

N A T I O N A L

E N D O W M E N T

F O R T H E

H U M A N I T I E S

# Schools for a New Millennium Planning Grants

*A Special Opportunity  
Sponsored by the NEH  
Office of Enterprise and  
Division of Research and  
Education Programs*

Application Deadlines:  
April 1, 1998  
April 1, 1999

**NATIONAL  
ENDOWMENT  
FOR THE  
HUMANITIES**

*Division of Research  
and Education, Room 303  
1100 Pennsylvania Avenue, NW  
Washington, D.C. 20506*

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202/606-8380*

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*Web Site: <http://www.neh.gov>*

**Deadlines**

**For Planning Grants:**

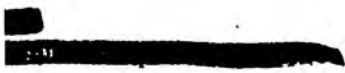
**Deadlines: April 1, 1998 and April 1, 1999**

**For Projects Beginning: September 1, 1998 and September 1, 1999**

**For Implementation Grants:**

**Deadlines: October 1, 1999 and October 1, 2000**

**For Projects Beginning: May 2000 and May 2001**



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## **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.

## THE HUMANITIES

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

### Organization of the Endowment

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

### Presidential Directives

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

## 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 hu-  
manities.*

*Schools for a New Millennium builds on the NEH's Teaching with Technology Initiative and incorporates the work of the whole-school reform movement.*

## **SCHOOLS FOR A NEW MILLENNIUM**

### **A Special Opportunity Offered by NEH through the Office of Enterprise and the Division of Research and Education Programs**

To mark the approach of the twenty-first century, the National Endowment for the Humanities invites educators to refresh their commitment to excellent humanities teaching and learning by incorporating new technological resources into intensive professional development for teachers. Schools for a New Millennium builds on the NEH's Teaching with Technology Initiative and incorporates the work of the whole-school reform movement.

#### **Goals**

-To engage a critical mass of educators in a middle or high school in sustained study of core subjects such as History/Social Studies, English/Language Arts, Government, and Foreign Languages;

-To help teachers explore and master digitized resources to enrich their own and their students' knowledge and understanding of significant humanities topics and texts;

-To translate this understanding into school-wide curricular improvements, which will eventually reach every student in the school; and

-To enlist the support of the wider community--parents, colleges, libraries, and local business--in these reform activities for the ultimate benefit of students.

#### **Types of Grants**

**Planning Grants** of up to \$30,000, for six to nine months.

Receipt Deadline:	For Projects Beginning:
April 1, 1998;	September 1, 1998
April 1, 1999	September 1, 1999

**Implementation Grants** of \$200,000 to \$400,000, for a two-year period.

Receipt Deadline:	For Projects Beginning:
April 1, 1999;	September 1, 1999
April 1, 2000	September 1, 2000

PLEASE NOTE: An award of a Planning Grant does not necessarily ensure an Implementation Grant; however, the activities of the Planning Grant will be valuable for any school-wide effort. A Planning Grant is not a prerequisite for applying for an Implementation Grant.

### Example of a Planning Grant

History, government, and English teachers at a rural high school want to teach about the American experience in line with state curriculum standards that emphasize the use of primary historical sources and new educational technologies. With the support of the principal, the chairs of several departments, the technology coordinator, and a small group of teachers meet during the school year and the summer to assess the particular needs of the school in professional development and instructional resources. Drawing upon the support of consultants from a nearby university and the historical society, the group identifies online and other resources and teaching strategies that would support content-rich and interdisciplinary instruction. Connections also are established with three feeder middle schools that have adopted block scheduling and with a local corporation interested in upgrading the computer resources of area schools. After six months, the four participating schools develop a comprehensive plan that focuses on the U.S. Civil War. The plan also provides for sustained collaboration between the schools and postsecondary and cultural institutions in the area. It identifies clear objectives and a strategy for measuring its progress. Grant monies cover stipends for teachers and other members of the planning team, academic and technical consultants, meetings and travel, equipment rentals, and the purchase of books, videos, CD-ROMs, and other materials.

### Example of an Implementation Grant (application and guidelines are available under separate cover)

With funds provided by a telecommunications company, a charter high school in a predominantly Spanish-speaking community develops a pilot program in which each student is issued a laptop computer for school and home use. Using the NEH Millennium Schools Implementation Grant, both teachers of language arts and teachers of Spanish participate in a month-long summer seminar at the school on the use of technology for language acquisition. As part of their study, the teachers collect from the Internet authentic language materials (newspapers, weather reports, etc.). With several faculty from a nearby community college, they develop and test a number of homework assignments designed for students and their parents to complete at home. These assignments include oral histories and discussions of recent cultural events. On Saturdays or weeknights, students train parents to use the computer and access the World Wide Web. Parents follow their children's work using e-mail. A full assessment of the pilot determines its efficacy and whether it should be expanded throughout the school district. Information about the project is shared across the country on the Internet. The grant helps cover the cost of summer stipends, project administration, consultants, and released time.

*Planning grant monies cover stipends for teachers and other members of the planning team, academic and technical consultants, meetings and travel, equipment rentals, and the purchase of books, videos, CD-ROMs, and other materials.*

*The program particularly welcomes proposals from educational institutions serving groups of Americans who historically have not had full access to educational opportunity.*

### **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 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, parent-teacher organizations, 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 these 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 Millennium Schools special opportunity welcomes projects that will help teachers to engage their students in substantive study of the humanities using digital technologies. *Grants are not intended to support the large-scale acquisition of computer equipment by schools or colleges; modest purchases of equipment intended for use in the project are allowed.*

All projects should address how specific humanities topics are best taught and learned. The NEH 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. 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 NEH. Persons interested in support in these areas should write or call the National Endowment for the Arts, Washington, D.C. 20506, 202/682-5400.

### **Application Review Process**

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 650 scholars, professionals in the humanities, and other experts serve on approximately 125 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. In some programs the judgments of panelists are supplemented by individual reviews solicited from specialists who have extensive knowledge of the spe-



cific 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. Applicants for School for a New Millennium will be notified approximately four months after submission.

### **What are the Criteria for Evaluating Planning Grant Applications?**

#### **Intellectual Quality**

- o Curriculum planning focuses on significant humanities topics and texts.
- o Humanities scholars are deeply engaged with teachers and school personnel in core project activities.
- o Digital resources relevant to humanities teaching are identified.
- o Specific humanities subject matter is linked to a consideration of effective teaching strategies.

#### **Design**

- o Planning activities are detailed, feasible and directed toward long-term implementation goals.
- o Key stakeholders, including teachers, school administrators, and parent organizations are involved.
- o Institutions from the wider community, such as colleges, libraries, and businesses, strongly support the project.
- o Plans provide for the acquisition of adequate computer resources.

#### **Results**

- o The project will yield a blueprint for enabling a significant number of teachers to use digital resources in informed and creative ways in their classes.
- o Project activities will advance curricular and school reform goals.
- o The project will help the school(s) meet relevant state and local standards of assessment.
- o A sound plan will be developed to evaluate subsequent implementation efforts.

*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.*

*Through its regular program deadlines, the Education Development and Demonstration Program supports a variety of projects that involve humanities education and digital technologies.*

## **What About Other Technology Projects?**

Through its regular program deadlines, the Education Development and Demonstration Program supports a variety of projects that involve humanities education and digital technologies. If you are interested in developing a proposal for a technology project that does not fit the guidelines of the Millennium Schools special opportunity, please contact the Education Development and Demonstration Program by telephone (202/606-8380) or via e-mail (education@neh.gov).

## **GRANTEE RESPONSIBILITIES**

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

The grantee organization is required to

- o have a sound financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost-sharing contributions and that monitors the expenditure of these funds against the approved budget;
- o carry out project activities in accordance with the workplan provided in the approved application; changes in key project personnel, project scope or design, or in the arrangements to contract out project activities must be submitted to the NEH in advance for review and approval;
- o have in place a system for prior review and approval of all grant actions and expenditures that the grantee institution is delegated to approve;
- o maintain adequate documentation of the time spent by all project personnel on grant activities;
- o have an audit performed that meets the requirements of Office of Management and Budget Circular A-133 whenever \$300,000 or more in federal funds is expended during a fiscal year;
- o return to the NEH a portion of the income earned on services and products resulting from grant activities when this is required by the terms and conditions of an award; and
- o acknowledge NEH support in all materials publicizing or resulting from grant activities.

# INSTRUCTIONS FOR SUBMITTING APPLICATIONS FOR SCHOOLS FOR A NEW MILLENNIUM PLANNING GRANTS

**Receipt Deadline: April 1, 1998; April 1, 1999**

**I. Consult** with a Program Officer in the Education Development and Demonstration group of the Division of Research and Education.

Telephone: 202/606-8380 E-Mail: [education@neh.gov](mailto:education@neh.gov)

Consultation should begin by February, and, to assure a careful reading, any draft applications must arrive by March 1.

## **II. Write your application.**

**A. Fill out *Cover Sheet* and *Budget Form*** (see enclosed instructions.)

**B. Complete a *Narrative* section**, no longer than eight double-spaced pages, or approximately two thousand words. Your responses to the following questions should include all essential information that will help reviewers understand your project goals, content, and activities and how they meet the Criteria for Evaluation listed above.

1. Identify specific areas of the humanities curriculum or instruction that you would like to improve through the project. Outline any reforms or improvement efforts in which your school is currently engaged, and describe how your project would complement these larger efforts. Describe the specific humanities themes, topics, texts, and courses that you would like to develop. What teaching and learning issues in the humanities would you like to address?

2. Describe your school, sketching a profile of its students, teachers, and support personnel. Mention any special features of the school (e.g., charter or magnet school, incorporation of site-based management). What are its current technological resources? (Use no more than one page.)

3. Describe how you will assess what further resources (e.g., computer equipment) will be needed for implementation. How will the teachers acquire access to the Internet? What is your plan to secure these resources?

4. List the planning activities you will undertake to meet your goals. How will the professional development activities address teaching and learning in specific humanities subject areas? Which scholarly consultants are engaged to work with teachers? How will you engage other needed scholars? How will the scholars participate in the project? In an appendix, please include a workplan and timetable for the planning period; identify specific dates, times, and content of activities; include resumés and letters of commitment from consultants.

*Consultation should begin by February, and, to assure a careful reading, any draft applications must arrive by March 1.*

*Explain how you will engage outside partners (e.g., parent-teacher organizations, local businesses, museums, libraries, or resource centers) and how these partners will contribute to the project.*

5. Identify the administrators, teachers, and other school participants (e.g., library resource teachers, technology specialists, etc.) who have already committed themselves to the planning effort. Please include letters of commitment in an appendix. What other people will you need and how do you plan to involve them?

6. Describe how planning will assure that the curricular changes will coordinate with applicable standards, guidelines, and frameworks.

7. Explain how you will engage outside partners (e.g., parent-teacher organizations, local businesses, museums, libraries, or resource centers). In what ways will these partners contribute to the project?

8. Describe how an evaluation plan will be formulated to assess improvements in teaching and learning in the humanities.

### III. Attach Appendices

- o Workplan and Timetable
- o Reading lists
- o Résumés for all key project personnel
- o Documentation of the commitment of key project personnel, including those not affiliated with the applicant institution (for example, visiting lecturers or outside consultants)

### IV. Check the following to ensure your application is complete:

The application package should contain an original and nine copies of the application itself and, on top of those ten applications, the following separate documents:

- o The completed NEH Application Cover Sheet with an original signature of the institution's authorizing official (do not use black ink)
- o Three photocopies of the completed Application Cover Sheet
- o The original completed NEH Budget Form

The original and nine copies of the application, placed underneath the separate documents in the application package, should be assembled in this order:

- o Photocopy of the signed NEH Application Cover Sheet
- o Narrative description of the project (double-spaced)
- o Project budget (photocopy of the original NEH Budget Form and a budget narrative)
- o Appendices

V. **Mail** original and nine copies of the application, plus additional documents, to the following address so that it is received by April 1:

**Schools for a New Millennium**

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

Please note the deadline for submission is a receipt, not a postmark, deadline. The application must arrive at the Endowment by April 1.

VI. **Receive** Notification

You will be notified in early August as to the outcome of the competition and, if funded, may begin the project in September. Implementation Grant applications will be accepted on April 1, 1999 and April 1, 2000. A second round of Planning Applications will also be accepted on April 1, 1999.

*The deadline for submission is a receipt, not a postmark, deadline. The application must arrive at the Endowment by April 1.*

*The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is eight hours per response. This estimate includes the time for reviewing instructions, gathering the necessary data, and completing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing completion time, to the Director of the Office of Publications and Public Affairs, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.*

## **INSTRUCTIONS FOR COMPLETING THE NEH APPLICATION COVER SHEET**

### **Block 1. Project Director:**

**Item a.** Enter the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it. (Information about an institution also is requested in Blocks 2, 11, and 12.)

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

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

**Item c.** Enter the project director's full telephone number with area code and extension. Whenever possible, specify a telephone number at which a message can be left. Enter fax numbers and E-mail addresses if available.

### **Block 2. Type of applicant**

**Item a.** Prechecked.

**Item b.** Prechecked.

**Item c.** Identify the **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.).

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

Example: **Type:** Secondary School. **Status:** Unit of Local Government.

### **Block 3. Type of application: Prechecked**

### **Block 4. Program to which application is being made**

In the space provided, enter Education Development and Demonstration. Under "Endowment Initiatives," enter 03S.

### **Block 5. Requested grant period**

Grant periods for planning grants should be for six to nine months. Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period.

### **Block 6. Project funding**

Enter here the appropriate figures from page 4 of the NEH Budget Form, "Project Funding for Entire Grant Period." Please refer to the Budget Information, Instruction, and Forms section for further information on the types of grant support available.

#### **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. The 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. The 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.

#### **Block 12. Certification**

The NEH 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.

*Privacy Act. This information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.*

*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.*

## **Eligible Gifts and Donors**

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 remuneration from project funds.

## **BUDGET INSTRUCTIONS**

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

### **Requested Grant Period**

The grant period must reflect that shown on the application cover sheet. All project activities and the expenditure of project funds must take place during the requested grant period.

### **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, page 17.) **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 20) 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 percent of course load, whichever is greater) per quarter or semester.

- 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 percent of a nine-month academic year salary. Two codirectors would each receive 70 percent of this amount, based on their individual academic year salaries.

## **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, or pension plans. 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 subsection 4.

## **4. Travel**

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

## **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 21 for inadmissible budget items.

## **6. Services**

If rental of equipment is proposed, enter it in this section. (Equipment

*Fringe benefits should be calculated only for those individuals listed under Salaries and Wages. Fringe benefits may include contributions for social security, employee insurance, or pension plans.*

*Indirect costs are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization.*

may be purchased only if rental costs exceed purchase price.) Large or expensive equipment rentals and purchases must be justified in the budget narrative. (See subsection 7 for treatment of equipment purchases.)

#### **7. Other Costs**

**Participant Stipends:** Stipends for participants not employed by the applicant institution should be listed here. Stipends for Planning Grant participants 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." 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 purposes. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

#### **8. Total Direct Costs**

These are the costs of the project excluding indirect costs.

#### **9. Indirect Costs (Overhead)**

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or 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, **excluding participant stipends**). 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:

a. 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 charge to the project 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 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.

*Include a brief budget narrative when costs are unusual or not easily related to the project narrative.*

# **SAMPLE BUDGET FOR A PLANNING GRANT**

			NEH Funds	Cost Sharing	Total
<b>1. Salaries and Wages</b>					
Project Director	11.1% @ \$38,000/academic yr.		\$ 4,218		\$ 4,218
Clerical Support	10% @ \$14,000/yr.		\$ 1,400		\$ 1,400
<b>2. Fringe Benefits</b>					
	11% of \$4,218		\$ 464		\$ 464
	8% of \$1,400		\$ 112		\$ 112
<b>3. Consultant Fees</b>					
Consultant	8 days @ \$250 per		\$ 2,000		\$ 2,000
Consultant	7 days @ \$250 per		\$ 1,750		\$ 1,750
<b>4. Travel</b>					
	no. of persons	travel days	subsistence costs +	transport costs =	
W/in City	[2]	[8]	\$240	\$192	\$ 432
Wash., D.C.	[1]	[2]	\$250	\$450	\$ 700
(Project Directors Meeting)					
<b>5. Supplies and Materials</b>					
Books		12 sets at \$40 per	\$ 480		\$ 480
Software		6 sets at \$250 per	\$ 1,500		\$ 1,500
<b>6. Services</b>					
<b>7. Other Costs</b>					
Stipends to Participants		12 x \$50 x 25 half days	\$ 15,000		\$ 15,000
<b>8. Total Direct Costs</b>			\$ 28,056		\$ 28,056
<b>9. Indirect Costs</b>			10% of \$13,056	\$ 1,306	\$ 1,306
<b>10. Total Project Costs (Direct and Indirect)</b>			\$ 29,362		\$ 29,362

\* Cost Sharing is not required for Schools for a New Millenium Planning Grant

National Endowment for the Humanities  
**BUDGET FORM**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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)
_____ % of	\$ _____
_____ % of	\$ _____

NEH Funds (a)	Cost Sharing (b)	Total (c)
\$ _____	\$ _____	\$ _____
_____	_____	_____
TOTAL INDIRECT COSTS	\$ _____	\$ _____

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

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

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.



## APPLICATION CHECKLIST

- ☐ An original and nine copies of the application
- ☐ The completed NEH Application Cover Sheet with an original signature of the institution's authorizing official (do not use black ink)
- ☐ Three photocopies of the completed Application Cover Sheet
- ☐ The original completed NEH Budget Form.

Assemble the original and nine copies of the application in this order and place them beneath the separate documents in the application package:

- a. photocopy of the signed NEH Application Cover Sheet;
- b. narrative description of the project (double-spaced);
- c. project budget (photocopy of the original NEH Budget Form and a budget narrative); and
- d. appendices.

## 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 the Equal Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506. TDD: 202/606-8282 (this is a special Telephone Device for the Deaf).

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