National
Endowment
for the
Humanities

Division
of
Research
Programs

Guidelines
Application Forms

Interpretive Research

Archaeology Projects

Interpretive Research: Archaeology Projects
National Endowment for the Humanities
Room 318
Washington, DC 20506
202-786-0210

TIMETABLE

August 15	Date by which draft proposals (optional) should be sent to program staff for counsel
October 15	Postmark deadline for sending formal applications to the Endowment
March, the following year	Notification of awards

APPLICATION CHECKLIST

1. Ten copies of the application package, each copy including, in the following order:

    ____ a) Application Cover Sheet (one copy with the original signature of the authorizing official)
    ____ b) Statement of Significance and Impact of Project
    ____ c) Table of Contents
    ____ d) Narrative Description (limited to 25 or fewer double-spaced pages)
    ____ e) Project Budget
    ____ f) Appendices
    ____ g) Statement of History of Grants
    ____ h) A separate page with the identities of the three people who will be writing reference letters

____ 2. Three additional copies of the application cover sheet.

____ 3. Three reference letters, to be submitted separately by the referees on reference letter forms.

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GENERAL INFORMATION

The National Endowment for the Humanities

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

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

The Humanities

In the act that established the Endowment, the term *humanities* includes, but is not limited to, the study of the following disciplines: history; philosophy; languages; linguistics; literature; archaeology; jurisprudence; the history, theory, and criticism of the arts; ethics; comparative religion; and those aspects of the social sciences that employ historical or philosophical approaches.

Work in the creative or performing arts—such as writing of fiction or poetry, painting, sculpting, composing or performing music, acting, directing, and dance—is not eligible for support by the National Endowment for the Humanities. Persons interested in support in these areas should write or call the National Endowment for the Arts. Critical, historical, and theoretical studies of the arts, however, are eligible for NEH support.

Special Initiative

A special initiative is an undertaking by the Endowment to encourage proposals in all grant-making categories for projects relating to a specific subject or event. Proposals are currently solicited for the following initiative:

The Columbian Quincentenary. As part of the international observance of the 500th anniversary of Christopher Columbus's voyage of discovery to the New World, NEH invites proposals for original scholarship on related topics and for the dissemination of both new and existing scholarship. Topics may include the expansion of European civilization and the establishment of new societies and new forms of cultural expression through encounters among native American, European, and African peoples. Proposals may also explore the ideas—political, religious, philosophical, scientific, technological, and aesthetic—that shaped the processes of exploration, settlement, and cultural conflict and transformation set into motion by Columbus's momentous voyage.

Applications for projects on the Columbian Quincentenary are evaluated in accordance with the criteria used to assess other applications and carry no advantage in the competition because of the proposed topic of study.

INTERPRETIVE RESEARCH: ARCHAEOLOGY PROJECTS

The Endowment supports archaeology projects that promise to enhance scholarly knowledge and understanding of history and culture. The Endowment is particularly interested in projects that focus on preparing the results of excavations for scholarly and popular publications. Support is also available for work concerning both foreign and American sites, survey, excavation, materials analysis, laboratory research, artifact preservation, and field reports.

Costs of Manuscript Preparation

The Endowment is particularly interested in encouraging the preparation of archaeological monographs. Proposals for prepublication research may include some of the costs of preparing camera-ready copy and illustrations for offset printing when such a means of dissemination is appropriate. The Endowment will normally support up to 80 percent of such allowable costs of preparing archaeological research for publication.

Excavation Projects

Preliminary Investigations. An applicant who proposes to initiate a major expedition, either for excavation or regional survey, should already have completed preliminary investigations. The application should therefore include, in an appendix, the results of this work, including appropriate plans, maps, and photographs. Although applications for initial surveys alone are not encouraged, applicants who seek funding for major projects may include a request for a preliminary site or regional survey.

Foreign Archaeology Projects. Because foreign archaeology projects must obtain permits from the host country, contact with the appropriate authorities must be established prior to an award. Sufficient evidence that the permits will be forthcoming should be included in an appendix to the application. Should a permit be denied during the application process, the applicant must withdraw from the competition. If the permit is denied or revoked during the grant period, the grant will be suspended automatically. An applicant must inform the Endowment of any change regarding the issuance or denial of a permit. It is the responsibility of the applicant to arrange for liability and medical insurance to cover staff and foreign workers.

Excavation Projects in the United States. Applicants interested in undertaking American archaeology projects should call or write the appropriate state historic preservation officer before consulting the Endowment in order to determine how the proposed research is related to other current state projects. The state historic preservation officer will explain the procedure for nominating a site to the National Register of Historic Places and will discuss the availability of funds from other federal programs. It is the responsibility of the applicant to arrange for liability and medical insurance to cover staff.

Section 106 of the National Historic Preservation Act of 1966. The Endowment requires applicants to determine whether or not a property in a project is listed in or eligible for listing in the National Register of Historic Places. This register is a list of districts, sites, buildings, structures, and objects of national, state, or local significance in American history, architecture, archaeology, and culture. The National Register is maintained by the Secretary of the Interior. For more information write or call the

Advisory Council on Historic Preservation
1100 Pennsylvania Avenue N.W., Room 809
Washington, D.C. 20006

Applicants should consult the appropriate State Historic Preservation Officer (SHPO) to determine if a property is listed or eligible for listing according to National Register criteria. If the SHPO says that the property may be eligible for inclusion in the National Register, the following information should be forwarded to the Endowment with the application: a description, statement of significance, photographs of the property, a map of the property, and any other such documentation. Applicants should also forward the SHPO's written comments about the proposed project's effect on the site.

The Endowment will use this information to satisfy the agency's responsibilities under Section 106 of the National Historic Preservation Act of 1966, as amended, concerning determination of eligibility and potential adverse effect.

Any questions the applicant may have regarding eligibility or possible adverse effect should be directed first to the appropriate SHPO.

Reports. The communication of field reports from funded projects must keep pace with excavation work and related research. Full progress reports, including maps, stratigraphic plans, and photographs must be submitted at the end of a season. Ideally, multi-year projects will alternate periods of excavation with periods of analysis and publication. Preliminary reports should be disseminated to the field as widely as possible, particularly when delays are anticipated in the definitive publication of an excavation.

Preservation. The Endowment encourages the use of materials and procedures in the excavation of archaeological sites that promote the preservation of the site and recovered artifacts. Stabilization of such material guarantees the possibility of future reexamination of established research conclusions. Costs to preserve essential evidence and site stabilization costs may be listed as budget items, including the use of proper storage materials for artifacts; alkaline paper for field notes and other site records or the photocopying of these on alkaline paper; the appropriate housing of photographs, negatives, and slides; etc. Support to institutions for the stabilization of material culture collections, including archaeological materials, may be obtained through the National Heritage Preservation (NHP) Program in the Endowment's Division of Preservation and Access. This program provides funds for the purchase of storage furniture and the rehousing of objects, improved climate control, and the installation of security, lighting, and fire-prevention systems. Note: the NHP Program does not provide funding for item conservation.

Use of Students. The Endowment does not support projects designed primarily for the training of students. Therefore, travel and per diem costs for either graduate or undergraduate students may be included in the project budget only when their contribution to the project's research goals is fully justified in the project description and when credit toward an academic degree will not be given for participation in the project.

Materials Analysis

The Endowment also encourages projects that make use of the most advanced techniques for materials analysis if such analysis is an integral part of a discrete project that focuses on problems of research and interpretation in the humanities. Normally, Endowment support will not exceed 80 percent of the project's total costs; the balance of the project costs are to be shared by nonfederal sources. The Endowment does not provide support for the establishment, research and development, or operating costs of technical programs (e.g., archaeometry, radiocarbon dating, paleobotany, or paleozoology). Proposals that focus exclusively on materials analysis should be submitted to the National Science Foundation.

Eligibility

All projects designed to further research in the humanities and submitted by nonprofit institutions and organizations in the United States are eligible for support. In addition, applications from individuals are eligible in certain programs.

U.S. citizens are eligible to apply, as are foreign nationals who have been living in the United States or its jurisdictions for at least three years at the time of application. Foreign nationals who do not meet the residency requirement may apply if they are formally affiliated with an eligible institution in the United States and apply through that institution.

All applicants are encouraged to correspond with the program staff early in their planning about questions of eligibility.

The Interpretive Research program does **not** provide support for

research undertaken in the pursuit of an academic degree;

the preparation of textbooks;

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

projects that advocate or promote a particular political, ideological, religious, or partisan point of view; and

computer hardware or other permanent equipment costs, unless such costs are necessary to the completion of a project with other main purposes.

Two divisions of the National Endowment for the Humanities support scholarly research: the Division of Research Programs and the Division of Fellowships and Seminars. Projects that are submitted by an institution, **or** are longer than one year in duration, **or** consist of costs in addition to salary support for the project director are considered only through the Division of Research Programs. The Division of Fellowships and Seminars, on the other hand, reviews proposals for research projects that are submitted by an individual, **and** request one year or less of support, **and** are confined exclusively to salary costs for the individual project director.

The single exception to this policy is the field of archaeology. Proposals for support of the writing-up stage of excavation results are eligible in both divisions, subject to the distinctions noted in the previous paragraph. All proposals that include survey or excavation components, including those from individuals, must be submitted only to the Division of Research Programs.

Proposals submitted to the inappropriate division will not be considered for funding, and applicants will be required to wait until the next deadline of the appropriate program in order to apply. To ensure that applications are submitted to the appropriate program, applicants should consult with an Endowment staff member as early as possible.

Fellowships and small research awards are also available from a number of NEH-supported centers for advanced study and national scholarly organizations. Individual scholars interested in pursuing research at any center receiving Endowment support should apply directly to the center. A list of currently funded centers is available from the Endowment on request.

Archaeologists should be aware that certain research projects are eligible for Excess Currency (P.L. 480) funds. The American Institute of Indian Studies, 1130 East 59th Street, Chicago, Illinois 60637, considers applications for research in India. This is an annual competition with a deadline of July 1; requests for application forms must be made in writing. The Special Foreign Currency Program of the Smithsonian Institution, 1100 Jefferson Drive, S.W., Washington, D.C. 20560, also currently considers applications for research in India.

The Advisory Council on Historic Preservation and the Archaeological Assistance Division, National Park Service, can both provide additional information about federal archaeological programs. Archaeological research, surveys, excavations, and the preservation of areas, sites, or buildings listed in the National Register are eligible for support on a matching basis under the National Historic Preservation Act of 1966. Funds for historic preservation, survey, acquisition, and rehabilitation may be available from the U.S. Department of Housing and Urban Development. For further information, applicants should call or write the Archaeological Assistance Division, National Park Service, Heritage Conservation and Recreation Service, U.S. Department of the Interior, Washington, D.C. 20240, or the Office of Community Planning and Development, U.S. Department of Housing and Urban Development, Washington, D.C. 20410. For assistance in matters involving the American Indian Religious Freedom Act, applicants should consult the Advisory Council on Historic Preservation's "Guidelines for Consideration of Traditional Cultural Values in Historic Preservation Review." As noted above, proposals that deal exclusively with materials analysis should be submitted to the National Science Foundation, 1800 G Street, NW, Washington, D.C. 20550.

Non-Profit Tax-Exempt Status

The National Endowment for the Humanities is authorized to make grants to "groups," and the National Foundation on the Arts and the Humanities Act of 1965, as amended, defines a "group" as including "any State or other public agency, and any nonprofit society, institution, organization, association, museum, or establishment in the United States, whether or not incorporated."

In 1990, the U.S. Congress amended the Act to specify that a "group" is now eligible for NEH funding <u>only if</u>—

(1) no part of its net earnings inures to the benefit of any private stockholder or stockholders, or individual and individuals; and

(2) donations to such group are allowable as a charitable contribution under the standards of section 170(c) of the Internal Revenue Code of 1986.

Because of these provisions, institutional applicants must obtain a tax exemption letter from the Internal Revenue Service. To be eligible to receive NEH funding, applicants must have obtained tax exempt status by the time funding decisions are made. Accordingly, by accepting a grant, the recipient certifies that it is a "group" qualified under the above definition. It should be understood by the grant recipient that in the event an award of a grant is erroneously made to an organization, institution, or group subsequently determined to be ineligible for a grant under the Act, the award may be terminated.

Renewal Applications

An applicant may seek additional funds for the completion or continuation of a project. A renewal application must discuss the goals, including goals of productivity and cost effectiveness, that were established at the outset of the original grant and must provide a convincing case for additional Endowment support. In renewal applications, cost sharing should be significantly higher than in the initial project. Renewal applications are judged in competition with the applications for new projects received at that same deadline.

The Review Process

Each application to the Archaeology Program is carefully assessed by knowledgeable persons outside the Endowment who are asked for their judgments about the quality and significance of the proposed project. More than 1,200 scholars, professionals in the humanities, and other experts serve on approximately 225 panels throughout the course of a year. Panelists represent a diversity of institutional, regional, and cultural backgrounds. The judgment of panelists sometimes is supplemented by individual reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the applications under review. The questions listed in the following section are the criteria used in the evaluation.

The advice of the panels and outside reviewers is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then presented to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The National Council meets four times each year to advise the Chairman of the Endowment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding.

Questions for the Review of Applications

NEH evaluators consider a common set of questions in the review of applications, applying those that are pertinent.

- o How convincing is the statement of the significance of the work?
- o Does the project promise to advance scholarship in the humanities? What will be the intellectual contribution and impact of the project? How is it related to existing scholarship in the field? What audiences will benefit?
- o How appropriate are the methodology, critical apparatus, or editorial policies?
- o Are the selection criteria (e.g., in the collection of materials for an edition, the choice of conference participants, or the delineation of subjects for encyclopedia articles) stated explicitly, and are they appropriate?
- o How appropriate are the qualifications and expertise of those directing or contributing to the project? Are the terms of collaboration appropriate?
- o How thorough and realistic is the work plan? How appropriate is the site? How likely is it that the goals will be met? How cost effective is the project?
- o If samples are under review, what is their quality, e.g., content, accuracy, clarity, readability? Are annotations clear and helpful?
- o Will the project result in significant publication? How strong is the case for the form (e.g., print volume, microform, CD-ROM, database) of the product? Will this form best serve users? Where pertinent, has an agreement been reached with an appropriate publisher? Are the dissemination plans sound?
- o If the proposal is a renewal application, what evidence does the applicant provide that the project has met or surpassed the goals established in the previous proposal, including quality, productivity, and cost effectiveness? How convincing is the case for additional federal support?

Preliminary Proposal

Applicants are encouraged to submit a draft of the narrative and budget sections of the proposal at least eight weeks before the application deadline. An Endowment staff member will review the draft and offer advice regarding eligibility and completeness of the proposal. The preliminary proposal gives an applicant the opportunity to receive staff comments about the substance and format of the application. Staff responses to preliminary proposals are not part of the formal review process. Once the Endowment has received a formal application, however, staff will not comment on the status of that application except with respect to questions of completeness or eligibility.

Examples of Funded Projects

EXAMPLE: A state bureau of archaeology proposes to conduct excavations in the Apalachee village at the seventeenth-century Spanish mission of San Luis de Talimali. The proposed research will study the manner by which native Americans and Spanish missionaries altered their cultural traits and social patterns as a result of their encounter. San Luis is one of the few sites in the region with both native American and Hispanic remains, and the research will provide important evidence for comparing native Americans who converted to Christianity with those who retained their indigenous beliefs. The archaeologists will excavate a number of structures and areas within the village in order to determine changes in architecture, settlement patterns, diet, religious life, and labor organization. Results of the research will be circulated through scholarly channels together with extensive public programming at the site. The project budget includes support for salaries and fringe benefits, consultant fees, supplies, and indirect costs.

EXAMPLE: A team of archaeologists proposes a field survey and excavation of a major Roman harbor town in North Africa, focusing on the city plan, the impact of the environment and natural ecology on the development of the town, and the role of the port in the Mediterranean economy. The team will develop a ceramic typology that will help to establish a chronology for the site and also will be useful at other sites throughout the Mediterranean where these wares were exported. The research will involve close collaboration of the team from the United States with international consultants, and the active participation of archaeologists from the host country. An important part of the research design includes plans for immediate publication of results. The budget includes support for salaries, wages and fringe benefits, consultant fees, travel costs, supplies and materials, services, and indirect costs.

Programs of the Research Division

Interpretive Research grants support long-term collaborative projects and conferences designed to advance the state of research on topics of major importance; significant archaeological excavations and publications worldwide; and projects that apply the knowledge, methods, and perspectives of the humanities to subjects in science, technology, and medicine. For **Collaborative Projects** and **Humanities, Science, and Technology**, the application deadline is October 15 for projects beginning on or after July 1 of the following year. For **Archaeology**, the application deadline is October 15 for projects beginning on or after April 1 of the following year. For **Conferences**, the application deadline for sponsoring organizations is January 15 for projects beginning on or after October 1.

Editions grants support the preparation of authoritative and annotated editions of works and documents of value to humanities scholars and general readers. The application deadline is June 1 for projects beginning on or after April 1 of the following year.

Translations grants support the translation into English of works that provide insight into the history, literature, philosophy, and artistic achievements of other cultures and that make available to scholars, students, teachers, and general readers the thought and learning of those civilizations. The application deadline is June 1 for projects beginning on or after April 1 of the following year.

Publication Subvention grants of $7,000 per volume support the publication and dissemination of excellent books in all fields of the humanities. The application deadline is April 1 for projects beginning on or after October 1 of the following year.

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

Centers for Advanced Study block grants support postdoctoral fellowship programs at nonprofit research libraries and museums, American research centers overseas, and other independent centers for advanced study. The application deadline for sponsoring organizations is October 1 for projects beginning on or after July 1 of the following year. Individuals apply directly to the centers.

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

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

Further Information

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

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

Interpretive Research, Centers for Advanced Study, and International Research: 202/786-0210.

Editions, Translations, and Publication Subvention: 202/786-0207.

Reference Materials and Challenge Grants: 202/786-0358

APPLICATION INSTRUCTIONS

The application should include nine parts: a cover sheet, a statement of significance and impact, a table of contents, a narrative description of the project, a budget, appendices (including résumés), a statement of the history of any grants received for the project, a separate sheet with the identities of the three people who will be writing reference letters, and three reference letters (to be submitted directly to the Archaeology Projects Program by the referees). Forms for the cover sheet, statement of significance and impact, budget, history of grants, and reference letters are included in this booklet.

General Advice

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

Prospective applicants are advised to review carefully the list of questions (see p.7) that evaluators of Division of Research Programs applications are asked to address. The issues raised in those questions should be addressed in the appropriate sections of the proposal. Applicants also are advised that it is preferable to follow the format outlined below.

Cover Sheet

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

Statement of Significance and Impact of Project

Applicants should provide this information on the enclosed form that bears this heading. The statement of significance should explain why the project is important, what difference the results of the project will make, and to whom.

Table of Contents

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

Narrative Description

Applicants should prepare a detailed project description that includes the following sections:

Nature and Significance of the Project. Applicants should provide a concise explanation of the value of the research project and the historical importance of the site or region. They should describe the scope of the research, the source materials, and the relationship of the research to other published and unpublished work in the field. Applicants are urged to include maps of the site or sites that locate it or them in the region and country. Of utmost importance is how well the work plan and methodology are designed to answer the research questions posed. Applicants are particularly requested to describe what audiences will benefit from the research and to identify the project's broader significance and the relevance of the research to the general public.

For archaeology applications involving analysis and preparation for publication, a case should be made for the importance of the publications for a larger readership as well as for specialists. Applicants for archaeological excavation support should mention, if appropriate, the urgency of the proposed excavation due to imminent destruction or deterioration of the site.

History and Duration of the Project. Applicants should explain the preliminary research or planning that has been conducted for the project, the kinds of financial support the project has already received, and the resources or research facilities available to the project. If survey or excavation work received previous support, any commitments for the support of publications should be described. If work on the project will continue after the proposed period of the grant, the applicant should provide details about the work that will remain to be accomplished and the probable sources of support for that work.

Project Staff. Applicants should identify the project staff, describe their duties, and state their qualifications for undertaking the specific responsibilities assigned to them. Brief résumés for all major participants should be included in an appendix. These résumés should be specially designed to show, in a condensed form, the participants' qualifications to carry out the particular project or projects proposed in the application.

The period and amount of time that key project staff members have agreed to devote to the project must be clearly indicated and justified. Project directors must be in charge of their projects and must devote a significant portion of their time to them. All persons directly involved in the conduct of the grant—whether or not their salaries are paid from grant funds—must be named in the budget, and their anticipated commitments of time must be indicated.

Project Methodology. This section should explain and justify the project's theoretical goals and field methodology. A discussion of the link between the project's interpretive questions and the archaeological data should be included. The nature and location of the necessary documentary or archival materials should also be described in detail, and the applicant's prospects of access to the pertinent collections should be indicated. A bibliography of relevant sources should be provided.

Work Plan. Applicants should provide a detailed description of the proposed organization and implementation of the project. Applicants must also provide a plan of work by six-month periods that details the stages and timetable by which the project will be carried out and that provides a description of what will be accomplished during each stage. The plan should also indicate which project staff members will be involved in the project's various stages.

Final Product and Dissemination. All books or articles that will result from the project should be described, preferably in outline form. Any applicant who proposes to undertake a large project should consult with a publisher at an early stage of planning so that the application will reflect the most efficient and economical method of preparing and presenting the research for dissemination. In the proposal, applicants must indicate whether an agreement to publish has been reached. Any pertinent correspondence with a publisher, such as a letter of interest, should be included in an appendix.

Computer Use. Applicants whose projects require the use of automation technology are asked to include a statement describing the use to which the equipment will be put. The statement should include a description of the hardware and software, the method of inputting data, the format of the final product, and the dissemination plan. Applicants should provide details regarding equipment costs. Applicants whose projects have major computer components may wish to consult NEH staff regarding their plans. Normally, these costs should be proposed on a regular rental basis. Equipment purchase will be considered only in the event that a lease agreement during the grant period exceeds the purchase cost. If the applicant wishes to use Endowment or cost-shared funds for the purchase of equipment, this purchase must be justified in the proposal.

Project Budget

The Budget Form and instructions for completing it follow in the attached application forms.

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

Outright Funds: Outright funds are awarded by the Endowment to support approved projects and are not contingent on additional fund raising by the grantees.

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

Because matching awards enable the Endowment to provide support to a greater number of significant but often costly projects, applicants are encouraged to request complete or partial support in the form of matching grants. Whenever possible, applicants requesting matching funds should identify potential sources of gift funds at the time they submit an application to the Endowment.

Combined Funds: Applicants may also request a combination of outright and matching funds from the Endowment. For example, if a project will cost $40,000, and the applicant will contribute $10,000 to the project's cost and expects to receive an additional $5,000 from an eligible third-party donor, the applicant should request $5,000 in matching funds. The balance of the project's costs ($20,000) may be requested in outright funds.

The Endowment may offer funding at a different level than that requested. In some instances, the Endowment may offer matching funds only, or it may offer a combination of matching and outright funds in response to a request for outright funds. The Endowment will support survey and excavation projects with outright funds of up to $20,000 per year; additional support is available only through federal matching funds.

Cost Sharing. Cost sharing consists of the cash contributions made to the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Endowment support for institutional projects normally will not exceed 80 percent of the total project cost; the balance of the project costs are to be shared by nonfederal sources. Cost sharing in renewal applications is usually significantly higher than in an original proposal. Individual applicants need not show cost sharing in their applications unless they are requesting federal matching funds, in which case the gifts are shown as cost sharing. Individual applicants who receive grants only in outright funds are not expected to provide cost sharing.

Grant Period. The grant period encompasses the entire period for which Endowment support is requested in the current application. All project activities and the expenditure of project funds, that is, grant funds and cost-sharing contributions, must occur during the grant period. Projects can include full- or part-time activities for periods of up to three years.

Appendices

The appendices should be limited to supplementary but essential materials. These materials should include brief résumés from project participants and letters of commitment from outside participants and cooperating institutions. Illustrative or descriptive material, such as the results of preliminary surveys, including appropriate plans, maps, and photographs, should be placed in the appendices.

Statement of History of Grants

Please complete the enclosed form bearing this heading.

Reference Letters

A completed application includes three letters of reference, the forms for which are included in this brochure. The writers of the letters should send them directly to the Endowment. Most helpful are letters from persons in a position to discuss specifically the likely outcome of the proposed project, its significance to the field and to its intended audience, the general quality of the applicant's work, and the applicant's ability to carry out the project successfully.

It is the applicant's responsibility to fill in the top part of the reference letter form and to send the form, together with a copy of the full proposal, to each referee. It is also the applicant's responsibility to request that referees send letters of reference directly to the Endowment, addressed to the Division of Research Programs. Applicants should ask referees to submit reference letters as near to the application deadline as possible.

The identities of the three people who will be writing reference letters on the applicant's behalf should be included on a separate sheet at the end of the project description.

Formal Submission

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

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

1. Cover Sheet
2. Statement of Significance and Impact of Project
3. Table of Contents
4. Narrative Description
5. Project Budget
6. Appendices (including résumés)
7. Statement of History of Grants
8. Sheet listing identities of the three people who will be writing reference letters

Reference letters should be sent by the referees directly to the Archaeology Projects Program at the address below.

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

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

Deadline

The complete application package must be post-marked no later than **October 15**. Receipt of the application will be acknowledged within four weeks after the application deadline. Applicants who do not receive such an acknowledgment should call or write the Endowment as soon as possible. The review of applications requires approximately five months, and applicants will be notified of the Endowment's decision in March.

EEO STATEMENT

Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Equal Employment Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506. TDD - 202/786-0282.

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

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

Note: If a proposed project relates to American Indians, Aleuts, Eskimos, or native Hawaiian people and artifacts, an applicant should obtain from the Endowment a copy of its Code of Ethics concerning native Americans. The code establishes certain standards of conduct in research, publication, and public programs involving native American peoples.

National Endowment for the Humanities

Washington, D.C.

The following pages include:

—Instructions for Completing the Application Cover Sheet
—The Application Cover Sheet
—Field of Project Categories and Codes

Please read the instructions before completing applicable questions. Please print or type.

Purpose: The National Endowment for the Humanities uses a single cover sheet for all of its programs. This cover sheet gathers information that is necessary in one of two ways:

(1) The information is necessary for efficient consideration of the application during the review process and in the administration of the grant if an award is made.

(2) The information is *required of the Endowment* in various reports to Congress, other federal agencies, and the public. The Endowment must provide reports that involve statistical information or descriptions that can be obtained quickly from the cover sheet. Information is recorded in a computer, which stores the data for subsequent compilation and reporting.

Please read the instructions for each question carefully. Answer each question by typing or printing your reply. Please verify your answers to be certain that they are correct and complete.

You will find it helpful to complete the cover sheet last, after all other parts of the application have been prepared.

Privacy Act: The following notice is furnished in compliance with the Privacy Act of 1974:

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

INSTRUCTIONS FOR COMPLETING THE APPLICATION COVER SHEET

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is 52 hours per response. This estimate includes the time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Assistant Chairman for Operations, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0129), Washington, D.C. 20503.

Block 1—Individual Applicant or Project Director

Item a. If the application is submitted through an institution or organization, 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 and 11.) When an application is submitted by an individual, enter the name and address of the individual.

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

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

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

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

Block 2—Type of Applicant

Check either (a) or (b).

Only an applicant applying as an unaffiliated individual should check the "individual" box. A project director affiliated with an institution must apply through that institution if the project will make use of the institution's resources, for example, the library, computer center, office space, clerical assistance, etc. If the project does not use such resources, the project director may apply as an individual; but in such cases the Endowment must receive a statement from the institution indicating awareness of the project director's submission of an application.

For those who checked (a) ONLY: Please indicate an institutional affiliation, if applicable, in Block 11a.

For those who checked (b) ONLY: Identify **Type** such as: business, religious, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, etc.), educational (elementary/secondary, school district, 2-year college, 4-year college, etc.), library (public, research, etc.), center (advanced study, research, etc.). Identify **Status** as either Private Nonprofit or Unit of State or Local Government. Example: **Type**: Historical Society. **Status**: Private Nonprofit.

Block 3—Type of Application

Check appropriate type:

Item a. New—application for this project submitted to NEH for the first time.

Item b. Supplement—application for additional funding to a current NEH grant.

Block 4—Program to which Application Is Being Made

This information is preprinted on your form.

If application is being made under the Endowment's initiative described on p. 3, please indicate the number corresponding to the initiative in the space provided after Endowment Initiatives:

03M—Columbian Quincentenary

Block 5—Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period.

Block 6—Project Funding

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

Block 7—Field of Project

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

Block 8—Descriptive Title of Project

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

Block 9—Description of Project

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

Block 10—Will This Proposal Be Submitted to Another Government Agency or Private Entity for Funding?

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

Block 11—Institutional Data

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

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

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

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and telephone number of the person who will be responsible for the financial administration of the grant if an award is made. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item c), but the actual administration of the project—such as, negotiating the project budget and ensuring compliance with the terms and conditions of the award—is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12—Certification

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

[illegible]

[illegible]

OMB No. 3136-0129
Expires: 11/30/93

NEH APPLICATION COVER SHEET

1. Individual applicant or project director

a. Name and mailing address

Name ______ (last) (first) (initial)

Address ______

______

______ (city) (state) (zip code)

b. Form of address: ☐

c. Telephone number

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

d. Major field of applicant or project director ______ ☐ (code)

e. Citizenship ☐ U.S.
☐ Other ______ (specify)

2. Type of applicant

a. ☐ by an individual **b.** ☐ through an org./institution

If a, indicate an institutional affiliation, if applicable, on line 11a.
If b, complete block 11 below and indicate here:

c. Type

d. Status

3. Type of application

a. ☐ new **b.** ☐ supplement

4. Program to which application is being made ☐

Archaeology Projects

Endowment Initiatives: ______ (code)

5. Requested grant period

From: ______ (month year) To: ______ (month/year)

6. Project funding

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

7. Field of project ☐

8. Descriptive title of project

9. Description of project (do not exceed space provided)

10. Will this proposal be submitted to another government agency or private entity for funding?
(if yes, indicate where and when):

11. Institutional data

a. Institution or organization:

______ (name)

______ (city) (state)

b. Employer identification number ______

c. Name of authorizing official:

______ (last) (first) (initial)

______ (title)

d. Name and mailing address of institutional grant administrator:

______ (last) (first) (initial)

______

______

______ (city) (state) (zip code)

Telephone: ___/___ (area code) Form of address ☐

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

______ (signature) ______ (date)

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

For NEH use only
Date received
Application #
Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 1d and 7 of the NEH Applications Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and is not meant to define the disciplines of the humanities. For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.)

Anthropology L1

Archaeology U6

Archival Management/Conservation I1

Arts, History and Criticism MA

Architecture: History & Criticism U3
Art: History and Criticism M1
Dance: History & Criticism M3
Film: History & Criticism M4
Music: History & Criticism M5
Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1
Journalism P4
Media P3

Education H1

Ethnic Studies K1

Asian American K5
Black/Afro-American K4
Hispanic American K3
Jewish K6
Native American K2

History A1

African A2
American A3
Ancient AC
British A4
Classical A5
European A6
Far Eastern A7
Latin American A8
Near Eastern A9
Russian AA
South Asian AB

Humanities U8

Interdisciplinary U1

African Studies GI
American Studies G3
Area Studies GH
Asian Studies G5
Classics G7
Folklore/Folklife R1
History/Philosophy of Science, Technology or Medicine GA
International Studies GG
Labor Studies G4
Latin American Studies GJ
Medieval Studies G8
Regional Studies GF
Renaissance Studies G9
Rural Studies GC
Urban Studies G2
Western Civilization GB
Women's Studies G1

Languages C1

Ancient CC
Asian CA
Classical C2
Comparative C9
English CE
French C3
German C4
Italian C5
Latin American C6
Near Eastern CB
Slavic C7
Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK
American DE
Ancient DC
Asian DA
British DD
Classical D2
Comparative D9
French D3
German D4
Latin American D6
Literary Criticism DI
Near Eastern DB
Slavic D7
Spanish D8

Museum Studies/Historic Preservation I2

Philosophy B1

Aesthetics B2
Epistemology B3
Ethics B4
History of Philosophy B5
Logic B6
Metaphysics B7
Non-Western Philosophy B8

Religion E1

Comparative Religion E5
History of Religion E2
Non-Western Religion E4
Philosophy of Religion E3

Social Science U2

American Government F2
Economics N1
Geography U7
International Relations F3
Political Science F1
Psychology U5
Public Administration F4
Sociology S1

National Endowment for the Humanities

BUDGET INSTRUCTIONS

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

Requested Grant Period

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

Project Costs

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

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken that expenses that are included in the organization's indirect cost pool (see Indirect Costs) are not charged to the project as direct costs.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

Less-than-first-class accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as an item costing more than $500 with an estimated useful life of more than two years.

Indirect Costs (Overhead)

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

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

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

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

SAMPLE BUDGET COMPUTATIONS

						NEH Funds (a)	Cost Sharing (b)	Total (c)
Salaries and Wages								
Jane Doe/Project Director	[ ]	9 months x 100% @ $27,000/academic yr.				$13,500	$13,500	$27,000
Jane Doe	[ ]	1 summer month x 100% @ $3,000				3,000		3,000
John Smith/Research Assistant	[ ]	6 months x 50% @ $25,000/yr.				6,250		6,250
Secretarial Support	[1]	3 months x 100% @ $14,000/yr.				3,500		3,500
Fringe Benefits								
11 % of $36,250						2,503	1,485	3,988
8 % of $ 3,500						280		280
Travel	no. of persons	total travel days	subsistence costs	+ transport. costs	=			
New York City/Chicago	[2]	[4]	$300	$430		730		730
Various/Washington D.C. conf.	[5]	[10]	$750	500		1,250		1,250
Consultant Fees								
Serbo-Croatian Specialist		5	$100			500		500
Services								
Long Distance Telephone		est. 40 toll calls @ $3.00				120		120
Conference Brochure		50 copies @ $3.50/copy				175		175
TOTAL DIRECT COSTS						$31,808	$14,985	$46,793
Indirect Costs								
20% of $46,793						$ 6,362	$ 2,997	$ 9,359
TOTAL PROJECT COSTS (Direct and Indirect)						$38,170	$17,982	$56,152

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Expires 11/30/93

National Endowment for the Humanities

BUDGET FORM

Project Director	If this is a revised budget, indicate the NEH application/grant number:
Applicant Organization	Requested Grant Period From ________ to ________ 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 grant 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 ________ to ________
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. of 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 $500 or with an estimated useful life of less than two years.

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 over $10,000, 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 a 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. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or $5,000, whichever sum is less.)

A. ____________________ ____________________
name of federal agency date of agreement

B.

rate(s)		base(s)	NEH Funds (a)	Cost Sharing (b)	Total (c)
____ %	of	$ ____	$	$	$
____ %	of	$ ____			
		TOTAL INDIRECT COSTS	$	$	$

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

SECTION B — Summary Budget and Project Funding

SUMMARY BUDGET

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

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

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

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

Total Project Funding (NEH Funds + Cost Sharing)[3] = $

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

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

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

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

[3]Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator

Complete the information requested below when a revised budget is submitted. Block 11 of the application cover sheet instructions contains a description of the functions of the institutional grant administrator. The signature of this person indicates approval of the budget submission and the agreement of the organization to cost share project expenses at the level indicated under "Project Funding."

Name and Title (please type or print) ____________ Telephone ( ) ____________
area code

Signature ____________ Date ____________

NEH Application/Grant Number: ____________

Statement of Significance and Impact of Project

Statement of History of Grants

If the project has received previous support from any federal or nonfederal sources, including the Endowment, please list below the individual sources of these funds as well as the date and total dollar amount of each contribution to the project. If the project has had a long history of support, the sources and contributions may be grouped and summarized so that the list will not exceed one page.

Archaeology Projects
Division of Research Programs
National Endowment for the Humanities
Washington, D.C. 20506

To Be Completed by the Applicant:

Name of Applicant:
Institution:
City and State:
Descriptive Title of Project:

For Use of Respondent: (Please see back of this page for guidelines.)

Signature of Respondent____Date______________

Name and Title:____

Department (or Position)____

Institution (or Employer)____

(over)

GUIDELINES FOR REFEREES

The person or institution named on the front of this form has applied for an Archaeology Projects grant from the National Endowment for the Humanities. The Endowment would appreciate receiving from you a judicious assessment of the applicant and the proposed project. Applicants are instructed that they must demonstrate that their projects will be significant to the humanities. You should judge the application according to the selection criteria inherent in the following questions, applying those that are pertinent.

- How convincing is the statement of the significance of the work?

- Does the project promise to advance scholarship in the humanities? What will be the intellectual contribution and impact of the project? How is it related to existing scholarship in the field? What audiences will benefit?

- How appropriate are the methodology, critical apparatus, or editorial policies?

- Are the selection criteria (e.g., in the collection of materials for an edition, the choice of conference participants, or the delineation of subjects for encyclopedia articles) stated explicitly, and are they appropriate?

- How appropriate are the qualifications and expertise of those directing or contributing to the project? Are the terms of collaboration appropriate?

- How thorough and realistic is the work plan? How appropriate is the site? How likely is it that the goals will be met? How cost effective is the project?

- If samples are under review, what is their quality, e.g., content, accuracy, clarity, readability? Are annotations clear and helpful?

- Will the project result in significant publication? How strong is the case for the form (e.g., print volume, microform, CD-ROM, database) of the product? Will this form best serve users? Where pertinent, has an agreement been reached with an appropriate publisher? Are the dissemination plans sound?

- If the proposal is a renewal application, what evidence does the applicant provide that the project has met or surpassed the goals established in the previous proposal, including quality, productivity, and cost effectiveness? How convincing is the case for additional federal support?

If it is more convenient to use paper other than this form for your response, or if you need to attach extra pages, please be sure to indicate clearly on each additional sheet the full name of the applicant and the program to which the application has been submitted.

It is important to the applicant that we receive your letter as near as possible to the October 15 application deadline. Please send the letter directly to

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

The National Endowment for the Humanities will keep the identity of respondents and the content of reference letters confidential to the extent permitted by law.

Archaeology Projects
Division of Research Programs
National Endowment for the Humanities
Washington, D.C. 20506

To Be Completed by the Applicant:

Name of Applicant:
Institution:
City and State:
Descriptive Title of Project:

For Use of Respondent: (Please see back of this page for guidelines.)

Signature of Respondent____Date______________

Name and Title:____

Department (or Position)____

Institution (or Employer)____

(over)

GUIDELINES FOR REFEREES

The person or institution named on the front of this form has applied for an Archaeology Projects grant from the National Endowment for the Humanities. The Endowment would appreciate receiving from you a judicious assessment of the applicant and the proposed project. Applicants are instructed that they must demonstrate that their projects will be significant to the humanities. You should judge the application according to the selection criteria inherent in the following questions, applying those that are pertinent.

- How convincing is the statement of the significance of the work?

- Does the project promise to advance scholarship in the humanities? What will be the intellectual contribution and impact of the project? How is it related to existing scholarship in the field? What audiences will benefit?

- How appropriate are the methodology, critical apparatus, or editorial policies?

- Are the selection criteria (e.g., in the collection of materials for an edition, the choice of conference participants, or the delineation of subjects for encyclopedia articles) stated explicitly, and are they appropriate?

- How appropriate are the qualifications and expertise of those directing or contributing to the project? Are the terms of collaboration appropriate?

- How thorough and realistic is the work plan? How appropriate is the site? How likely is it that the goals will be met? How cost effective is the project?

- If samples are under review, what is their quality, e.g., content, accuracy, clarity, readability? Are annotations clear and helpful?

- Will the project result in significant publication? How strong is the case for the form (e.g., print volume, microform, CD-ROM, database) of the product? Will this form best serve users? Where pertinent, has an agreement been reached with an appropriate publisher? Are the dissemination plans sound?

- If the proposal is a renewal application, what evidence does the applicant provide that the project has met or surpassed the goals established in the previous proposal, including quality, productivity, and cost effectiveness? How convincing is the case for additional federal support?

If it is more convenient to use paper other than this form for your response, or if you need to attach extra pages, please be sure to indicate clearly on each additional sheet the full name of the applicant and the program to which the application has been submitted.

It is important to the applicant that we receive your letter as near as possible to the October 15 application deadline. Please send the letter directly to

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

The National Endowment for the Humanities will keep the identity of respondents and the content of reference letters confidential to the extent permitted by law.

Archaeology Projects
Division of Research Programs
National Endowment for the Humanities
Washington, D.C. 20506

To Be Completed by the Applicant:

Name of Applicant:
Institution:
City and State:
Descriptive Title of Project:

For Use of Respondent: (Please see back of this page for guidelines.)

Signature of Respondent_______________________________________Date____________________

Name and Title:____

Department (or Position)____

Institution (or Employer)____

(over)

GUIDELINES FOR REFEREES

The person or institution named on the front of this form has applied for an Archaeology Projects grant from the National Endowment for the Humanities. The Endowment would appreciate receiving from you a judicious assessment of the applicant and the proposed project. Applicants are instructed that they must demonstrate that their projects will be significant to the humanities. You should judge the application according to the selection criteria inherent in the following questions, applying those that are pertinent.

- How convincing is the statement of the significance of the work?

- Does the project promise to advance scholarship in the humanities? What will be the intellectual contribution and impact of the project? How is it related to existing scholarship in the field? What audiences will benefit?

- How appropriate are the methodology, critical apparatus, or editorial policies?

- Are the selection criteria (e.g., in the collection of materials for an edition, the choice of conference participants, or the delineation of subjects for encyclopedia articles) stated explicitly, and are they appropriate?

- How appropriate are the qualifications and expertise of those directing or contributing to the project? Are the terms of collaboration appropriate?

- How thorough and realistic is the work plan? How appropriate is the site? How likely is it that the goals will be met? How cost effective is the project?

- If samples are under review, what is their quality, e.g., content, accuracy, clarity, readability? Are annotations clear and helpful?

- Will the project result in significant publication? How strong is the case for the form (e.g., print volume, microform, CD-ROM, database) of the product? Will this form best serve users? Where pertinent, has an agreement been reached with an appropriate publisher? Are the dissemination plans sound?

- If the proposal is a renewal application, what evidence does the applicant provide that the project has met or surpassed the goals established in the previous proposal, including quality, productivity, and cost effectiveness? How convincing is the case for additional federal support?

If it is more convenient to use paper other than this form for your response, or if you need to attach extra pages, please be sure to indicate clearly on each additional sheet the full name of the applicant and the program to which the application has been submitted.

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GRANTEE RESPONSIBILITIES

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

- The grantee must have a financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost-sharing contributions and that monitors the expenditure of these funds against the approved budget. (A checklist of the basic financial management standards for nonprofit organizations is available from the NEH Grants Office, Room 310, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.)

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

- Project activities are to be carried out in accordance with the workplan provided in the approved application. The following changes require written approval <u>in advance</u> from the Endowment:
    - Changes in the project's focus or scope;
    - Major adjustments in the budget; and
    - The replacement of the project director, the codirector, or other project personnel specifically named in the award notice.

- Interim performance reports are required and should provide detailed and thorough descriptions of the project's activities and progress.

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

- All procurement transactions are to be conducted in a manner that provides, to the maximum extent practical, open and free competition; for purchases in excess of $10,000, any use of sole-source contracts must be fully justified and documented.

- Unless advised to the contrary, all materials publicizing or resulting from grant activities shall contain an acknowledgement of NEH support.

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

- The grantee shall be directly responsible for the administration and supervision of the project. Unless specifically approved in writing by the Endowment, the grantee may not award a subgrant or contract to a third party for substantive programmatic work on the project.

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

ELIGIBLE GIFTS AND DONORS

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

Both restricted gifts (gifts that are given specifically in support of a project) and unrestricted gifts (gifts that may be used at the recipient's discretion) are eligible to be matched if the donors give the gifts directly to the applicant.

If a gift of money is given to an individual or organization associated with the project rather than directly to the applicant, that gift normally will not be deemed eligible to release federal matching funds. The only exception is if the donor has given the gift specifically in support of the project and control over the expenditure of these funds is transferred to the applicant.

Applicants should note that the following items are not eligible to be matched with federal funds: federally appropriated funds, deferred and noncash gifts, income earned from gifts after they are transferred to the applicant, and income received from any fees for participation in project activities.

Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and who will who is involved in project activities and who will receive some sort of remuneration from project funds. To avoid any possibility of conflict of interest, a gift should not be used to release federal matching funds when there is the appearance that the donor might benefit in any way by giving a gift to a particular project.

R92-5

Appendix

Instructions for the Certifications

General Requirements

The Endowment is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Applicants requesting more than $100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Institutional applicants are required to certify that they will comply with the nondiscrimination statutes and implementing regulations.

By signing and submitting a proposal the individual applicant or the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to certify regarding the nondiscrimination statutes and implementing regulations, a drug-free workplace, or lobbying, that person is not eligible to apply for funding from the Endowment. When an applicant is unable to certify regarding federal debt status or debarment and suspension, an explanation must be attached to the proposal. The explanation of why the certification cannot be submitted will be considered in connection with the Endowment's funding determination. Failure to furnish a certification or an explanation shall disqualify the applicant from receiving an award from the Endowment.

The certifications are material representations of fact upon which reliance will be placed when the Endowment determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, in addition to other remedies available to the federal government, the Endowment may seek judicial enforcement of the certification (nondiscrimination statutes); may terminate the award for cause or default (federal debt status and debarment and suspension); and may suspend payment, suspend or terminate the grant, or suspend or debar the grantee (drug-free workplace). Any person who fails to file a required certification regarding lobbying or submits an erroneous certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

The applicant shall provide immediate written notice to the director of the NEH Grants Office if at any time the applicant learns that its certifications were erroneous when submitted or have become erroneous by reason of changed circumstances.

Nondiscrimination Statutes and Implementing Regulations

The certification regarding the nondiscrimination statutes and implementing regulations shall obligate the applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with Endowment assistance, this certification shall obligate the applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with Endowment support, this certification shall obligate the applicant or any transferee for as long as the property or structure is used for the grant or similar purposes. This certification is binding on the applicant, its successors, transferees, and assignees, and on the authorizing official whose signature appears on the application cover sheet for this proposal.

Grantees are also required to evaluate their policies and practices toward the disabled to make certain they comply with Endowment regulations prohibiting discrimination of the disabled.

Federal Debt Status

If an applicant is unable to certify regarding federal debt status, an explanation must be submitted with the proposal.

Definitions of terms used in the federal debt status certification:

Delinquent: Represents the failure to pay an obligation or debt by the date specified in the agency's initial written notification or applicable contractual agreement, unless other satisfactory payment arrangements have been made by that date, or if at any time thereafter, the debtor fails to satisfy the obligation under a payment agreement with the agency.

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

Debarment and Suspension

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

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

> **(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.**
>
> **(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.**

A grantee may rely on the certification of a prospective subrecipient that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A grantee may decide the method and frequency by which it determines the eligibility of its "principals."

Except when specifically authorized by the Endowment, if a grantee knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to the remedies available to the federal government, the Endowment may terminate this transaction for cause or default.

Definitions of terms used in the debarment and suspension certification:

Covered Transaction: A covered transaction is either a primary covered transaction or a lower tier covered transaction.

Debarment: An action taken by a debarring official in accordance with 45 CFR Part 1169 to exclude a person from participating in covered transactions. A person so excluded is "debarred."

Ineligible: Excluded from participation in federal nonprocurement programs pursuant to a determination of ineligibility under statutory, executive order, or regulatory authority, other than Executive Order 12549.

Lower Tier Covered Transaction: (a) Any transaction between a participant and a person other than a procurement contract for goods or services, regardless of type, under a primary covered transaction. (b) Any procurement contract for goods or services between a participant and a person, regardless of type, expected to equal or exceed the federal procurement small purchase threshold fixed at 10 U.S.C. 2304(g) and 41 U.S.C. 253(g) [currently $25,000] under a primary covered transaction. (c) Any procurement contract for goods or services between a participant and a person under a covered transaction, regardless of amount, under which that person will have a critical influence on or substantive control over that covered transaction. Such persons are project directors, principal investigators, and providers of federally-required audit services.

Participant: Any person who submits a proposal for, enters into, or reasonably may be expected to enter into a covered transaction. This term also includes any person who acts on behalf of or is authorized to commit a participant in a covered transaction as an agent or representative of another participant.

Person: Any individual, corporation, partnership, association, unit of government or legal entity, however organized, except foreign governments or foreign governmental entities, public international organizations, foreign government owned or controlled entities.

Primary Covered Transaction: This is normally any nonprocurement transaction between an agency and a person, regardless of type, including grants, cooperative agreements, scholarships, fellowships, contracts of assistance, loans, loan guarantees, subsidies, insurance, payments for specified use, donation agreements, and any other nonprocurement transactions between a federal agency and a person.

Principal: Officer, director, owner, partner, key employee, or other person within a participant with primary management or supervisory responsibilities; or a person who has critical influence on or substantive control over a covered transaction, whether or not employed by the participant.

Suspension: An action taken by a suspending official in accordance with these regulations that immediately excludes a person from participating in covered transactions for a temporary period, pending completion of an investigation and such legal, debarment, or Program Fraud Civil Remedies Act proceedings as may ensue.

Voluntarily Excluded: The status of nonparticipation or limited participation in covered transactions assumed by a person pursuant to the terms of a settlement.

Drug-Free Workplace

By signing and submitting the application, the institutional applicant agrees, among other things, to establish an on-going drug-free awareness program; to publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace; and to give this statement to each employee to be engaged in the performance of the grant. For grants that have a performance period in excess of 30 days, the program and policy statement must be in place within thirty days of the date the award is issued.

A grantee will be considered in violation of the drug-free workplace requirements if the grantee falsely certifies, fails to carry out the requirements of the certification, or fails to make a good faith effort to maintain a drug-free workplace.

The applicant must either identify in the application proposal the place(s) where the grant activities will be carried out or must keep this information on file in its office so that it is available for federal inspection. Workplace identification shall include the actual address of buildings (or parts of buildings) or other sites where work under the grant will take place. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

Definitions of terms used in the drug-free workplace certification:

Controlled Substance: A controlled substance in schedules I through V of the Controlled Substance Act (21 U.S.C. 812), and as further defined by regulation at 21 CFR 1308.11 - 1308.15.

Drug-free Workplace: A site for the performance of work done in connection with a specific grant at which employees of the grantee are prohibited from engaging in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance.

Employee: The employee of a grantee directly engaged in the performance of work under the grant, including all "direct charge" employees; all "indirect charge" employees, unless their impact or involvement is insignificant to the performance of the grant; and all temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll.

Grantee: A person who applies for or receives a grant directly from a federal agency.

Lobbying Activities

An applicant who requests grant funds in excess of $100,000 is required to certify and, under certain circumstances, file a disclosure statement on lobbying activities. The "Certification Regarding Lobbying Activities" applies only to the individual application for which Endowment funding is being sought. If nonfederal funds were used or will be used to support lobbying activities for this application by persons other than regularly employed officers or employees of the applicant institution, the OMB "Disclosure of Lobbying Activities" (Standard Form LLL) shall be completed and returned to the NEH Grants Office. This form will also be filed at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information previously filed.

Those who received a subgrant, contract, or subcontract exceeding $100,000 at any tier under an Endowment grant are required to file a certification and, when necessary, a disclosure form to the next tier above. All disclosure forms shall be forwarded to the NEH Grants Office by the grantee.

For the purpose of this certification a "regularly employed officer or employee of the applicant" is one who is employed by the applicant for at least 130 working days within one year immediately preceding the date of the submission that initiates Endowment consideration of the applicant for receipt of a grant or cooperative agreement.

Certifications

1. Certification Regarding the Nondiscrimination Statutes and Implementing Regulations (Applies to Recipients Other than Individuals)

The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d *et seq.*) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 *et seq.*) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 *et seq.*) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status (OMB Circular A-129)

The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169)

The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

4. Certification Regarding Drug-FreeWorkplace Requirements (Drug-Free Workplace Act of 1988)

Alternate I. (Applies to Grantees Other Than Individuals)

(A) The grantee certifies that it will or will continue to provide a drug-free workplace by

(a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;

(b) establishing an ongoing drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

Alternate II. (Applies to Grantees Who Are Individuals)

(A) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.

(B) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of $100,000)

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.

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

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

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action:

☐ a. contract
b. grant
c. cooperative agreement
d. loan
e. loan guarantee
f. loan insurance

2. Status of Federal Action:

☐ a. bid/offer/application
b. initial award
c. post-award

3. Report Type:

☐ a. initial filing
b. material change

For Material Change Only:
year ________ quarter _____
date of last report _________

4. Name and Address of Reporting Entity:

☐ Prime ☐ Subawardee
Tier _____ , *if known*:

Congressional District, *if known*:

5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:

Congressional District, *if known*:

6. Federal Department/Agency:

7. Federal Program Name/Description:

CFDA Number, *if applicable*: _____________

8. Federal Action Number, *if known*:

9. Award Amount, *if known*:
$

10. a. Name and Address of Lobbying Entity *(if individual, last name, first name, MI)*:

b. Individuals Performing Services *(including address if different from No. 10a) (last name, first name, MI)*:

(attach Continuation Sheet(s) SF-LLL-A, if necessary)

11. Amount of Payment *(check all that apply)*:

$ _________________ ☐ actual ☐ planned

12. Form of Payment *(check all that apply)*:

☐ a. cash
☐ b. in-kind; specify: nature _________________
value _________________

13. Type of Payment *(check all that apply)*:

☐ a. retainer
☐ b. one-time fee
☐ c. commission
☐ d. contingent fee
☐ e. deferred
☐ f. other; specify: _________________

14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:

(attach Continuation Sheet(s) SF-LLL-A, if necessary)

15. Continuation Sheet(s) SF-LLL-A attached: ☐ Yes ☐ No

16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Signature: ______________________

Print Name: ______________________

Title: ______________________

Telephone No.: ______________ **Date:** ______________

Federal Use Only:

Authorized for Local Reproduction
Standard Form - LLL

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: ____________________ **Page** ______ **of** ______

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Standard Form - LLL-A

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