administrative, and part-time personnel may be calculated at different rates than academic year employees. This should be reflected in the breakdowns shown on the budget form.

## **3. Consultant Fees**

List those individuals who would contribute to the project as visiting lecturers, leaders of faculty study sessions, and external evaluators. The honoraria for visiting faculty and other consultants range from \$250 to \$350 per person per day or \$1,250 per person per week, not including travel and subsistence costs. Travel and subsistence costs should be entered in budget section 4.

## **4. Travel**

Travel and subsistence costs, including participant travel, should be entered in this section. (However, room and board for participants in residential projects should be entered in budget section 7.) Costs should be calculated in conformity with institutional policy. The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available. **Project directors for all projects will attend planning meetings at the Endowment's offices in Washington, D.C. Directors should budget for a two-day meeting for the first year of the requested grant period.**

## **5. Supplies and Materials**

Include such items as stationery supplies, computer diskettes, books for participants, films, videotapes, and educational software.

## 6. Services

The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single-line item charge. A complete itemization of the cost comprising the charge should be attached to the NEH budget. If there is more than one contractor, each must be budgeted separately on the NEH form and must have an attached itemization. If rental of equipment is proposed, enter it in this section of the budget form. (See section 7 for treatment of equipment purchases).

## 7. Other Costs

**Participant Stipends:** Stipends for participants not employed by the applicant institution should be listed here. In most cases, participants receive \$250 per week for academic study in the summer. Stipends for Humanities Focus Grants should be calculated on the bases of \$100 per full day.

**Equipment:** When an applicant proposes to charge the purchase of permanent equipment to a project, this expense should be included under "Other Costs." Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

## 8. Total Direct Costs

These are the costs of the project excluding indirect costs.

## 9. Indirect Costs (Overhead)

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

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

- a. The Endowment will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10% of direct costs, less distorting items (e.g., capital expenditures, participant stipends, major subcontracts) **up to a maximum total project charge of \$5,000 per year.** (Applicants who choose this option should understand that they must maintain

documentation to support overhead charges claimed as part of project costs.)

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

### **Budget Narrative**

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

### **Inadmissible Budget Items**

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

- o the cost of substitute teachers or compensation for faculty members performing their regular duties;
- o the rental of recreational facilities and costs related to social events such as banquets, receptions, and entertainment;
- o tuition fees for participants. Credit may be awarded to participants seeking it, however, as the discretion of the applicant institution. If any filing fee or tuition must be charged, it should be charged directly to those participants wishing to receive credit and should be fixed at the lowest possible rate. Such fees should not be deducted from the participant's stipends.

The program does not fund or accept as cost sharing the following budget items:

- o travel associated with independent scholarly research;
- o development of education technologies or materials that are solely pedagogical and do not concern specific academic content.

## SAMPLE BUDGET COMPUTATIONS

					NEH Funds	Cost Sharing	Total
<b>1. Salaries and Wages</b>							
Project Director	25% (2-course release)				\$ 5,625	\$ 5,625	\$ 11,250
(provide name)	1 summer month @ 11.1%				\$ 2,498	\$ 2,497	\$ 4,995
Summer Faculty Stipends*	10 x \$500/wk x 4 wks				\$ 20,000		\$ 20,000
Faculty Released Time	5 x average of \$5,000 per course				\$ 10,000	\$ 15,000	\$ 25,000
Secretarial Support	25% of \$16,000				\$ 4,000		\$ 4,000
<b>2. Fringe Benefits</b>							
	11% of \$41,245				\$ 2,269	\$ 2,269	\$ 4,537
	8% of \$4,000				\$ 320		\$ 320
<b>3. Consultant Fees</b>							
Professor	5 days @ \$250				\$ 1,250		\$ 1,250
Professor	2 days @ \$350				\$ 700		\$ 700
Professor	3 days @ \$350				\$ 1,050		\$ 1,050
Technical Consultant	5 days @ \$250				\$ 1,250		\$ 1,250
<b>4. Travel</b>							
	no. of persons	total travel days	subsistence costs	transport + costs			
City/City	[1]	[3]	\$300	\$350	\$ 650		\$ 650
City/City	[1]	[4]	\$400	\$300	\$ 700		\$ 700
City/City	[1]	[3]	\$300	\$730	\$ 1,030		\$ 1,030
City/City	[1]	[4]	\$400	\$210	\$ 610		\$ 610
City/ Washington, DC	[1]	[2]	\$250	\$350	\$ 600		\$ 600
<b>5. Supplies and Materials</b>							
Books		10 sets at \$40 per			\$ 400		\$ 400
Stationary					\$ 100		\$ 100
<b>6. Services</b>							
Photocopying		est. 2,500 @ \$.10			\$ 250		\$ 250
<b>7. Other Costs</b>							
<b>8. Total Direct Costs</b>							
					\$ 53,302	\$ 25,390	\$ 78,692
<b>9. Total Indirect Costs</b>							
		30% of \$58,692**			\$ 14,793	\$ 2,815	\$ 17,608
<b>10. Total Project Costs (Direct and Indirect)</b>							
					\$ 68,095	\$ 28,205	\$ 96,300

\* Cost sharing is not required for Humanities Focus Grants. Humanities Focus Grants are for up to \$25,000 in outright funds. This sample budget shows all participants as employed by the grantee institution with stipends listed under 1. Salaries and Wages. In the case of elementary and secondary education projects and other projects in which several institutions cooperate, stipends for those participants not employed by the grantee institutions should be entered under 7. Other Costs.

\*\* The total amount of budgeted stipends should be excluded from the base on which the indirect costs are calculated.

National Endowment for the Humanities  
BUDGET FORM

OMB No. 3136-0134  
Expires 7/31/00

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

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

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

**SECTION A - budget detail for the period FROM \_\_\_\_\_ THRU \_\_\_\_\_**  
mo/yr mo/yr

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

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

**2. Fringe Benefits.** If more than one rate is used, list each rate and salary base.

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

**3. Consultant Fees.** Include payments for professional and technical consultants and honoraria.

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

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

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

**5. Supplies and Materials.** Include consumable supplies, materials to be used in the project and items of expendable equipment; i.e., equipment items costing less than \$5,000 and with an estimated useful life of less than one year.

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

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

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

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

[illegible]

SUBTOTAL \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_

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

\$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_

**9. Indirect Costs** (This budget item applies only to institutional applicants.)

If indirect costs are to be charged to this project, **CHECK THE APPROPRIATE BOX BELOW** and provide the information requested. Refer to the budget instructions for explanations of these options.

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

A. \_\_\_\_\_  
name of federal agency

date of agreement

B.

rate(s)	base(s)
_____ % of	\$ _____
_____ % of	\$ _____

**NEH Funds**  
(a)

**Cost Sharing**  
(b)

**Total**  
( c )

\$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_

---

TOTAL INDIRECT COSTS

\$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_

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

\$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_

**SECTION B - Summary Budget and Project Funding****SUMMARY BUDGET**

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

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

**PROJECT FUNDING FOR ENTIRE GRANT PERIOD**

1. Requested from NEH:		2. Cost Sharing:	
Outright	\$ _____	Cash Contributions	\$ _____
Federal Matching	\$ _____	In-Kind Contributions	\$ _____
		Project Income	\$ _____
TOTAL NEH FUNDING	\$ _____	TOTAL COST SHARING	\$ _____

3. Total Project Funding (NEH Funds + Cost Sharing) = \$ \_\_\_\_\_

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

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

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

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

3. Total Project Funding should equal Total Project Costs.

**Institutional Grant Administrator/Individual Applicant.** Provide the information requested below when a revised budget is submitted. The signature of this person indicates approval of the budget submission and the agreement of the organization/individual to cost share project expenses at the level indicated under "Project Funding."

\_\_\_\_\_  
Name and Title (please type or print)

Telephone (\_\_\_\_\_) \_\_\_\_\_

\_\_\_\_\_  
Signature

Date \_\_\_\_\_

## APPENDIX

### Certification Instructions

**Certifications.** In submitting an application to NEH, all applicants are required to certify (by signing Block 12 of the application cover sheet) that they are not presently debarred, suspended, declared ineligible, or voluntarily excluded from participating in federally funded programs; are not currently delinquent in the payment of a federal debt; and, if the project is funded by NEH, will have a drug-free workplace program in place within thirty (30) days of the issuance of an award. Institutional applicants must further certify that they are in compliance with the nondiscrimination statutes and NEH's implementing regulations. Finally, when applicants request more than \$100,000 in grant funds, they must certify that no federal funds have or will be paid to persons to influence the funding decision (lobby) for the proposal that is being submitted for consideration.

These certifications are material representations of fact upon which the Endowment will rely in making funding decisions. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, the Endowment may seek judicial enforcement of the certification or may suspend or terminate the award.

Applicants who cannot certify regarding compliance with the nondiscrimination statutes, the establishment of a drug-free workplace program, or the prohibition on lobbying are **not** eligible to apply for funding from NEH. Although applicants who are unable to certify regarding federal debt status or debarment and suspension are technically eligible to submit an application to NEH as long as they provide a written explanation of their status, they are advised to discuss their particular situation with program staff before beginning work on their proposal.

Applicants who plan to use awards to fund **subgrants, contracts, and subcontracts** should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from **institutional** applicants and contractors, and
- (2) certification regarding lobbying from those requesting in excess of \$100,000 in grant funds, and
- (3) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to **include without modification** the following wording in solicitations for all **grant** proposals and for contracts that are expected to equal or exceed \$100,000:

(a) 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.

(b) 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.

Additional information on the certification requirements is available on the NEH World Wide Web site, <http://www.neh.gov>, or from the NEH Grants Office, Room 311, Washington, D.C. 20506 (202/606-8494).

The text of the certifications follows:

**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 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.

**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 request, 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.

## APPLICATION CHECKLIST FOR EDUCATION DEVELOPMENT AND DEMONSTRATION

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

- \_\_\_\_\_ The NEH Application Cover Sheet with an original signature of the institution's authorizing official (do not use black ink)
- \_\_\_\_\_ Three photocopies of the completed Application Cover Sheet
- \_\_\_\_\_ Three photocopies of the one-page summary of the project (may be single-spaced)
- \_\_\_\_\_ The original completed NEH Budget Form

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

- \_\_\_\_\_ Photocopy of the signed NEH Application Cover Sheet
- \_\_\_\_\_ Table of Contents
- \_\_\_\_\_ One-page summary of the project
- \_\_\_\_\_ Narrative description of the project (double-spaced)
- \_\_\_\_\_ Project budget (photocopy of the original NEH Budget Form and the budget narrative)
- \_\_\_\_\_ Appendices:
  - Workplans or schedules
  - Reading list or syllabi, if any
  - Résumés for all project personnel
  - Documentation of the commitment of key project personnel, including those not affiliated with the applicant institution (for example, visiting lecturers or outside consultants)
  - Samples such as CD-ROMS, Web site addresses, or videos (please include appropriate identification on all materials)

NEH will not accept applications sent via FAX machine or electronic mail.

**Please remember that the deadlines are receipt, not postmark.**

**Send applications to:**

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

## EQUAL OPPORTUNITY STATEMENT

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