National
Endowment
for the
Humanities

Division
of
Research
Programs

Application
Instructions
and Forms

Conferences

OMB No. 3136-0066
Expires 7/31/93

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I. INTRODUCTION

Because these instructions supplement the general guidelines of the Division of Research Programs, all applicants should read the guidelines brochure carefully before beginning the preparation of an application. The brochure describes the division's review process and the various categories of support and lists the questions reviewers normally ask of proposals submitted in each of the categories. The issues raised by these questions should be addressed in the appropriate sections of the proposal.

The mission of the National Endowment for the Humanities is to support work that will promote or encourage, in the words of the enabling legislation, "progress and scholarship in the humanities." Because citizens' tax funds are the source of support for all awards the Endowment makes, the Endowment strives to support only projects of compelling importance and quality. It is especially important, therefore, for applicants to demonstrate that a project will be substantial and will make a significant contribution to scholarship in the humanities.

II. TYPES OF PROJECTS

Grants in this program support conferences designed to advance the state of research in a field or topic of major importance in the humanities. These conferences bring together scholars working on related topics in one or several disciplines at a time when the open exchange of ideas will most benefit ongoing research. A conference may respond to the recognition of a critical juncture in research on a particular topic, the availability of new data or materials, or the need to assess recent developments that affect future directions for research. All projects should have a specific set of research objectives that can be achieved best by a conference.

Conferences supported in this program provide diverse points of view on the topic under discussion. Presenters at conferences usually number ten to twenty and should be those scholars, junior and senior, American and foreign, whose current work and interests make them best suited to contribute to the conference. The total number of other participants may vary from 30 to 300, depending on the nature of the conference, and may include faculty from a wide range of institutions, graduate and undergraduate students, and members of the public. The Endowment's support for conference activities typically ranges from $6,000 to $40,000, depending on the number of participants. Conferences should be widely advertised, and additional participants should be sought in a manner that is open, equitable, and appropriate to the subject and purposes of the conference.

Because this category is designed to further research, proposals to conduct meetings for other purposes, such as the celebration of a particular person, topic, or event, or the discussion of professional interests, are not likely to prove successful. Recurrent meetings of professional organizations, societies, and formal or informal associations of scholars are not eligible in this category; special conferences devoted to specific topics, however, can be considered. Applications for conference series are also ineligible. International scholarly conferences held in the United States are encouraged, but proposals for meetings in foreign locations are rarely funded. While other types of conferences are supported by other programs and divisions of the Endowment, this category is concerned principally with the advancement of scholarly research. Applicants interested in proposing conferences that will focus on the teaching of a particular subject or discipline should apply to the Division of Education Programs. Those proposing conferences designed to educate general audiences about humanities topics should apply to Public Humanities Projects in the Division of Public Programs.

III. PRELIMINARY PROPOSAL

Applicants are encouraged to submit a draft of the narrative and budget sections of the proposal at least six to eight weeks before the application deadline. An Endowment staff member will review the draft and offer advice regarding the proposal's eligibility, completeness, and competitiveness. The preliminary proposal gives an applicant the opportunity to receive advice about the substance and format of the application. Staff responses to preliminary proposals are not a part of the formal review process.

IV. THE APPLICATION

The application should consist of seven parts: a cover sheet, a statement of significance and impact of the project, a table of contents, a narrative description of the project, a budget, appendices (including resumes, which may be provided in any format but should include pertinent information concerning an individual's education, experience, and other qualifications), and a list of qualified reviewers. Forms for the cover sheet, the statement of significance and impact of project, the budget, and the list of reviewers are enclosed.

A. Cover Sheet

The NEH Application Cover Sheet and instructions for completing it are enclosed. Applicants are requested to include the proposed dates of the conference in Block 9.

B. Statement of Significance and Impact of Project

Applicants should provide this information on the enclosed sheet with this heading. This section should contain a carefully prepared summary of the objectives of the conference and a well considered statement of its significance. Consideration of significance includes the intellectual justification for the proposed conference, the importance of the topic in terms of current research, and its relationship to larger issues and themes in the humanities.

C. Table of Contents

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

D. Narrative Description

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

1. Nature and Significance of the Project

Applicants should describe the nature and purpose of the proposed conference and establish its significance by addressing (a) the intellectual justification for the conference topic in terms of the state of research in the field or fields involved, (b) the critical issues to be addressed, (c) the contributions of the conference to the advancement of scholarly research and to a greater understanding of the humanities, and (d) the expected impact of the conference on specialists and nonspecialists beyond those attending the conference. Applicants should read the section entitled "Significance" in the guidelines of the Division of Research Programs before attempting to complete this section.

2. Conference Presenters and Participants

Applicants should identify the scholars who will be presenting papers, indicate the topics they will address, and describe briefly their qualifications and expected contributions to the conference. Letters of commitment from the presenters should be included in the appendices along with abbreviated resumes that highlight institutional and departmental affiliations, education, and pertinent publications.

Applicants should also outline the criteria and procedures that will be used to select any additional presenters and other participants who will not be presenting papers. These criteria and procedures should be designed to encourage the participation of scholars from a wide range of institutions and fields of specialty. Applicants should provide an estimate of the size and type of audience expected to attend the conference.

3. Conference Schedule

Applicants should provide as much detail as possible about the conference's daily program.

4. Conference Staff and Planning

Applicants should identify the project staff who will be organizing the conference and explain their individual roles. Resumes of the conference organizers should be included in an appendix. Applicants should also describe the preliminary planning that has been conducted and the kinds of financial support that the conference has already received or will receive. Information about local arrangements, such as housing, meeting rooms, and other facilities that will be made available at the conference, should also be provided.

All proposals should include a detailed plan for publicizing the conference and the possibilities for participation. All publicity for conferences funded by the Endowment must acknowledge NEH support.

5. Dissemination

Applicants should describe the plans for disseminating the results of the conference to a wider audience. The costs associated with the publication of the conference proceedings or results should be borne by the applicant institution, a press or journal, or another third-party source. The Endowment can provide support only for editing costs, up to and including the preparation of camera-ready copy.

E. Project Budget

The Budget Form and instructions for completing it are enclosed.

1. 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.

2. 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. 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.

3. Allowable Expenses

Some examples of allowable expenses that should be itemized in detail in the budget are a modest amount of released time for the project director or directors; secretarial and administrative assistance; travel, per diem, and modest honoraria for those presenting papers; expendable office supplies; publicity and photocopying costs; postal and long-distance telephone costs; and indirect costs (overhead). Endowment funds may also be applied to the costs of preparing the conference proceedings for publication, but actual costs of publication are ineligible expenses in this program and should be defrayed by the institution, a press or journal, or another third-party source. The costs of banquets, receptions, and entertainment cannot be included in the budget.

The Endowment also will provide support for a limited number of stipends for conference participants who are not presenting papers. These stipends are intended to offset part of the travel and per diem expenses for other scholars, such as graduate students and junior faculty, who may wish to attend the conference. Stipends are usually no more than $200 per participant and must be allocated through open and equitable selection procedures, that must be described in the application. Participants should seek support for the remainder of their travel and per diem expenses from other sources, such as their home institutions or, in the case of foreign nationals, their own governments. Participants in Endowment-supported conferences normally should not be charged registration fees. If registration fees are to be charged, please provide the amount, the total income anticipated from the fees, and a statement of how these fees will be used.

4. 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. Although the grant period may begin shortly after the notification of receipt of an award, the conference itself should not be scheduled sooner than five months after the beginning of the grant period in order to allow adequate time for preparation, publicity, and open and equitable procedures for the selection of participants.

F. Appendices

The appendices should be limited to essential supplementary materials. These materials should include letters of commitment from presenters and cooperating institutions, resumes from the conference organizers, and brief resumes from all presenters that highlight institutional and departmental affiliation, education, and pertinent publications.

G. Reviewers

On the List of Suggested Reviewers form, applicants are asked to provide the names and addresses of eight disinterested persons who can provide impartial evaluations of the proposal's merits. They should be either experts in the particular area of the application or on the proposed methodology, or they can be scholars whose reputation and broad knowledge lend weight to their judgments. Applicants may explain briefly, in the lines under each reviewer's address, the reviewer's appropriateness as an evaluator of the project. Applicants should not discuss their proposals with any of the individuals listed as potential reviewers.

Endowment staff will consult this list, along with other sources, in choosing reviewers for the proposal. Applicants are advised, however, that some potential reviewers are excluded from consideration because of federal rules governing conflict of interest. These exclusions apply to immediate relatives of project staff members, all employees of the applicant institution, and all others who can be deemed to benefit financially from the project if it is funded, such as conference presenters. The division staff also will avoid soliciting reviews from individuals who are associated with other proposals that are pending in the Conferences Program.

V. FORMAL SUBMISSION

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 resumes)
7. List of Suggested Reviewers

Applicants should submit *seventeen* copies of the application (including one copy with the original, signed cover sheet) along with three extra copies of the cover sheet. The complete application package should be mailed to:

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

VI. DEADLINE

The complete application package must be postmarked no later than January 15. Receipt of the application will be acknowledged by post card within four weeks after the application deadline. Applicants who do not receive such an acknowledgment should call or write the Endowment. The review of applications requires approximately eight months. Applications submitted at this deadline should be for conferences scheduled no sooner than February of the following year. Because the Endowment expects conference organizers to allow adequate time for preparations, publicity, and open and equitable procedures for the selection of participants, applicants are encouraged to schedule the proposed conference at least five months after notification of awards.

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; 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 60 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 (3136-0066), 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 social security number and date of birth of the applicant.

Item d. 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 e. 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. 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.

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, a project director affiliated with an institution 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.

Block 3—Type of Application. Check appropriate type:

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

Item b. Revision and Resubmission—a version of the application for this project was submitted to NEH previously but not funded.

Item c. Renewal—application for funding a new grant period for a project previously funded by NEH.

Item d. 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. Preprinted forms ensure that the applicant has the correct instructions for the specific program.

If application is being made under the Endowment's initiative described in the guidelines of the Division of Research Programs, 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 conference, including the dates of the conference. Do not exceed the space provided.

Block 10—Will This Proposal Be Submitted to Another Government Agency or Private Entity for Funding? This information is sought without prejudice to the application. NEH frequently cosponsors projects with other funding sources. If not applicable, indicate "N/A."

Block 11—Institutional Data

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

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

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

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and telephone number of the person who will be responsible for the financial administration of the grant if the 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, 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. Because most of these certifications impose new responsibilities on successful applicants, the certifications and accompanying instructions that are found in the appendix of this brochure should be read before the application cover sheet is signed.

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. Social Security # ______ Date of birth ______ (mo day yr)

d. Telephone number
Office: ______ / ______ (area code) Home ______ / ______ (area code)

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

f. 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 **c.** ☐ renewal

b. ☐ revision and resubmission **d.** ☐ supplement

If either **c** or **d**, indicate previous grant number:

4. Program to which application is being made ☐

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 applicant or the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities, as set forth in the appendix to these application 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 1e 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

Conferences Program
Statement of Significance and Impact of Project

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

National Endowment for the Humanities

OMB No. 3136-0071
Expires: 05/31/86

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	$	$	$

	NEH Funds (a)	Cost Sharing (b)	Total (c)
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	$	$	$

	NEH Funds (a)	Cost Sharing (b)	Total (c)
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: ______________________

List of Suggested Reviewers

Please list the names and addresses of *eight* potential reviewers. Applicants may explain briefly each individual's appropriateness as an evaluator of the proposal in the lines provided below the reviewer's address.

1) Name: ______________________

Institution: ______________________

Address: ______________________

____

____

____

____

2) Name: ______________________

Institution: ______________________

Address: ______________________

____

____

____

____

3) Name: ______________________

Institution: ______________________

Address: ______________________

____

____

____

____

4) Name: ______________________

Institution: ______________________

Address: ______________________

____

____

____

____

5) Name:

Institution:

Address:

6) Name:

Institution:

Address:

7) Name:

Institution:

Address:

8) Name:

Institution:

Address:

Grantee Responsibilities

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

- 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 schedule provided in the approved application.

- Changes in the scope and objectives of the project may not be made without prior Endowment approval.
- The replacement of the project director, the codirector, or other professional staff members who are specifically named in the award notice requires prior Endowment approval.

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

- 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.

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 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.

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.

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, 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

The certification regarding the nondiscrimination statutes 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 handicapped and grantee organizations that employ fifteen or more persons must keep on file a list of the interested persons that were consulted and a description of the areas that were examined, the problems that were identified, and any modifications or remedial steps that were undertaken.

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 is 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 (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.

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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.

[illegible]

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:	2. Status of Federal Action:	3. Report Type:
a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	a. bid/offer/application b. initial award c. post-award	a. initial filing b. material change **For Material Change Only:** year ______ quarter ____ date of last report ______

4. Name and Address of Reporting Entity:	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:
☐ Prime ☐ Subawardee Tier ____, *if known*: **Congressional District,** *if known*:	 **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:** ________
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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

Division of Research Programs
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