NATIONAL ENDOWMENT FOR THE HUMANITIES

Education Development and Demonstration

*Humanities Focus
Materials Development
Curricular Development
    and Demonstration
Dissemination and Diffusion*

*Special Opportunity: Teaching
    With Technology*

Division of Research and Education Programs

GRANT APPLICATION
INSTRUCTIONS AND FORMS

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 a special Telephone Device for the Deaf).

Customer Service Standards

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

o   respond courteously and quickly to your requests for information about our grant programs;

o   be able to describe the programs that best suit your needs;

o   provide application instructions and forms that are clear and easy to use;

o   offer prompt and thoughtful advice and guidance in preparing your application;

o   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:

o   ensure that the evaluation of your application is fair, expeditious, and informed by the expert judgments of your peers;

o   notify you promptly of the decision on your application;

o   provide substantive reasons for the decision reached on your application;

o   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:

o   provide you with an award document that is clear and easy to understand and that sets forth sensible reporting requirements;

o   provide the names of our staff members who will serve as contacts for your reports and for any assistance you may need;

o   answer promptly and satisfactorily all requests for information on NEH policies and procedures;

o   read and acknowledge promptly your reports on grant activities;

o   maintain a professional, helpful relationship with you as you carry your project to completion.

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THE HUMANITIES

The act that established the NEH 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."

Work in the creative or performing arts—such as the 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 call or write the National Endowment for the Arts. Critical, historical, and theoretical studies of the arts, however, are eligible for NEH support.

Presidential Directives

NEH participates in two government-wide Presidential Directives. Executive Order 12876 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 12900 was issued on behalf of educational excellence for Hispanic Americans. NEH encourages applications that respond to these Presidential Directives.

EDUCATION DEVELOPMENT AND DEMONSTRATION PROGRAM

The Education Development and Demonstration Program provides grants to schools and colleges to improve humanities education in the United States. The program supports teachers and educational institutions 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 dialogue 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

THE NATIONAL ENDOWMENT FOR THE HUMANITIES

"Democracy demands wisdom and vision in its citizens."
—National Foundation on the Arts and the Humanities Act of 1965

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

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

o   enable school teachers and college and university faculty to engage in collaborative study of important topics and texts in the humanities and to explore how these may be taught effectively;

o   make the humanities integral to the education of future teachers at all levels;

o   foster effective, sustained study of second languages and their cultural contexts;

o   apply the new electronic technologies to provide excellent humanities teaching and learning to various student audiences;

o   help schools, colleges, and universities develop, revise, and try out significant humanities programs, curricula, and courses with close attention to how their students learn;

o   address other educational issues of national importance to the humanities.

WHO MAY APPLY FOR A GRANT?

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

What May and May Not Be Supported?

The Education Development and Demonstration Program welcomes projects that will help teachers 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. The program welcomes proposals to use new electronic technologies to create resources with the potential for wide application that can enhance the teaching and learning of specific humanities content. The Endowment does not normally support the preparation of textbooks for a commercial market.

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

What Are the Criteria for Evaluating Applications?

Applications for all kinds of 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.

Is the intellectual quality of the project excellent?

Is the intellectual rationale clear and persuasive? Does the project engage significant humanities topics or texts? Does it draw on sound humanities scholarship? Are the study plans thoughtful and stimulating? Does the project address effectively the pertinent issues of teaching and learning in its content area?

Is the project well designed?

Will the activities achieve the goals of the project in thoughtful and creative ways? Are the activities well planned and described in adequate detail? Are the personnel qualified to carry out their proposed responsibilities? Do letters from scholars, other consultants, and prospective participants demonstrate interest and commitment? Are the plans for administration sound? Is there evidence of commitment and support among the participating institutions? Will the project include appropriate and informative evaluation?

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Project results. Is the project likely to result in better humanities learning for American students? Will it serve as a pioneer or model, generate nationally significant resources and materials, or lead to extensive opportunities for enhanced humanities teaching and learning? Is the project budget reasonable in view of the likely results? Will the project results be disseminated to those who will find them most useful? Will its impact be lasting?

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SPECIAL OPPORTUNITY: TEACHING WITH TECHNOLOGY

A special opportunity is an undertaking by the Division of Research and Education Programs to encourage proposals for projects relating to a specific issue or topic.

A special three-year opportunity--**Teaching with Technology**--supports projects to strengthen education in the humanities by developing and using information technologies. Electronic technologies--including digital audio, video and imaging, hypertext and hypermedia, video-conferencing, speech processing, the Internet, and World Wide Web sites--can enable teachers to draw on newly accessible resources and to engage their students in active learning and higher-level thinking. This Special Opportunity seeks to support projects of national significance that will extend these benefits to a broad range of those studying the humanities disciplines in schools, colleges, and universities. In particular it seeks proposals

- o   to increase the number and usefulness of technological sources with rich, high-quality humanities content, particularly for schools and colleges.

- o   to improve the effectiveness of such resources by shaping them around sophisticated, creative, and engaging approaches to learning and by testing them in classrooms.

- o   to increase significantly the number of teachers who can integrate such humanities materials into their daily teaching.

Applications responding to this Special Opportunity should be submitted at the regular Education Development and Demonstration program deadlines listed on the inside of the back cover and will be judged according to the criteria stated for that program. Teaching with Technology proposals also are encouraged at the 1997 and 1998 Summer Seminars and Institutes deadlines.

KINDS OF GRANTS

The following kinds of grants are available.

Humanities Focus Grants

Humanities Focus Grants enable groups of teachers, faculty members, and other educators who work together in the same or related institutions to explore important humanities topics and to develop plans of action for their institutions. These grants provide support for joint study, outside experts, workshops on scholarly issues and related curricular questions, and planning. With a simplified application process and an expedited review cycle, these small, "next semester" grants make it possible for colleagues 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, as an end in themselves or as the means for enriching curricula. In the schools, Humanities Focus Grants (like the former NEH Masterwork Study Grants) can provide support for groups of ten to twenty teachers and administrators from a single school, school district, or contiguous districts to pursue a planned schedule of reading and discussion in partnership with outside scholars, often from nearby colleges, universities, or cultural institutions. Participants may explore ways to integrate what they have learned into their teaching. In colleges and universities, Humanities Focus Grants enable small groups of faculty to engage in collegial study with reference to the curriculum but not necessarily tied to specific course development. Humanities Focus Grants also may support collegial **planning and design** of new institutional arrangements for humanities education.

Proposals for Humanities Focus Grants should contain specific information about the topic or issue to be explored and about the humanities materials to be considered. Cooperative planning ventures should involve members of every constituency that would participate in the proposed undertaking. In many cases, the work supported by a Humanities Focus Grant will serve eventually as a national model or stimulus for similarly situated teachers and faculty throughout the country. New applicants are especially encouraged to apply.

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 to have the time to read, think, write, and deliberate. **Projects span an academic year or year and a half, and awards range from $10,000 to $25,000 in outright funds.** Endowment grants may not be used to support grant-writing activities.

Humanities Focus Grants may be used to support **Teaching with Technology** projects.

In the schools, Humanities Focus Grants (like the former NEH Masterwork Study Grants) can provide support for groups of ten to twenty teachers and administrators from a single school, school district, or contiguous districts to pursue a planned schedule of reading and discussion in partnership with outside scholars, often from nearby colleges, universities, or cultural institutions.

Example: Twenty secondary school humanities teachers examine masterpieces of Chinese art and literature from seminal historical periods in order to deepen their knowledge and explore new methods of teaching about this important culture. For one weekend each month during the academic year, they meet with specialists in Chinese language and history. In a five-day intensive session in June, participants review unifying themes they have identified and develop effective classroom presentations and materials.

Materials Development Grants

This kind of grant supports the development of materials for national dissemination that will have a significant impact on humanities instruction. Such products may be print (for example, the preparation of a set of sourcebooks for school teachers that explore active and thoughtful approaches to Shakespeare's plays) or electronic, but may not ordinarily include textbooks. Materials Development projects normally involve collaborating teachers or faculty members and may last up to three years.

Teaching with Technology proposals may seek Material Development grants. 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. 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 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. Projects must make use of scholars in the humanities, as well as teachers and technical experts.

The Endowment seldom provides more than $250,000 of outright funds toward the total cost of complex, multiyear projects. A significant commitment of cost sharing normally is required.

Example: A university is developing a multimedia model of a Gothic cathedral to be studied in a required undergraduate course. The model will be available on video, on the university's computer network, on CD-ROM, and through the Internet. As the student "walks through" the cathedral, textual, aural, and video materials will explain specific details, show relationships to other cathedrals and buildings, and explore the social and cultural context of medieval cathedrals. The project directors will scan graphics, slides, and photographs of the cathedral and related buildings; select music for sound mapping; and prepare contextualizing materials. An advisory board of nationally known scholars will consult with the project directors and the project will be beta-tested at selected schools. Three eminent scholars and teachers of art history will conduct the outside evaluation.

Curricular Development and Demonstration Grants

This kind of grant supports large-scale projects that bring faculty together within individual institutions or from cooperating schools, colleges, and universities to prepare, implement, and evaluate new or revised curricular changes that could 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. Recent examples include projects for language across the curriculum, the infusion of Asian humanities into the curriculum, and the integration of science and the humanities. Curricular Development and Demonstration projects may last up to three years.

Curricular Development and Demonstration grants 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. These projects 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. Participating institutions should maintain the venture after the grant ends.

Funds are available for stipends for participation in intensive study workshops, for released time during the academic year, for administrative costs and necessary materials, and for travel and honoraria for visiting scholars. **The Endowment seldom provides more than $250,000 of outright funds toward the total cost of complex, multiyear projects.** A significant commitment of cost sharing normally is required.

Teaching with Technology projects in this category 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.

Example: Teams of high school and college teachers from Los Angeles, St. Louis, Chicago, and Boston gather in seminars at a sponsoring research university to explore how central themes of human experience illuminate commonalities and differences among works of various world literatures. One seminar, for example, compares the theme of coming of age and assuming one's role in society in such texts as Alice Walker's *The Color Purple*, William Faulkner's *Go Down, Moses*, Charlotte Bronte's *Jane Eyre*, Cao Xueqin's *The Story of the Stone*, and Chrétien de Troye's *Yvain*.

Curricular Development and Demonstration grants 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. Recent examples include projects for language across the curriculum, the infusion of Asian humanities into the curriculum, and the integration of science and the humanities.

Dissemination and Diffusion grants help 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 includes plans to disseminate the results broadly to pertinent institutions and faculty throughout the country.

Teams of college and high school teachers continue to work together when they return home, providing a model for further collaboration in those locations.

Dissemination and Diffusion Grants

These grants support projects to extend the reach and impact of promising and significant new developments in humanities education. Projects may include presentations, publications, workshops, conferences, visitor 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.

Teaching with Technology projects are eligible in this category as well as projects that utilize electronic technology only in certain aspects of their work. Projects that seek to disseminate humanities learning through national seminars and institutes should apply to the Seminars and Institutes program.

The size of grants is consistent the scope of the project and the number of participants. Projects may be designed for up to three years' duration. **The Endowment seldom provides more than $250,000 of outright funds toward the total cost of complex, multiyear projects.** A significant commitment of cost sharing normally is required.

Example: 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 will address one critical issue in building a strong program: materials development; recruiting faculty from non-foreign language disciplines; constructing introductory courses to develop reading skills; 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.

HOW APPLICATIONS ARE EVALUATED

Each Endowment application is assessed first by knowledgeable persons outside the agency who are asked for their judgments about the quality and significance of the proposed project. About 1,200 scholars, professionals in the humanities, and other experts serve on approximately 225 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. In some programs the judgment of panelists is supplemented by individual reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the application under review.

The advice of evaluators is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then forwarded to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The National Council meets three times each year to advise the Chairman of the 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. A final decision can normally be expected about six months after the application deadline. Applicants for Humanities Focus Grants, however, will receive a response within four months from the submission deadline.

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

TYPES OF GRANT SUPPORT

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

Outright Funds

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

Matching Funds

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

Reapplication is always possible, and failure to gain support in one competition does not prejudice an applicant's chances in future competitions.

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.

For the purpose of the Endowment's gifts and matching program, a 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 renumeration from project funds.

Cost Sharing

Applicant institutions are encouraged to participate in the support of project expenses. Cost sharing consists of the cash contributions made to the project by the applicant institution and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that may be raised to release federal matching funds. 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.

Combined Funds

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

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 funding is requested in the application. All project activities and the expenditure of project funds, that is, grant funds and cost-sharing contributions, must occur during the grant period.

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

Grantee Responsibilities

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

o   Project activities are to be carried out in accordance with the schedule provided in the approved application.

o   Changes in the scope and objectives of the project may not be made without prior Endowment approval.

o   The replacement of the project director, the codirector, or other professional staff members who are specifically named in an award notice requires prior Endowment approval.

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.

o   All commitments and obligations of grant funds and cost sharing contributions are to occur during the grant period.

o   Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.

o   All procurement transactions are to be conducted in a manner that provides, to the maximum extent practical, open and free competition; for purchases in excess of $100,000, any use of sole-source contracts must be fully justified and documented.

o   Grantee institutions of higher education and other nonprofit institutions must meet the audit requirements of Office of Management and Budget Circular A-133 if they expend $300,000 or more in federal funds during a fiscal year. Grantees that are units

In determining the beginning date of a proposed grant period, applicants should refer to the schedule of application deadline dates and project beginning dates listed inside the back cover of this booklet.

of state or local government are subject to the audit requirements of OMB Circular A-128. Copies of these circulars may be obtained from the NEH Grants Office.

o   Unless otherwise notified in writing, grantees must acknowledge Endowment support in all materials resulting from grant activities.

o   If a grantee earns income from grant activities or products that result from grant activities, the Endowment reserves the right to recover a portion of the program income.

Compliance with Other Federal Laws

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

Depending on the project, these may include compliance with

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

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

THE APPLICATION

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, one. Please type double-spaced and number all pages (including appendices) consecutively.**

Overview of the Application

Application Cover Sheet
See the instructions for completing the NEH Application Cover Sheet on page 20.

Table of Contents
List all sections, including appendices.

One-Page Summary

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

Narrative Description of the Project

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

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. 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 compendia is to be developed, list and describe its contents fully. If a project involves materials currently under copyright, indicate what will be done to secure the necessary permission for the use of materials.

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.

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

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.

more than one institution is involved, describe any collaboration 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. 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. 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.

Project Budget

See the budget instructions on page 25.

Appendices

Use appendices to provide supplementary but *essential* materials, such as workplans, readings 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.

CERTIFICATION REQUIREMENTS

By signing and submitting a proposal the individual applicant or 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 NEH. 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 if the NEH 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 NEH 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 shall be subject to a civil penalty of not less that $10,000 and not more than $100,000 for each failure.

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.

Subgrantees and Subcontractors

Certification responsibilities extend beyond the grantee to subgrantees and subcontractors under certain circumstances.

Debarment and Suspension. The applicant agrees by submitting this proposal that should the proposal be funded by the Endowment, it shall not enter into any project-related transactions with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the NEH. The applicant further agrees by submitting this proposal to include without modification the following clause in all 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 for 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.

Lobbying Activities. 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.

These certifications, which appear in the Appendix to these instructions, should be read before signing Block 12 of the application cover sheet. Additional information on these certifications is available from the NEH World Wide Web site, http://www.neh.fed.us/, selection "Administrative Information" or from the NEH Grants Office, room 311, Washington, D.C. 20506, 202/606-8494.

CHECKLIST FOR A COMPLETE APPLICATION PACKAGE

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

___ The completed NEH Application Cover Sheet with an original signature of 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:

Ten copies of the application should be assembled in this order:
___ Photocopy of the signed NEH Application Cover Sheet

___ Table of contents

___ One-page summary of the project (may be single-spaced)

___ Narrative description of the project (double-spaced)

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

___ Appendices:
___ Workplans or schedules
___ Reading lists or syllabi, if any
___ Résumés for all project personnel
___ Documentation of the commitment of key project personnel, including those not affiliated with the applicant institution (for example, visiting lecturers or outside consultants)

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

NEH APPLICATION COVER SHEET INSTRUCTIONS

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

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

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

Block 2—Type of applicant
Check (b)

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

Identify *Status* as either Private Nonprofit or Unit of State or Local Government.

Example: *Type*: Historical Society. *Status*: Private Nonprofit.

Block 3—Type of application
Check appropriate type:

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

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

Block 4—Program to which application is being made
In the space provided, enter Education Development and Demonstration.

If the application falls under the Division opportunity described on page 6 indicate the number corresponding to the initiative in the space provided:

03T--Teaching with Technology

Block 5—Requested grant period
Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period. See page 13 for further information about grant periods.

Block 6—Project funding

Enter here the appropriate figures from page 4 of the NEH Budget Form, "Project Funding for Entire Grant Period." Fill in lines (a) through (e); enter "0" for blank lines.

Block 7—Field of project

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

Block 8—Descriptive title of project

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

Block 9—Description of project

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

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

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

Block 11—Institutional data

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

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

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

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and the telephone number of the person who will be responsible for the financial administration of the grant if the award is made. In most public schools an official of the school district is designated the institutional grants administrator. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item c), but the actual administration of the project—such as negotiating the project budget or ensuring compliance with the terms and conditions of the award—is the responsibility of a grants or research officer. It is the latter person who should be listed here. In any case, the institutional grants administrator should not be the same as the project director listed in Block 1, Item a.

*P*rivacy 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.

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 these 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.fed.us/, select "Administrative Information" or from the NEH Grants Office, room 311, Washington, DC 20506, 202/606-8484.

EDUCATION DEVELOPMENT AND DEMONSTRATION
APPLICATION COVER SHEET

1 Individual applicant or project director

a. Name and mailing address:

_____
(last)   (first)   (initial)

_____
(street)

_____
(city)   (state)   (zip code)

b. Form of address: _____

c. Telephone numbers

Office: _____ / _____   Home: _____ / _____
        (area code)   (area code)

FAX: _____ / _____   E-Mail: _____
      (area code)

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

e. Citizenship: ☐ U.S.
               ☐ Other: _____
                        (country)   (specify)   (month/year)

2 Type of applicant

a. ☐ by an individual   b. ☒ through an organ./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

If **b**, indicate previous grant number _____

4 Program to which application is being made

_____

Endowment 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 & 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	S1

BUDGET INSTRUCTIONS

The project budget must appear on the NEH Budget Form and must be prepared in accordance with the budget instructions. **Additional explanation may be appended in a budget narrative.** Before completing the budget form, review the information on pages 00 - 00 that pertains to the types of funds available, cost-sharing expectations, grant period definition, and grantee responsibilities, as well as the note on page 00 concerning 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. (See the section on cost sharing, p. 12.) **All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period.** Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization. When indirect costs are charged to the project, care should be taken that expenses included in the organization's indirect cost pool (see Indirect Costs, page 00) are not charged to the project as direct costs.

1. Salaries and Wages

This section should include all project personnel except participants and consultants who are not employees of the applicant institution. Calculations for faculty compensation should be based on a percentage of academic year or annual salary. 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.

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.

o   for Project Directors during the summer: compensation is based on a percentage of their base academic year salary. For example, one month would equal one-ninth or 11.1% of a nine-month academic year salary. Two codirectors would each receive 70% of this amount, based on their individual academic year salaries.

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. Less-than-first-class accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available. **Project directors for all projects 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. See the section on page 28 for inadmissible budget items.

6. Services

If rental of equipment is proposed, enter it in this section of the budget form. (Equipment may be purchased only if rental costs exceed purchase price.) Large or expensive equipment rentals and purchases must be justi-fied in the budget narrative. (See section 8 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 re-ceive $250 per week for academic study in the summer. Stipends for Humani-ties Focus Grants should be calculated on the basis of $100 per full day.

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

8. Total Direct Costs

These are the costs of the project excluding indirect costs.

9. Indirect Costs (Overhead)

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

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

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

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

Budget Narrative

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

Inadmissible Budget Items

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

o   the cost of replacement 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, at the discretion of the applicant institution. If any filing fee or tuition must be charged, it should be charged directly to those participants wishing to receive credit and should be fixed at the lowest possible rate. Such fees should not be deducted from the participants' stipends.

The program does not fund or accept as cost sharing (see page 12) 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.

BUDGET INSTRUCTIONS

Before developing a project budget, applicants should review those sections of the program guidelines and application instructions that discuss cost-sharing requirements, the different kinds of Endowment funding, limitations on the length of the grant period, and any restrictions on the types of costs that may appear in the project budget.

Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. All project activities must take place during the requested grant period.

Project Costs

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

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 that are included in the organization's indirect cost pool (see Indirect Costs) are not charged to the project as direct costs.

Fringe Benefits

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.

Travel Costs

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.

Equipment

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.

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.

Indirect Costs (Overhead)

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

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

1. The NEH will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (e.g., capital expenditures, participant stipends, major subcontracts), up to a maximum 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.)

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

SAMPLE BUDGET COMPUTATIONS

Salaries and Wages				NEH Funds (a)	Cost Sharing (b)	Total (c)
Jane Doe/Project Director	[ ]	9 months x 100% @ $40,000/academic yr.		$20,000	$20,000	$40,000
Jane Doe	[ ]	1 summer month x 100% @ $3,000		$ 3,000		$ 3,000
John Smith/Research Assistant	[ ]	6 months x 50% @ $30,000/yr.		$ 7,500		$ 7,500
Secretarial Support	[ ]	3 months x 100% @ $20,000/yr.		$ 5,000		$ 5,000

Fringe Benefits	NEH Funds (a)	Cost Sharing (b)	Total (c)
15% of $50,500	$ 4,775	$ 2,800	$ 7,575
10% of $ 5,000	$ 500		$ 500

Travel	no. of persons	total travel days	subsistence costs	transport. + costs =	NEH Funds (a)	Cost Sharing (b)	Total (c)
New York City/Chicago	[2]	[4]	$800	$600	$ 1,400		$ 1,400
Various/Washington D.C. conf.	[5]	[10]	$750	$500	$ 1,250		$ 1,250

Consultant Fees		NEH Funds (a)	Cost Sharing (b)	Total (c)
Epistemologist	5 days @ $100/day	$ 500		$ 500
Services				
Long Distance Telephone	est. 40 toll calls @ $3.00	$ 120		$ 120
Conference Brochure	50 copies @ $3.50/copy	$ 175		$ 175
TOTAL DIRECT COSTS		$44,220	$22,800	$67,020

Indirect Costs	NEH Funds (a)	Cost Sharing (b)	Total (c)
20% of $67,020	$ 8,850	$ 4,554	$13,404
TOTAL PROJECT COSTS (Direct and Indirect)	$53,070	$27,354	$80,424

SAMPLE BUDGET COMPUTATIONS

		NEH Funds	Cost Sharing	Total
1. Salaries and Wages				
Project Director	25% (2-course release)			
	@ $45,000/academic year	$ 5,625	$ 5,625	$ 11,250
	1 summer month at 11.1%	$ 2,498	$ 2,497	$ 4,995
Summer Faculty Stipends*	10 x $500 x 4 wks.	$ 20,000		$ 20,000
Faculty Released Time	5 x an average of $5,000 per course	$ 10,000	$15,000	$ 25,000
Secretarial Support	25% of $16,000/year	$ 4,000		$ 4,000
2. Fringe Benefits	11% of $41,245	$ 2,269	$ 2,268	$ 4,537
	8% of $ 4,000	$ 320		$ 320
3. Consultant Fees				
Professor	5 @ $250	$ 1,250		$ 1,250
Professor	2 @ $350	$ 700		$ 700
Professor	3 @ $350	$ 1,050		$ 1,050
Professor	5 @ $250	$ 1,250		$ 1,250

4. Travel

	no. of persons	total travel days	subsistence costs	+	transport. costs	=	NEH Funds		Total
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/ Wash., D.C.	[1]	[2]	$250		$350		$ 600		$ 600

		NEH Funds	Cost Sharing	Total
5. Supplies and Materials				
Books	10 sets at $40 per	$ 400		$ 400
Stationery		$ 100		$ 100
6. Services				
Photocopying	est. 2,500 copies @ $.10	$ 250		$ 250
7. Other Costs				
8. Total Direct Costs		$ 53,302	$25,390	$ 78,692
9. Indirect Costs	30% of $ 58,692	$ 14,793	$ 2,815	$ 17,608
10. Total Project Costs (Direct and Indirect)		$ 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 institution should be entered under **7. Other Costs.**

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.

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

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

9. Indirect Costs (This budget item applies only to institutional applicants.)
If indirect costs are to be charged to this project, **CHECK THE APPROPRIATE BOX BELOW** and provide the information requested. Refer to the budget instructions for explanations of these options.

[ ] Current indirect cost rate(s) has/have been negotiated with 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)	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____% of	$_____	$_____	$_____	$_____
_____% of	$_____			
	TOTAL INDIRECT COSTS	$_____	$_____	$_____

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

SECTION B - Summary Budget and Project Funding

SUMMARY BUDGET

Transfer from section A the total costs (column c) for each category of project expense. When the proposed award 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 AWARD 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 AWARD PERIOD

Requested from NEH:**1**

Outright $_____

Federal Matching $_____

TOTAL NEH FUNDING $_____

Cost Sharing:**2**

Cash Contributions $_____

In-Kind Contributions $_____

Project Income $_____

TOTAL COST SHARING $_____

Total Project Funding (NEH Funds + Cost Sharing):**3** = $_____

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

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

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

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

3. Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator/Individual Applicant. 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."

_____   Telephone (_____)_____

Name and Title (please type or print)

_____   Date_____

Signature

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-FreeWorkplace 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

*A*ppendix. *The following certifications should be read in full before signing Block 12 of the application cover sheet. Questions about the certifications or requests for the standard form for disclosure of lobbying activities should be addressed to the NEH Grants Office, room 311, National Endowment for the Humanities, Washington, D.C. 20506. Telephone: 202/606-8494.*

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 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.

EDUCATION DEVELOPMENT AND DEMONSTRATION PROGRAM

Telephone: 202/606-8380
Email: education@neh.fed.us

DEADLINES FOR RECEIPT OF APPLICATIONS

Program	Apply	Grant Can Begin
Humanities Focus	September 16, 1996	January 1996
	April 18, 1997	September 1997
Materials Development	October 1, 1996	May 1997
Curricular Development and Demonstration		
Dissemination and Diffusion		

Teaching with Technology applications should be submitted at regular program deadlines

Independent Study in the Humanities

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

Workshops

The staff of the Division routinely conduct workshops on NEH grant opportunities and on writing competitive proposals for groups of educators. If you would like a program officer to participate in such a workshop in your area, please contact the Education Development and Demonstration Program staff.

Additional Division of Research and Education Programs

Fellowships and Stipends	202/606-8467	fellowsuniv@neh.fed.us
Research	202/606-8210	research@neh.fed.us
Seminars and Institutes	202/606-8463	research@neh.fed.us

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