



National
Endowment
for the
Humanities

Division
of
State
Programs

New Members Handbook

State Humanities Councils

**A HANDBOOK FOR NEW MEMBERS
OF STATE HUMANITIES COUNCILS**

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the Division of State Programs
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TABLE OF CONTENTS

The NEH and the State Councils	3
Council Structure and Operations	5
Evaluation.	6
Role of Council Members.	6
Role of Council Chair	7
Roles of the Executive Director and Staff	7
Role of the Division of State Programs Staff.	8
Accountability.	9
Procedural Accountability.	9
Programmatic Accountability	10
Financial Accountability	11
Accountability in General.	13
Fund Raising.	13
Concluding Remarks.	14

APPENDICES

1: Glossary of Terms.	15
2: Budget Chart.	18
3: Schematic Diagram of Council Operations	19
4: Schematic Diagram of Proposal Review Process	20

ENCLOSURES

- 1: Division of State Programs Staff
- 2: Division of State Programs Newsletter

THE NEH AND THE STATE COUNCILS: THE FLOURISHING OF AN IDEAL

The Division of State Programs is pleased to welcome you as a new member of your state humanities council. You have become an important part of a national effort to promote awareness of the humanities through the sponsorship of public programs in the humanities. The state councils, which receive most of their funding through the National Endowment for the Humanities (NEH), are unique organizations in that they are devoted exclusively to promoting active engagement and discussion between humanities scholars and the public.

You undoubtedly will receive an orientation to your own council that will be conducted by your board and staff. As a new member, you will also be invited to attend one of NEH's annual orientation meetings after you have participated in at least one meeting of your state council. Until you have a chance to attend one of our national orientation meetings, we hope this booklet, which is intended as an introductory quick reference, will provide you with some basic and helpful information. We have tried to include answers to some of the most frequently asked questions that new board members have, but please feel free to seek additional information from us or from your council colleagues or staff for topics that are not covered here or for more in-depth information. (For quick reference, we have included a glossary of some commonly encountered terms in Appendix 1.)

In establishing the National Endowment for the Humanities in 1965, Congress defined the agency's mission as the encouragement of humanities scholarship and education and the fostering of public understanding and appreciation of the humanities. In defining the humanities, Congress avoided any overarching definition of the term, preferring instead to identify a body of disciplines: history; philosophy; languages; linguistics; literature; archaeology; jurisprudence; the history, theory, and criticism of the arts; ethics, comparative religion; and those aspects of the social sciences that employ historical or philosophical approaches. Beyond certain areas of knowledge, the term humanities also involves processes such as careful reading and critical thinking, whereby these areas are analyzed, understood, and preserved. The late Columbia University professor Charles Frankel at a 1978 congressional hearing described the role of the humanities this way:

[The humanities] are [the society's] efforts to place itself in the sequence of history, to examine its ideas and ideals, to study its language and its forms of behavior, to come to a critical assessment of its myths, symbols, stories, and rules by which it gives shape and direction to its life. And they are something more — they are its efforts to look beyond its own parochial frontiers, and to see itself against the much larger background of the human drama at large and all varieties of human nature and experience.

The NEH carries out its humanities mission through the awarding of grants. Grant programs are administered by five divisions (Education, Fellowships, Public Programs, Research, and State Programs) and two offices (Challenge Grants and Preservation). The yearly appropriation for NEH is now about \$170 million. The state humanities councils, as grantees of NEH, support the humanities through the competitive regranteeing of funds on a local level and through their own council projects. (Since a council's awards are generally made from its NEH grant, this local process is usually referred to as regranteeing.)

As part of their mission, the state councils make public humanities programs available to citizens who might otherwise not have easy access to them. Depending on the state's demography, this might mean reaching small rural communities with public programs, fostering projects in urban neighborhoods, or promoting the more active involvement of certain segments of the state's population, such as older adults or various ethnic groups. Although the federal government has provided a broad mandate, each council, as an independent nonprofit organization, sets its own programming priorities and directions, and defines the best ways to fulfill that mandate through a careful analysis of the interests, needs, and resources in its state.

When the councils were first established in the early 1970s, their focus was exclusively on public policy issues; and their primary audience was the adult, out-of-school public. Since 1976, when they were expressly incorporated in the federal legislation that authorizes NEH, the state councils have been given the authority to fund the same types of projects that NEH supports, a broadening of purpose which has enabled them to experiment with a wide variety of formats designed for specific audiences. Although still concerned primarily with reaching the general public, many councils have expanded their audiences to include public-school educators and students, newly literate adults, prison inmates, senior citizens, and other groups. There are currently 54 councils (one in each state, plus the District of Columbia, Guam, Puerto Rico, and the U.S. Virgin Islands), and plans are underway for the establishment of a council in the Northern Marianas.

Now nearly twenty years old in some cases, the state humanities councils have demonstrated that boards composed of citizen volunteers who dispense public funds can be extraordinarily effective at promoting active dialogue between the academic world and the general public. They also stand as reminders that the Jeffersonian ideal of a broadly educated citizenry is still worthy of our efforts.

COUNCIL STRUCTURE AND OPERATIONS

As mandated by Congress, all councils' boards are made up of roughly equal numbers of academic and public members. State governors have the opportunity to designate councils as state agencies, an option which no state has exercised so far. If they do not do so, each council is required to have up to six members appointed by the state's governor, so long as these appointees do not exceed twenty-five percent of a council's total membership. Congress intended for the councils to be broadly representative of the populations of their respective states and to exemplify the ideal of collaboration between scholars and the general public.

Councils fulfill their programming mission through their review of regrant applications, as well as through projects that may be conducted by the council. (The rough schematic diagram in Appendix 3 provides an outline of the ways in which the facets of a council's operations relate to one another.) In considering regrant proposals, councils return again and again to some fundamental questions: Is this project firmly rooted in the humanities? Do humanities scholars play a central role in the project? Is the project designed for a public audience? Councils also insure that the scholars participating in a project are specialists who bring the knowledge and skills of their disciplines to bear upon the subject at hand. The best projects are usually those in which the scholars, other project personnel, and the representatives of the target audience participate equally in the early planning and subsequent implementation of the programs. The councils also have been very involved in enhancing the long-term effectiveness of their programs through fostering and strengthening linkages among individuals from various institutions and organizations within their states.

Councils frequently face the challenge of distinguishing a humanities project from one that is primarily in the arts or the social sciences, or one that is essentially humanitarian in its intent; also, care must always be taken to avoid bias or advocacy in projects. While councils often fund projects in which public policy issues are involved, the humanities still form the core of such programs, with the role of the humanists being that of placing the issues within a broad historical, philosophical, or cultural context. Analysis and judgment, based on the consideration of several points of view, are at the heart of work in the humanities.

In addition to acting on community-initiated regrant proposals, state councils may also promote or conduct projects of their own design. These can either be council-initiated projects (those in which a council encourages applications in particular areas of interest) or council-conducted projects (in which a council sets aside a portion of its regrant funds to administer its own project). Councils may also apply for State and Regional Exemplary Awards from the NEH Division of State Programs in order to carry out special projects of their own. Serving multiple purposes, such projects often provide a model to other organizations in the state for high-quality public programs that reach into remote and/or underserved areas and act as catalysts for public discourse on issues or topics of broad interest.

EVALUATION

A council needs to maintain a constant awareness of how effective its programs have been. Project directors' final reports, the written comments of outside evaluators, audience evaluations, and on-site evaluations by council members and staff all enable a council to stay abreast of the ways in which projects are being received by the public. In addition to monitoring individual projects, it is also useful for a council to step back from time to time, summarize and synthesize the evaluations from projects, and review its overall program. A board can benefit from periodically asking itself whether its current and proposed projects and services are effectively reaching their intended audiences and fulfilling the organization's stated mission. Most councils hold yearly retreats, so that recent experiences can be assessed and new possibilities explored. With limited resources, the board often must decide among competing priorities; and project decisions often are closely linked to budgetary decisions. Public meetings, which have been required by Congress since 1985, are another mechanism through which the board and staff exchange information with the citizens of the state in order to hear first-hand what people think their state council can do to respond to their needs most effectively.

ROLE OF COUNCIL MEMBERS

As the recipients of NEH grants, state humanities council boards are not advisory but are decision-making bodies, legally responsible for the management of the state program and its finances. Your council staff has provided you with information on the council's expectations regarding board membership, and your council by-laws are also a useful reference in this regard. Generally members are expected to attend all meetings of the full council and of any relevant committees. Members also read regrant proposals thoroughly and thoughtfully and participate in discussions of these proposals, being sure that the projects that the board decides to fund are firmly rooted in the humanities and that they meet relevant application guidelines. As a routine facet of evaluation, most councils ask their members to attend selected council-funded regrant projects in order to see the results of the council's decisions and to get a fuller sense of what constitutes a successful project.

The council also establishes program policies. Based on its own mission statement, a council sets its goals and objectives and, along with the council staff, develops plans to achieve them. Council members are responsible for presenting a cogent case for these goals and objectives in the applications for funds and subsequent reports (biennial or triennial proposals and interim reports) that are submitted to NEH and for seeing that the council's program is accurately reflected in these documents. The board also establishes the council budget and decides if and how to seek outside contributions. Most councils form committees to deal with these and other matters and to make recommendations to the full board.

Other ways in which council members participate actively in all aspects of a state humanities program include: assessing the council's review procedures to ensure that they are consistent and fair; paying careful attention to project evaluations and other responses from the citizens of the state; assisting in the preparation of proposals and reports to NEH; setting up networks with other intellectual and cultural institutions in the state; participating in publicizing the program; helping to develop

fund-raising strategies; assuring that programs receiving financial assistance are selected with an eye to the geographic and cultural diversity of the state; reviewing personnel policies; and hiring an executive director for the council and working with council staff.

Determining the effectiveness of the organization itself is also necessary. It is especially important to have institutionally defined ways of ensuring that superior projects become more than isolated experiences and that they have cumulative or long-term beneficial effects. While council members' work is frequently time-consuming, it is rarely laborious. Virtually all who have served on a state council have come away with a deep sense of accomplishment and with a genuine satisfaction at having contributed to the advancement of the intellectual and cultural climate of their state. Board members who retire testify to the lasting benefit their board tenure has had on their own lives. The responsibilities of board members are numerous, but the intangible rewards are even greater.

ROLE OF THE COUNCIL CHAIR

Depending on the provisions of a council's by-laws, a chair is elected to a one- or two-year term. As the board's chief officer, the chair receives the NEH grant on behalf of the board. The primary duties of this office normally include presiding at meetings of the full council and, usually, of the executive committee; setting the agendas for meetings; working closely with the staff and the council in formulating long-range goals and preparing proposals to NEH; and maintaining contact with the staff of the council and with the staff of the Division of State Programs in order to assist the council in reaching its goals. The chair also represents the council at state, regional, and national meetings.

ROLES OF THE EXECUTIVE DIRECTOR AND STAFF

Each council selects an executive director, who in turn oversees a small professional staff which implements board policy and makes recommendations to the council for policy changes. As head of the staff, the executive director has wide-ranging duties: managing the council's day-to-day activities and budget; directing planning and development efforts; conducting conferences and workshops for potential grant applicants; implementing a public information and outreach plan; assisting organizations wishing to submit proposals; supervising the regrant program; coordinating the writing of biennial or triennial proposals and interim progress reports; maintaining records and correspondence; helping to plan council meetings; orienting new council members; maintaining communication with the Division of State Programs; and helping to develop special projects. The other staff members may assist in these activities or may have specific duties, such as conducting proposal writing or publicity workshops, coordinating a resource center or other council-conducted projects, or developing evaluation strategies. The staff is expected to keep the council informed on the progress of its work, and the obligation of the funds in the various budget categories. Along with the board members, the staff represents the council to the general public and to the academic community.

It is important to keep in mind that while the staff manage day-to-day operations of the state program, it is the council itself that is the recipient of federal funds and that therefore has legal responsibility for the appropriate and effective use of these funds. Just as the board relies on a competent and professional staff, it is equally true that the staff depends on an active, committed, and responsible board. State council work represents a shared enterprise, and the most effective councils are those in which this type of balance has been established and maintained.

ROLE OF DIVISION OF STATE PROGRAMS STAFF: THE PROGRAM OFFICER

The Division of State Programs oversees the federal funds and assists state councils throughout the nation; it operates with a staff of eight program officers and one Division director. Program officers have come to the Division from a variety of backgrounds: college teaching, work in museums or other cultural institutions, service on state councils, directorships of council-funded projects, service as council staff, or experience in working with other divisions of NEH. Division staff members on the average have worked for more than eight years in state programs, either on a state council or as a member of the Division.

For administrative purposes, the Division of State Programs divides the country into three regions—West, Center, and East. There are three corresponding teams of program officers, each coordinated by a regional officer. Each program officer is assigned primary responsibility for approximately seven states within his or her region. (See the enclosed listing of program officers and the states to which they are assigned.)

As the primary liaison between the councils and the Division, it is the program officer's responsibility to be knowledgeable about his or her states in particular and to attend state council meetings and—whenever possible—to visit funded projects there. Because the program officers are familiar as well with the work of many other state humanities councils, they can be helpful in responding to board questions about comparative practices or programming strategies from other parts of the country. On a daily basis, the program officers are in touch with the states, offering assistance or responding to inquiries.

Program officers also oversee the work of the state councils as grantees of NEH, through reviewing budgets, checking compliance plans, tracking applications, assisting with NEH audits, and so on. In order to fulfill the Division's responsibilities, the program officers participate in major state council meetings; organize orientation meetings at NEH for new executive directors; review draft proposals; review and comment on each council's guidelines and compliance plans; select panelists for review of state council proposals to NEH; and prepare proposal post-review letters for the councils that report the shared opinion of the evaluators and the Division.

Members of the program staff also represent the work of the state programs and NEH to both the general public and to scholarly audiences. The Division makes an effort to keep scholarly organizations informed about noteworthy projects funded by state councils through articles appearing in

professional newsletters and in sessions of professional meetings. The Division issues its own newsletter as well, and provides periodic reports on topics of interest to the councils.

ACCOUNTABILITY

Councils should always be aware of the need to remain accountable to the public, to NEH, and to Congress for the ways in which their programs are conducted. This accountability begins with the source of the grant funds (the NEH) and ultimately involves the public whose taxes support the entire program. Publicly funded projects are measured against standards of excellence and should serve the purposes that Congress has outlined for the Endowment. The council's grant review process and overall program should be carried out in a manner that guarantees accountability, should be free of conflicts of interest, and must not discriminate with regard to race, color, religion, national origin, sex, handicap, or age. The program should be conducted with an awareness of the geographic and cultural diversity of the United States and with respect for the differing beliefs and values of the American people. Professional expertise, discernment, and an awareness that public funds are being expended—all these qualities are essential to successful programming by the councils.

Briefly, the kinds of accountability can be placed into three separate but related areas: procedural, programmatic, and financial.

Procedural Accountability

In order to qualify for federal funding, councils need to comply with congressionally mandated requirements. Specifically, councils must:

- o Expend their funds only on programs which carry out the objectives of NEH as established in the original legislation;
- o Provide for the appointment of up to six board members by the state governor (as long as these appointments do not constitute more than 25 percent of its membership);
- o Assure that half of the board comprises representatives of the academic community and that half is from the general public; (council membership should also reflect the state's demographic characteristics);
- o Solicit annual nominations for council membership widely, publicly, and in written form so as to ensure opportunities for nominations to membership of various groups within the state and from a variety of segments of the population;
- o Provide for an orderly rotation of membership so that stability and the infusion of new members are balanced;
- o Submit an annual report to the state governor;
- o Inform the public about their activities. This includes wide distribution of council publications (such as newsletters, application guidelines, and an annual report);

- o Hold public meetings around the state each year to allow for public comment on the council's mission, goals, and plans; and
- o Make reports to the Chairman of NEH as specified.

Councils submit an annual compliance plan to NEH detailing the ways in which they meet the aforementioned requirements. When the agency approves the council's compliance plan, the council is then declared eligible to receive federal funds.

Programmatic Accountability

Councils demonstrate accountability in this area through the biennial or triennial proposals and interim progress reports which are submitted to NEH. Although interim reports are submitted in intervening years from the proposals and are reviewed by the Division staff, a council's major report is the proposal, which is subject to peer review.

The proposal is both a report on the council's prior program activity and an application for funds for future programming, including a plan for how the funds will be used. In each proposal review cycle there are up to six panelists assigned to each of the proposals. These evaluators are chosen on the basis of their knowledge of state council programs in general; most are former council members and many are familiar with the work of non-profit organizations in other contexts. The panelists each read six or seven proposals, prepare written comments on each, and ultimately convene in Washington for a day-long meeting. After discussing their assessments of each proposal at length, the panelists take their final vote.

The results of this process are then reviewed first by a subcommittee of the National Council on the Humanities and then by the full Council, which makes its recommendation to the Chairman of NEH. Upon receiving the Chairman's approval for funding, the Division of State Programs staff prepares a letter which is sent to the state council. This post-review letter furnishes the state council with a summary of the points on which the evaluators reached general consensus, together with a separate staff comment. The diagram in Appendix 4 presents a schematic view of this entire review process.

Ideally, this review letter should be considered as another evaluation tool by the council. Since so many evaluating the proposal have had experience with state councils themselves, their assessments of the proposal represent external feedback which many councils have found to be helpful.

Biennial or triennial proposals also can be very useful internally for a council. One council considers the preparation of the proposal itself to be its "most concentrated evaluation." In addition, the programs outlined in the council's proposals over the years represent a record of the state program. As such, the proposals—especially the most current one—constitute an excellent resource for orienting new members into the council's ongoing efforts and initiatives. Furthermore, since a council's membership is changing constantly, the proposals stand as a unifying thread to help enhance the council's own institutional memory. Each proposal is rather like a snapshot of a state council at given point, but cumulatively the proposals reflect past successes and failures as well as future aspirations.

Financial Accountability

As stewards of public money, councils need to monitor many different facets of their overall budget. Since funds can come from a variety of sources, the funding picture for state councils is complex (though not inordinately so). Although new — or even veteran — board members often find that the terms used to refer to the various kinds of money available to a council are somewhat confusing, the process becomes easier with practice.

The NEH receives a yearly appropriation from Congress via a lengthy process that normally begins approximately 18 months prior to the beginning of the federal fiscal year, October 1. After the allocation of funds is made to the agency by Congress, the various divisions of NEH award this money to applicants through the granting process. There are basically two types of federal funds available to councils: definite funds and indefinite funds. (You may find it helpful to refer to the figure in Appendix 2).

Definite funds are awarded to councils in accordance with language contained in the authorizing legislation. The legislation also establishes a formula for the distribution of these funds to the state councils, as follows:

- o \$200,000 to each eligible state council (if sufficient funds are available; otherwise, NEH divides the available funds equally among all states).
- o Of the remaining funds...
 - Forty-four percent is divided equally among the states.
 - Twenty-two percent is allocated on the basis of state population.
 - Thirty-four percent is available to the Chairman as National Funds for the State Programs, regional groups, and other entities. In the past, the Chairman has used that money to enlarge council grants with supplements for administrative costs, to augment the councils' matching authorizations, to pay for special projects and services which benefit state councils (such as new member orientation conferences and national meetings for chairs and for executive directors), and to provide State and Regional Exemplary Awards to councils for special projects, based on a national competition. These National Program Funds are also the source of a council's **unrestricted funds**, which can either be used for matching or directly for regrant projects.

Indefinite funds, also called **Treasury funds**, are offered by NEH to a state council, but are not released until they are matched by third-party gifts from donors. Typically, the money raised comes both from individual regrantees who raise cash for projects and from outside fund-raising efforts by the council. (Gifts from grant recipients of NEH or from the state council are ineligible for matching, as are gifts from certain other donors with conflicts of interest.) Donors can give the gift either to a specific project or to the council directly, and the council then certifies to NEH that the money has been received. Upon

receiving and approving a certification from a state, the NEH Grants Office releases an equivalent amount of matching money for use by the council, up to the maximum amount of the council's annual offer. If the money is raised by regrantees, the usual practice is for the regrantees to retain the original gift money and also to receive additional federal matching funds for their projects, thereby extending the impact of their fund-raising efforts.

In monitoring the disbursement of federal funds, councils need to maintain records of other aspects of their overall fiscal operation. Other kinds of financial matters of relevance to councils are:

Cost Share: Each state council must cost share the federal funds it receives, dollar for dollar. (Cost sharing is not to be confused with matching.) Cost share may come from any source outside of NEH. In order to meet the cost-sharing requirement, a state council usually provides only up to one half of the cost of projects supported by its regrants; the other half is typically supplied by the organization receiving the regrant, either **in cash** and/or **in kind**.

In-kind cost share may take many forms—from poster board given by a local store to the value of the time a scholar spends preparing a presentation. The council may exercise its discretion in waiving or lowering cost share for some regrantees as long as total cost-share requirements for the council's NEH grant are met. The council members themselves also contribute substantially to this cost-share requirement through their in-kind contributions of time spent reading applications, traveling to and from council meetings, sitting in full council or subcommittee meetings, and serving as evaluators for council-funded projects.

The cost-sharing provision ensures that local support, in a tangible form, undergirds all council-funded projects.

State Council Budgets: With every proposal or interim progress report each state council submits a budget for anticipated program costs as well as administration and services-to-the-field costs. Once the federal budget is passed, the Division of State Programs allocates grant funds to the state councils. Generally speaking, the projected budgets in the proposals are more detailed for the immediate future, but they should convey a broad sense of the council's fiscal priorities for the entire two or three years of future program activity as outlined in the proposal.

Financial Reporting: The board should be responsible for sound management of its public funds and for ensuring the public trust. Development and approval of the annual budget is probably one of the board's most significant policy decisions, as it reflects the council's vision and priorities. Final responsibility for this should not be delegated solely to a committee. In order to monitor their financial status effectively, most boards normally receive timely financial reports (usually quarterly) and rely on the services of a capable accountant. An annual audit from an independent CPA or accounting firm is also wise, but a council must have a complete audit at least every two years. In addition, councils must submit an annual financial status report to NEH within 90 days after the end of the grant period.

When questions regarding fiscal policies or procedures arise, many councils have found that the Grants Office and the Inspector General's Office of NEH can be very helpful. Council representatives should always feel free to contact these offices if assistance is needed. Contact can also be arranged through your program officer.

Accountability in General

Beyond the specific areas discussed above, it is essential that councils also give attention to other mechanisms of accountability. The council's regrant guidelines and procedures should be fair. The council must convince the public through its actions, as well as its statements and declarations, that it operates in an equitable manner. Of course, since responsibility for public funds always involves appropriate public scrutiny, the council should have a clear conflict-of-interest policy and should adhere to it rigorously so that there can never be the appearance of impropriety in the actions taken by the council or the council members. Councils must always abide by nondiscrimination laws applicable to NEH and assure that their programs and grantees carry out the objectives established in NEH's legislation.

FUND RAISING

Increasingly, as councils develop into complex cultural organizations within their states, council boards are exploring ways to enhance their program and administrative resources. Regardless of the manner in which a council decides to proceed, some questions that boards have found it important to consider regarding fund raising include: How will the funds be used, and which program needs will be met? How will these fund-raising efforts affect the structure and makeup of the board itself as well as its ability to focus on its primary mission of providing public humanities programs? Should the board try to achieve its fund-raising goals through relying on its own members and staff, or through outside assistance? What are the most logical sources of support —annual campaigns, friends groups, corporate sponsors, state funding?

CONCLUDING REMARKS

The humanities are not vague studies which are separate from our daily life. They are not ornaments or hobbies of a few wandering souls. Essentially, they deal with the concerns and key questions we ask ourselves as members of the human race. They are related to our capacity to create new forms of understanding the world. They go deep into the historical factors that explain our roots. And they probe with a spirit of free inquiry into the shadows of the future.

Arturo Morales Carrion
Founding Executive Director
Puerto Rican Foundation for the Humanities

The thoughts expressed by Arturo Morales Carrion stand as an eloquent reminder that a short review such as this can never do justice to the wonderful subtleties of council work. Each regrant or council project can open up untried possibilities for reaching out to the public.

As you continue to gain experience on your board, you will undoubtedly find that new questions arise about the various aspects of the council's program. Those of us in the Division of State Programs would encourage you to consult with your staff and fellow board members frequently or to give us a call whenever you think we might be of assistance. We also look forward to meeting you during one of our visits to your council. As the central repository for information about and from all of the councils, we furnish to council members and staff a wide variety of comparative material from other states. Is the council interested in devising a new line of programming and finding out which other states have experience with the same topics or formats? Is the council planning to rewrite its regrant guidelines and would like to see some comparative samples from other states? Does the council need to find out how other states cultivate and recruit new members? Does the council have a question about how other states carry out their evaluations or their retreats? The Division of State Programs has information that can help with these and many other matters. We are always happy to respond to requests.

We would like to offer our best wishes to you as you begin your council tenure. We know that you will find it to be a richly rewarding experience and one that will give you an opportunity to make a real contribution to the people of your state. Work in the humanities became part of national legislative agenda twenty-five years ago, but it is volunteers like yourself who are the guardians of its continuing excellence.

APPENDIX 1

Glossary of Terms

(The following glossary is intended to furnish some brief definitions of common terms that you will encounter as a state council board member. Most definitions are deliberately brief. In most instances, a fuller discussion of each term can be found in the text.)

Base Grant - The minimum funding level, set by Congress, that is available to a council if it is found to be in compliance with the existing legislation and if its program is judged to be adequate in the peer review process. Treasury funds and National Program funds (see page 12) are not part of the base grant.

Biennial/Triennial Proposal - The proposal submitted to NEH which serves as a final report on the council's previous program activity and as a plan and application for continued funding for upcoming years. The proposal is reviewed by outside evaluators, Division staff, the National Council on the Humanities, and the Chairman of NEH.

Certification - See Indefinite Funds.

Compliance Plan - The council's document to NEH demonstrating that the council is complying with congressionally mandated requirements for all the state councils. An approved compliance plan is a prerequisite for becoming eligible to receive federal funds.

Cost Share - Each state council must cost share the federal funds it receives, dollar for dollar. (Cost sharing is not to be confused with matching.) Cost share may come from any source outside of NEH. In order to meet the cost-sharing requirement, a state council usually provides only up to one half of the cost of projects supported by its regrant; the other half is typically supplied by the organization receiving the regrant, either in cash and/or in kind.

Council-Conducted Project - A council can set aside a portion of its regrant funds to conduct a special project on its own. Many councils have chosen to operate resource centers as council-conducted projects, but theoretically any type of public humanities program is eligible.

Council-Initiated Project - A project that a council does not actually administer but that has been solicited from an applicant through a Request for Proposals or other special program announcement.

Definite Funds - A direct allocation of funds by Congress to NEH's Division of State Programs for grants to the state councils. Also known as outright funds. (See "Indefinite Funds")

Division of State Programs - One of five divisions within NEH. The Division is responsible for overseeing grants to the state councils, assisting them in realizing their program goals, and helping them to remain abreast of national trends and developments.

Exemplary Award - State councils can apply to the Division for funding for special projects. The applications for State and Regional Exemplary Awards are reviewed yearly by the Division through a special grant or competition. States may apply, either individually or in partnership with other states, for funds for either full-scale projects or for project planning.

Gift-and-Match - A gift is any non-federal money received by a council. Also a broad term used to refer to the ways in which councils carry out their gift-and-match programs. Also used to refer to the combined gift-and-match funds.

Grant - An award of federal funds from NEH. Usually this the primary source of a council's budget. (See "Regrant".)

Humanities - Defined by Congress as including (but not necessarily limited to) the study of the following disciplines: history; philosophy; languages; linguistics; literature; archaeology; jurisprudence; the history, theory, and criticism of the arts; ethics, comparative religion; and those aspects of the social sciences that employ historical or philosophical approaches. As distinguished from the arts, the humanities do not involve performance but are defined by the use of critical reasoning and interpretation as exemplified by the various constituent disciplines.

In-Cash Cost Share - Cost sharing by a regrantee which involves an actual cash outlay. An example would be money that a sponsoring institution might donate to a specific project.

In-Kind Cost Share - Cost sharing by a regrantee which does not directly involve cash but equivalent donated resources or facilities. For instance, a local museum may allow a project to take place in its auditorium without charging its usual fee. The amount of that normal fee can be used as an in-kind cost-share contribution for that regrant.

Indefinite Funds - Also known as Treasury Funds, this is an offer of funds to a state council which will be released only if they are matched by third-party money. Treasury funds are released by the government after the state council certifies to NEH's satisfaction that the eligible gifts have been received either by the council or its regrantee.

Interim Progress Report - A report submitted to NEH in intervening years from those involving major proposals. Interim reports are not normally reviewed by outside evaluators.

Matching Funds - See Indefinite Funds.

NEH - Acronym for the National Endowment for the Humanities, a federal agency established by Congress in 1965.

Panelists - Individuals responsible for peer review of major proposals. They are usually former council members and people familiar with the world of nonprofit organizations. The comments of panelists are a critical component of the proposal review letter sent from NEH to the state council. Normally each state's proposal is read by up to six panelists.

Peer-Review Process - The process through which NEH awards its grants. Grant applications are assessed and recommended for funding by peer-review panels that are composed of scholars or experts in a given area.

Program Officer - A member of the Division of State Programs staff who serves as the liaison for a state council. Each program officer is responsible for overseeing the work of seven or eight state councils as well as for providing any necessary assistance or information to the councils.

Public Meeting - Since 1985 Congress has required that all state councils conduct public meetings annually in order to receive direct feedback from citizens regarding the councils' programming and to respond to these public suggestions and comments.

Reauthorization - By means of this legislation the National Endowment for the Humanities is authorized to function for a stated period of time. At the end of that time, reauthorization hearings are held by Congress to determine whether or not the agency should continue to exist and to set the upper limits of its funding. NEH's enabling legislation is shared by two other federal agencies: The National Endowment for the Arts and the Institute of Museum Services.

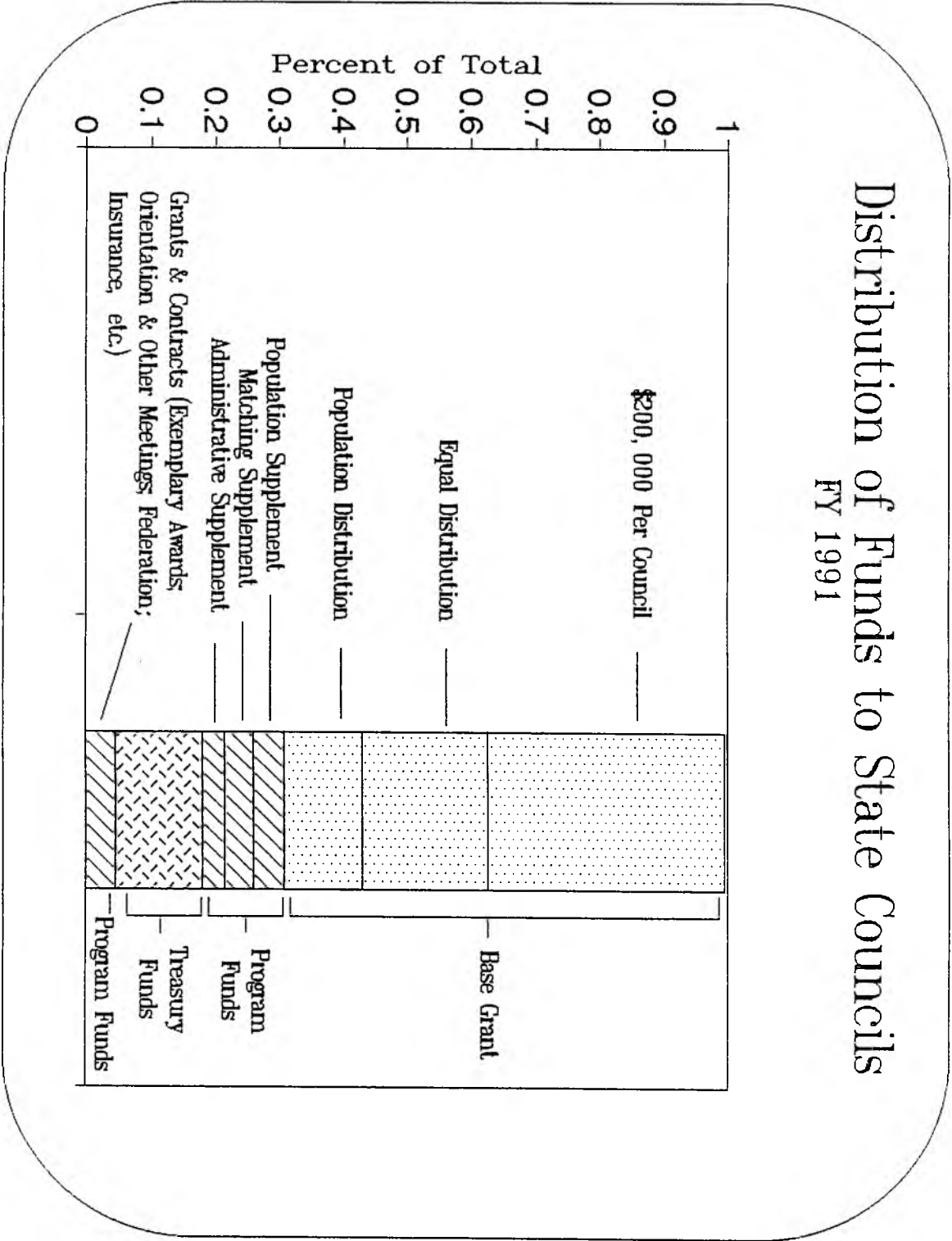
Regrant - The mechanism through which a council awards its grant funds to non-profit organizations within its state. Also used to refer to these funds in general. The term reflects the fact the awards made by a council come out of grant funds received from NEH.

RFP - Acronym for Request For Proposals. An RFP is a program development mechanism through which councils can publicly solicit proposals from throughout the state on specified topics or themes.

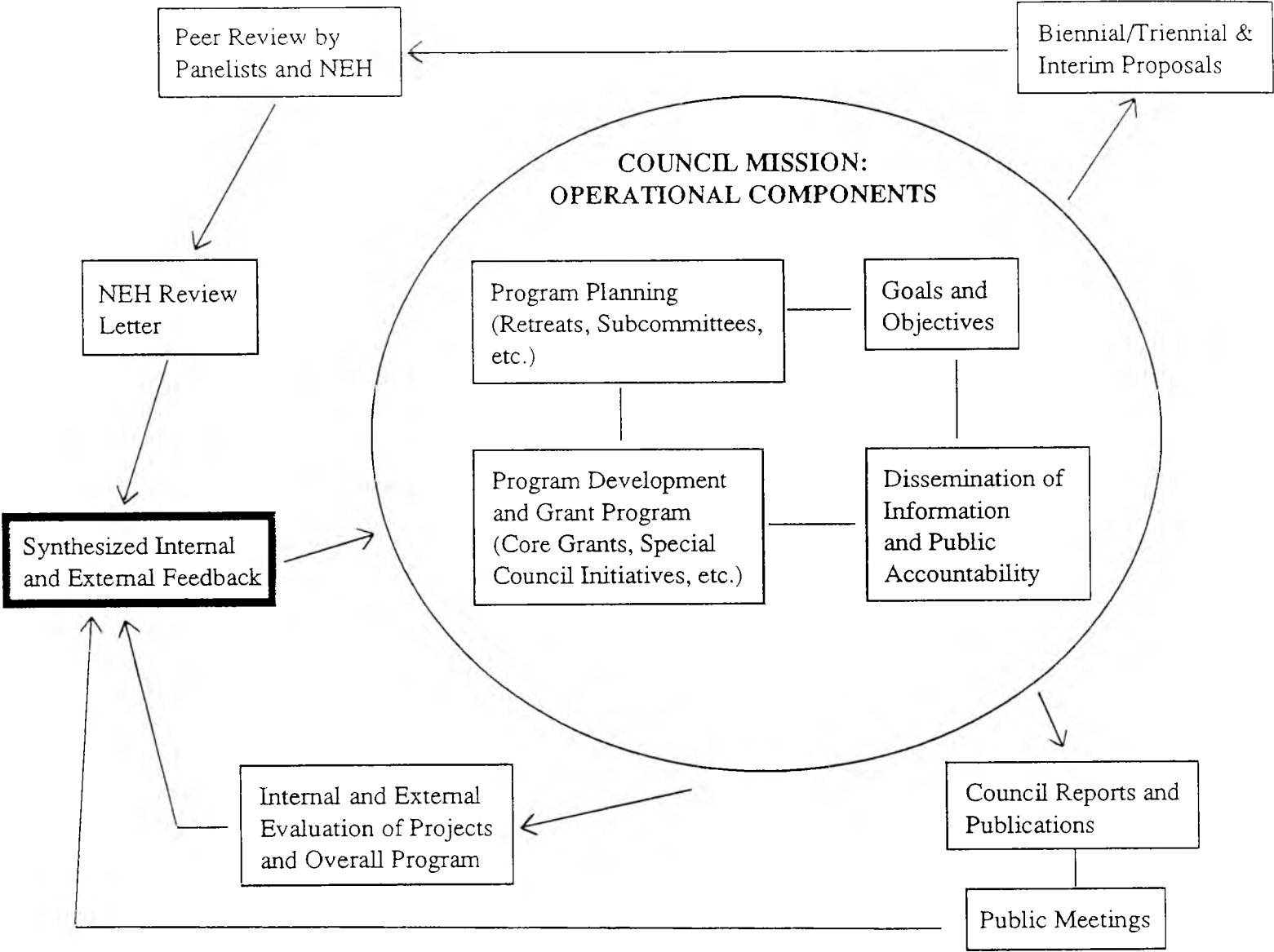
State Humanities Council - The first six state councils were initiated in 1971, and the program became a mandated part of NEH in the reauthorizing legislation in 1976. Although they appear under a variety of names (e.g., council, endowment, commission, committee, forum) all councils, as recipients of NEH funds, are nonprofit entities and are charged with making public humanities programs available to people throughout the state, including those who would otherwise not easily have access to them.

Treasury Funds - See Indefinite Funds.

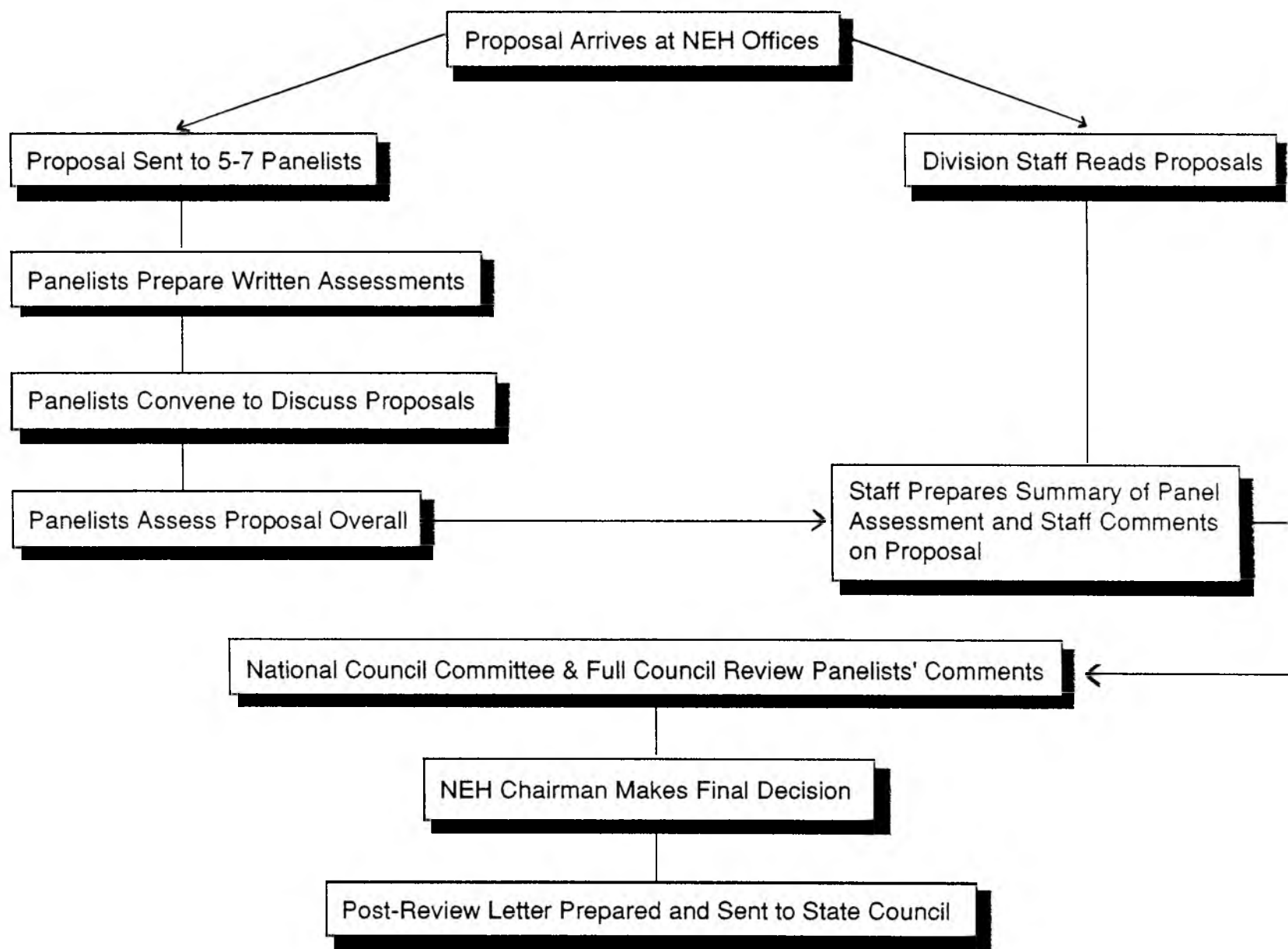
Unrestricted Funds - Supplementary definite funds over and above the base grant (See "Base Grant"). These funds, which are allocated by the NEH chairman out of National Program Funds, can either be designated directly for regrants or, if they are matched by third-party gifts, can be used for administrative costs and council projects.



APPENDIX 3



APPENDIX 4



National Endowment for the Humanities
Division of State Programs
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