N A T I O N A L

E N D O W M E N T

Planning Grants for Regional Humanities Centers

F O R   T H E

H U M A N I T I E S

Office of Challenge Grants

REGIONAL CENTERS PLANNING GRANTS TIMETABLE

Receipt

Deadline	Notification	Grant Period Begins	Grant Period Ends
July 16, 1999	November 1999	December 1999	December 2000

Send all applications to:

National Endowment for the Humanities
Office of Challenge Grants: Regional Centers, Room 420
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506

Telephone: 202/606-8309
FAX: 202/606-8579
E-mail address: challenge@neh.gov

NEH information and forms are also available on the
World Wide Web at http://www.neh.gov.

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Customer Service Standards

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

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

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

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

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

o   explain accurately the procedures that would be used to evaluate your application and tell you when you could expect a decision.

In assisting you as an applicant, you can expect us to:

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

o   notify you promptly of the decision on your application;

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

o   give you helpful advice, if you are unsuccessful, on revising or resubmitting your application.

In assisting you as a grantee, you can expect us to:

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

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

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

o   read and acknowledge promptly your reports on grant activities;

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

THE NATIONAL ENDOWMENT FOR THE HUMANITIES

In order "to promote progress and scholarship in the humanities and the arts in the United States," Congress enacted the National Foundation on the Arts and the Humanities Act of 1965. This act established the National Endowment for the Humanities as an independent grant-making agency of the federal government to support research, education, and public programs in the humanities.

The Humanities

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

Organization of the Endowment

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

Presidential Directives

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

WELCOME TO THE NATIONAL ENDOWMENT FOR THE HUMANITIES

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

It is by knowing where you stand that you grow able to judge where you are. Place absorbs our earliest notice and attention, it bestows upon us our original awareness; and our critical powers spring up from the study of it and the growth experiences inside it ... One place comprehended can make us understand other places better. Sense of place gives us equilibrium; extended, it is sense of direction too. — Eudora Welty

REGIONAL HUMANITIES CENTERS
A Special Competition: Planning Grant Phase

OVERVIEW
Place and Region

The study of "place" has always been one of the tasks of humanities scholarship. American thinkers have long highlighted connections between the land and its various inhabitants, connections that have influenced the country's myths, ideas, artistic expressions, and politics. And Americans' sense of place in its rich and varied expression remains of vital importance as we move toward an increasingly multicultural society that is itself part of a larger global culture.

Vast in size, the United States has always been a country of regions, within which are places defined by myths about their founding and their original residents; by their histories over the centuries since they first took shape; by their landscapes and natural resources; by religious beliefs and institutions; by diversities of ethnic identity and gender role; by language and art, music and poetry, architecture and engineering marvels. Thoughtful engagement with the varied experiences of heritage and place can bring together long-time residents and new arrivals to examine a region's past and to imagine its future.

The study of regions offers Americans access to rich repositories of cultural resources with which to understand their sense of place. It is the purpose of this initiative to help unearth those riches and to make them widely available – to learn what it means to live in a region, to consider what this place might mean to people who enter it from another, and to imagine how that culture will be changed as new people join it. In the process, Americans will acquire new resources for "placing" themselves in their communities and for creating a newly invigorated civic life.

Regional Humanities Centers

With this special competition the National Endowment for the Humanities invites proposals to plan for the creation of Regional Humanities Centers where American traditions, cultures, and aspirations can be explored in the context of place. The centers will emphasize interdisciplinary learning in the humanities and new kinds of collaboration among humanities scholars, scholars in other disciplines, and the public. Through this initiative NEH seeks to provide venues for the exploration of a region's history, its people, its diverse cultural expressions, and its symbolic and physical environment. New technologies will facilitate these explorations, while also enabling the centers to provide points of comparison and connection with the wider world.

NEH believes that regional humanities centers will foster these exciting explorations by serving as cultural hubs for the support of research on regional topics, the documentation and preservation of regional history and cultural resources, the development of undergraduate and master's level degree programs, collaboration with K-12 teachers and school systems, the design of programming to develop and engage public audiences, and the development of resources for cultural heritage tourism. New programs and resources will be developed to fill clearly defined needs in the humanities, complementing and coordinating—but not supplanting—the work of existing educational and cultural institutions. While each regional humanities center will have an administrative home in a single institution to ensure permanence, the reach of its public and educational activities could easily extend across state, regional, and even national boundaries.

Collaborative relationships between regional humanities centers and the state humanities councils will be crucial to the success of this initiative, as will cooperation with other educational and cultural institutions throughout the region. In addition, the centers will work together so that topics that reach beyond regional boundaries—the experiences of specific ethnic groups, the impact of climate, the influences of metropolitan centers, for example—can be examined in comparative ways. By facilitating such comparative explorations of regional topics, the centers will engage the interest and collaboration of scholars and citizens alike—from students and newly literate adults to experienced teachers and scholars, from community groups and business leaders to national and international visitors.

The Regions

Solely for purposes of this special competition, the Endowment has identified ten "regions" in which humanities centers will be located:

Pacific: Alaska, California, Hawaii, Oregon, Washington, American Samoa, Guam, Northern Mariana Islands
Southwest: Arizona, Nevada, New Mexico, Texas
Rocky Mountains: Colorado, Idaho, Montana, Utah, Wyoming
Plains: Kansas, Nebraska, North Dakota, Oklahoma, South Dakota
Upper Mississippi Valley: Illinois, Iowa, Minnesota, Missouri, Wisconsin
Central: Indiana, Kentucky, Michigan, Ohio, West Virginia
Deep South: Alabama, Arkansas, Louisiana, Mississippi, Tennessee
South Atlantic: Florida, Georgia, North Carolina, South Carolina, Virginia, Puerto Rico, Virgin Islands
Mid-Atlantic: Delaware, Maryland, New Jersey, New York, Pennsylvania, District of Columbia
New England: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

Collaborative relationships between regional humanities centers and the state humanities councils will be crucial to the success of this initiative. Addresses of the state humanities councils can be found on the NEH website at http://www.neh.gov.

These groupings of states, selected in consultation with regional special-ists, have been delineated for administrative purposes and are intended as a way to channel resources rather than to define regional cultures or characteris-tics. We understand and expect that for most purposes the regions will have flexible and dynamic boundaries.

The Competition

The Endowment plans a multi-phased competition to establish the centers. The initial phase will be an open competition for planning grants, with up to two awards made in each of the ten regions. The recipients of planning grants will then be eligible to apply for implementation grants in the subsequent phase of the competition. Subject to the availability of public and private funds, NEH anticipates awarding implementation grants to establish the regional centers to one institution in each of the ten regions.

PLEASE NOTE: The information contained in this announcement is primarily intended to guide those institutions interested in submitting a planning grant application. Although this announcement contains additional information about NEH's expectations for the implementation phase, separate guidelines will be issued to guide applicants through that phase of the competition.

Funding for the Centers

Through public/private partnerships the Endowment will award up to $50,000 to each planning grant recipient. The grantee's share is to be at least 50% of the total project costs. During the subsequent implementation phase (and subject to the availability of public and private funds), each of the regional humanities centers selected will be offered up to $1 million annually over a five-year period. These funds will be awarded on a three-to-one matching basis, the Endowment providing up to a total of $5 million over five years and each center raising up to $15 million over seven years. These funds, federal and nonfederal combined, will establish the capital base for self-sustaining centers in the ten regions. (Further description of the anticipated funding is found in Funding Amounts and Cost Sharing on page 9)

REGIONAL CENTERS: GOALS AND CORE ACTIVITIES

Although each regional center will carry out its work in accord with the needs
and circumstances of its region, certain core activities and goals should be at the
heart of each center's plans. (Please note that these activities describe work that
the centers will be expected to undertake during the **implementation** phase; for
activities to be undertaken at the **planning** stage, see **Expectations for the Planning Phase** on page 9).

- **Regional Collaboration and Coordination:** The center should serve its
  region—and the nation—as a clearinghouse for information about regional
  humanities resources and programs. Centers will support and encourage
  regional studies within regions and across boundaries, contributing to a
  national network of centers. And centers will support programs, such as
  workshops, exchanges, and visiting scholar programs, that bring interna-
  tional perspectives to bear on the understanding of U.S. regions and that
  provide opportunities for humanities scholars and students from other na-
  tions to study regional America. Crucial to each center's work is effective
  collaboration with state humanities councils and with the variety of cultural
  and educational institutions within its region, such as two- and four-year
  colleges and universities, radio and television stations, conservation cen-
  ters and preservation service organizations, museums, libraries, and histori-
  cal societies. A center's organizational framework should provide for
  consultation with individuals and institutions from outside the center's
  home institution. The advisory board, for example, should include represen-
  tatives from the types of humanities organizations that will collaborate with
  and be served by the center. A vital part of the center's clearinghouse func-
  tion is the sophisticated use of electronic technologies to extend the
  center's reach to other institutions within its region and to the other re-
  gional centers nationally and to international audiences—through, for ex-
  ample, websites, databases, "smart" classrooms, and online publications.

- **Education:** At the core of the center's educational function is the develop-
  ment of outstanding undergraduate and graduate interdisciplinary programs
  and courses in regional humanities studies. Beyond these formal degree
  programs, the regional center should also serve as a resource for other edu-
  cational institutions seeking to bring regional studies into their curricular
  offerings. Through such faculty development programs as summer insti-
  tutes and workshops for school teachers, or through programs held within
  K-12 schools, centers will assist educators in using the cultures of the re-
  gion to enrich the classroom experience at all levels.

- **Public Outreach:** The center should engage the broadest possible audience in thoughtful humanistic approaches to the study of the region's diverse, evolving, and interconnected cultures and in the understanding of the place of those cultures in national and international contexts. Public programming of all kinds should be supported: lecture series, family history projects, exhibitions, library reading symposia, media productions and projects in journalism are only a few examples. Development of oral history collections, to cite another example, will tap the memories and engage the interests of the region's residents, as well as constitute a potential resource for research and education. Working with travel and tourism industries, with national and state parks, and with historic sites, centers should envision how to bring academic as well as public regional humanities resources to bear on cultural heritage tourism.

- **Research:** Underlying all centers' activities will be research fundamental to understanding the regions' cultures. Centers should take the lead in developing programs that support and encourage scholarship, such as residential summer or year-long fellowship opportunities, conferences of leading authorities and public policy figures, preparation of encyclopedias and other reference works that explore and document the cultural landscape of the regions, and research opportunities for high school and college students.

- **Preservation:** Through its own endeavors and in collaboration with other institutions, centers should help ensure the preservation of significant regional collections. A variety of programs designed to advance this goal are encouraged, ranging from the training of staff responsible for the care of these resources, to the development of finding aids, catalogs, and other reference tools, to the digitization of materials that will facilitate preservation of and access to cultural resources pertinent to the region.

PLANNING GRANTS FOR THE REGIONAL HUMANITIES CENTERS

Expectations for the Planning Phase

Grants awarded in the planning phase of the regional centers competition will allow institutions to assess the region's resources and to begin developing plans for the center's core activities. The planning should take both internal and external forms. The applicant's own resources need to be assessed during the planning year and plans developed for bringing these resources to bear on proposed regional center activities. But resources external to the applicant institution are also of vital importance. Applicants for planning grants will be expected to propose a plan to undertake a careful and thorough inventory of cultural institutions, collections, programs, and services that exist in the region, with the goal of proposing activities for regional humanities centers that utilize these resources and that respond to existing needs while avoiding duplication. This survey of resources should also attempt to identify the steps that will be necessary to preserve, and to enhance intellectual access to, important local and regional collections. Wide consultation among humanities institutions and scholars, together with a commitment to continuing collaboration, is crucial to the development of the regional center. Planning for collaboration with state humanities councils of all the states within the region is especially important.

Funding Amounts and Cost Sharing

(1) Planning Grants

Regional center planning grants will provide up to $50,000 for support of the planning activities. Through its public/private partnerships, NEH's contribution to the total costs of these activities will not exceed 50 percent. The grants extend over a one-year period.

Through its regional centers initiative NEH seeks to encourage partnerships in the humanities and to broaden the base of financial support for the humanities nationwide. The implementation funding for regional centers will take the form of challenge grants that require institutions to raise three nonfederal dollars for every dollar offered by NEH. (See the description of the implementation funding, below.) Preparation to meet this three-to-one match is a crucial part of the planning process. Applicants for planning grants should describe in the narrative how they will plan the campaign to fund the regional humanities center.

(2) Implementation Grants

Through public/private partnerships, NEH intends to support the establishment of ten regional humanities centers through challenge grants. Subject to the availability of funds, NEH will offer up to $1 million each year for five years for each regional center. In turn, each center must raise, from nonfederal sources, three dollars for every dollar offered by NEH. Because an important goal of the regional centers initiative is to help establish permanent, self-sustaining centers, most implementation funds (federal and nonfederal) should be earmarked for endowment, the income of which will support the regional center's humanities activities over the long-term. Eligible expenditures of endowment income include virtually any aspect of the center's necessary costs, such as staff or faculty salaries; research stipends; faculty development; preservation and access initiatives; maintenance of facilities or technology; sponsorship of workshops, conferences, lecture series, exhibitions, and other public programming; and collaborative events with other humanities institutions. Up to 20 percent of the implementation funding, however, may be expended directly over the grant period for such purposes as:

- "bridging" support for initial activities and expenses that later will be supported by endowment income;
- acquisition or preservation of humanities materials (such as library and archival holdings or museum collections) necessary for the center's programs;
- capital expenditures such as the purchase of equipment or renovation necessary to the long-term success of the center;
- fund-raising costs (only up to $200,000).

The NEH portion of these implementation challenge grants would be offered over five years of funding, but the allowable fund-raising period would extend over seven years. As with regular NEH Challenge Grants, the schedule for the release of NEH funds will allow the campaign's momentum to build in the early years and will include time for fulfilling pledges in the campaign's final years. (For further explanation of the matching process and a sample matching schedule, see **Appendix I**, page 27.)

Administration through the NEH Office of Challenge Grants

Both the planning and implementation phases of the grant competition for regional centers are being administered through the NEH Office of Challenge

Grants. Receipt of a regular NEH Challenge Grant has no bearing on an institution's eligibility to apply to become a regional center, nor does it affect the cost sharing required for the planning grants or the matching ratio required for the implementation grants.

Eligibility

Any U.S. nonprofit, tax-exempt institution is eligible to apply. The applicant institution must be located within the boundaries of the region it proposes to serve. Although multi-institutional collaborations are encouraged for the purposes of conducting the center's activities, an application may only be submitted by a single institution. Many of the core humanities activities will be undertaken by the center itself; in other cases, however, the activities may be more effectively undertaken through collaboration with other institutions.

The Review Process

Each application will be assessed by a panel of knowledgeable persons outside the agency who will be asked for their judgments about the quality and significance of the proposed planning process for the center. Panelists will represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. Should the need arise, the judgment of panelists will be supplemented by individual reviews solicited from specialists who have extensive knowledge of the substantive or technical aspects of the application under review.

The advice of evaluators will be assembled by the staff of the Endowment, who may then comment on matters of fact or on significant issues that are otherwise missing from the review. These materials will then be forwarded to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, will take into account the advice provided by this review process and, by law, will make the final decision about funding.

Evaluation Criteria

Requests for planning grants will be evaluated on the basis of the applicant's demonstrated understanding of the region's cultures and on the cogency of the institution's description of the steps it will take, during the grant year, to plan for the creation of a regional humanities center. In describing the proposed planning process, the narrative should take into account the region's cultural profile

The proposal should demonstrate a thorough understanding of the cultural characteristics and resources of the region.

as well as the applicant's existing resources and programs relevant to the center's activities.

The proposal should demonstrate:
(A) a thorough understanding of the cultural characteristics and resources of the region, and
(B) the ability to plan for and the potential to foster the following:

1) Collaboration among humanities institutions and organizations within its region and with other regions

How will the state humanities councils in the region be involved in planning? How will other regional humanities institutions and organizations be identified, contacted, and involved in the proposed planning for the center? What modes of collaboration with the other regional humanities centers will be considered? What possible corporate and government partnerships will be explored? What measures will be taken to ensure that all parts of the region receive full attention and are encouraged to participate fully in the center's programs?

2) Educational excellence in regional humanities studies

How will current courses, degree programs, and interdisciplinary resources for regional humanities studies be assessed? What curricular planning will be undertaken, and by whom? What planning will be done to involve students in regional studies beyond course work? What kinds of programs for K-12 teachers and students will be explored during the planning year?

3) Public awareness of and participation in regional humanities activities

How will the region's resources for public programming and outreach be surveyed and assessed? What kinds of public programming will be considered during the planning year? What possibilities for cultural heritage tourism in the region will be considered?

4) Significant humanities research on the region's cultures and on regionalism, as well as documentation and preservation activities important to this effort

How will scholarly resources within the region be assessed? What scholars will be involved in the planning process, and in what ways?

How will important topics for research be identified? What possible programs to encourage and support scholarly research will be explored during the planning year? What approaches will be considered to preserve and enhance access to collections important to the region and regional studies?

5) *Institutional, technological, and financial resources appropriate to supporting the regional humanities center over the long term*

What kind of administrative and financial framework will be planned for the center? Who will be involved in planning for the center's facilities? What facilities already exist, if any, and how might these be adapted for the center's work? What is the state of computer technology at the institution and what planning will be undertaken to use it, and enhance it if necessary, for the center's purposes? The following kinds of questions about the fund-raising plan should be addressed: What activities (such as feasibility studies, identification of potential donors, etc.) will be undertaken during the planning period to prepare for the campaign? What are the institutional resources for fund raising, and will these resources be supplemented from outside the institution? Who will provide campaign leadership? What is the institution's recent experience with capital fund raising? What new sources of support for the humanities will be explored?

GRANTEE RESPONSIBILITIES

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

The grantee organization is required to

o have a sound financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost sharing contributions and that monitors the expenditure of these funds against the approved budget;

o carry out project activities in accordance with the workplan provided in the approved application—changes in key project personnel, project scope or design, or in the arrangements to contract out project activities must be submitted to NEH in advance for review and approval;

o have in place a written organizational prior approval system for prior review and approval of all grant actions and expenditures that the grantee institution is delegated authority to approve;

o maintain adequate documentation of the time spent by all project personnel on grant activities;

o have an audit performed that meets the requirements of Office of Management and Budget Circular A-133 whenever $300,000 or more in federal funds is expended during a fiscal year;

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

o return to NEH a portion of the income earned on services and products resulting from grant activities when this is required by the terms and conditions of an award; and

o acknowledge NEH support in all materials publicizing or resulting from grant activities.

APPLICATION INSTRUCTIONS

What Help is Available?

Within two weeks of the application deadline, applicants should inform the Office of Challenge Grants--by phone, e-mail, or letter--of their intention to apply for a Regional Centers planning grant. Applicants are welcome to discuss their preliminary ideas for proposals with Challenge Grants staff. Call the Office of Challenge Grants at 202/606-8309 or e-mail challenge@neh.gov.

Elements of a Regional Center Planning Application

    A. NEH Application Cover Sheet (see instructions, page 17)
    B. Table of Contents
    C. Narrative Essay (see discussion below)
    D. Budget (see instructions, page 21)
    E. Appendices

The Application Narrative

The essay should be no longer than 20 double-spaced pages and should include the following:

    A. Overview of the Region to Be Served: In a very brief introductory overview, discuss important characteristics of the region to be served by the center. What are some of the topics and issues that might be of particular significance to the individuals and institutions to be served by the center?

    B. Institutional Resources: Provide a brief description of the institution's resources that will be developed into the regional center. What personnel, collections, facilities, technology would serve the needs of the center?

    C. Past Regional Activities: Provide a brief overview of the institution's past activities and programs in regional education, public programming, research, and preservation.

    D. Regional Resources and Collaboration: Discuss plans to undertake a survey of cultural institutions (other than the applicant institution), collections, programs, and services that exist in the region and that are appropriate to the development of the planned center.

How will plans for collaboration with other organizations and institutions, including state humanities councils, be developed?

E. Project Staff: Briefly describe the qualifications of key staff who will lead the planning process and of consultants who will be brought into the planning process. What kind of advisory board will be created, both for planning purposes and for implementation? (Short—no more than two pages—résumés of key project staff may also be included in an appendix.)

F. Specific Steps in Planning: Describe the specific, step-by-step process that will be undertaken during the grant period to plan for long-term educational, public programming, research, and preservation activities to be undertaken at or coordinated through the regional center.

G. Planning for Fund raising: Outline briefly how the fund-raising plan for the implementation campaign will be developed. Who will be responsible for the plan?

Appendices to the Application

Appropriate materials for appendices might include

— short (2-page) résumés of key personnel
— letters of support, especially from potential collaborators
— sample descriptions or announcements of regional programs
— lists and brief descriptions of curricular offerings in regional topics
— brief overviews of collections and archival holdings of regional importance

INSTRUCTIONS FOR COMPLETING THE NEH APPLICATION COVER SHEET

Block 1. Project Director

Item a. Enter the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it. This person's resume should be included as an appendix (Information about the institution is also requested in Blocks 2 and 11.)

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

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

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

Block 2. Type of Applicant

Item a. Identify *Type* such as: business, religious, museums, 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.), or center (advanced study, research, etc.)

Item b. 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

The type of application is preprinted.

Block 4: Program to which Application is being made

The title of the program is preprinted.

Block 5: Requested Grant Period

The grant period is preprinted.

Block 6: Project Funding

Enter the appropriate figures from the project budget that is part of your application.

Block 7: Field of Project

The code for regional studies is preprinted.

Block 8: Descriptive Title of Project

The title is preprinted as Planning Grant for Regional Humanities Center.

Block 9: Description of Project

Provide a brief description of the proposed project. Indicate which region the proposed center will serve (see list of regions on page 5).

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

If yes, indicate the agencies or entities to which it will be submitted.

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. Certifications

The Endowment is required by government-wide regulations to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Institutional applicants are required to certify that they will comply with the nondiscrimination statutes. These certifications, which appear in Appendix II of these guidelines, should be read before Block 12 of the application cover sheet is signed. Additional information on these certifications is available from the NEH website at http://www.neh.gov, or from the NEH Grants Office, Room 311, Washington, D.C., 20506, 202/606-8494.

REGIONAL HUMANITIES CENTERS
PLANNING APPLICATION COVER SHEET

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

1 Project director

a. Name and mailing address:

_____
(last)   (first)   (initial)

_____

_____

(city)   (state)   (zip code)

b. Form of address: _____

c. Telephone numbers:

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

FAX: _____/_____ Email: _____
(area code)

2 Type of applicant

a. Type

b. Status

3 Type of application
New

4 Program to which application is being made
Regional Humanities Centers planning grant

5 Requested grant period
From: December 1999 To: December 2000

6 Project funding

a. Outright funds $_____
b. Cost-sharing $_____
c Total project costs $_____

7 Field of project   GF
_____
(code)

8 Descriptive title of project
Planning Grant for Regional Humanities Center

9 Description of project (do not exceed space provided)

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

11 Institutional Data

a. Institution or organization:

_____
(name)

_____
(city)   (state)

b. Employer identification number: _____

c. Name of authorizing official:

_____
(last)   (first)   (initial)

_____
(title)

d. Name and mailing address of institutional grant administrator:

_____
(last)   (first)   (initial)

_____

_____
(city)   (state)   (zip code)

Telephone: _____/_____ Form of Address: _____
(area code)

FAX: _____/_____ email:_____
(area code)

12 **Certification.** By signing and submitting this application, 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, and a drug-free workplace as set forth in the appendix to these guidelines.

_____ / _____ / _____
(printed name)   (signature)   (date)

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

For NEH use only: Date Received: Application #:   Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 1d and 5 of the NEH Application Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and is not meant to define the disciplines of the humanities. For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.)

Anthropology	L1
Archaeology	U6
Archival Management/ Conservation	I1
Arts/History and Criticism	MA
Architecture: History & Criticism	U3
Art: History & Criticism	M1
Dance: History & Criticism	M3
Film: History & Criticism	M4
Music: History & Criticism	M5
Theater: History & Criticism	M2
Communications	P2
Composition & Rhetoric	P1
Journalism	P4
Media	P3
Education	H1
Ethnic Studies	K1
Asian American	K5
Black/African-American	K4
Hispanic American	K3
Jewish	K6
Native American	K2
History	A1
African	A2
American	A3
Ancient	AC
British	A4
Classical	A5
European	A6
Far Eastern	A7
Latin American	A8
Near Eastern	A9
Russian	AA
South Asian	AB
Humanities	U8
Interdisciplinary	U1
African Studies	G1
American Studies	G3
Area Studies	GH
Asian Studies	G5
Classics	G7
Folklore/Folklife	R1
History/Philosophy of Science, Technology, or Medicine	GA
International Studies	GG
Labor Studies	G4
Latin American Studies	GJ
Medieval Studies	G8
Regional Studies	GF
Renaissance Studies	G9
Rural Studies	GC
Urban Studies	G2
Western Civilization	GB
Women's Studies	G1

Languages	C1
Ancient	CC
Asian	CA
Classical	C2
Comparative	C9
English	CE
French	C3
German	C4
Italian	C5
Latin American	C6
Near Eastern	CB
Slavic	C7
Spanish	C8
Law/Jurisprudence	Q1
Library Science	H3
Linguistics	J1
Literature	D1
African	DK
American	DE
Ancient	DC
Asian	DA
British	DD
Classical	D2
Comparative	D9
French	D3
German	D4
Italian	D5
Latin American	D6
Literary Criticism	DI
Near Eastern	DB
Slavic	D7
Spanish	D8
Museum Studies/Historic Preservation	I2
Philosophy	B1
Aesthetics	B2
Epistemology	B3
Ethics	B4
History of Philosophy	B5
Logic	B6
Metaphysics	B7
Non-Western Philosophy	B8
Religion	E1
Comparative Religion	E5
History of Religion	E2
Non-Western Religion	E4
Philosophy of Religion	E3
Social Science	U2
American Government	F2
Economics	N1
Geography	U7
International Relations	F3
Political Science	F1
Psychology	U5
Public Administration	F4
Sociology	S1

Before developing a project budget, applicants should review those sections on cost-sharing requirements and the grant period.

Requested Grant Period

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

Project Costs

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

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

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

Fringe Benefits

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

Travel Costs

The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available. Costs for the project director to attend a one-day directors meeting in Washington, D.C. should be included.

Equipment

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of $5,000 or more.

Services

The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be attached to the NEH budget. If there is more than one contractor, each must be budgeted separately on the NEH form and must have an attached itemization.

Indirect Costs (Overhead)

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

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

1. The 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 to the project of $5,000 per year. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs).

2. If your organization wishes to use a rate higher than 10 percent or claim more than $5,000 in indirect costs per year, an estimate of the indirect cost rate and the charges should be provided on the budget form. If the application is approved for funding, you will be instructed to contact the NEH Office of Inspector General 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% @ $40,000/academic yr.	$20,000	$20,000	$40,000
Jane Doe	[ ]	1 summer month x 100% @ $3,000	$ 1,500	1,500	$ 3,000
John Smith/Research Assistant	[ ]	6 months x 50% @ $30,000/yr.	$ 3,700	3,700	$ 7,500
Secretarial Support	[ ]	3 months x 100% @ $20,000/yr.	$ 2,500	$ 2,500	$ 5,000
Fringe Benefits					
16% of $50,500			$ 4,040	$ 4,040	$ 8,080
10% of $ 5,000			$ 250	250	$ 500

	no. of persons	total travel days	subsistence costs +	transport. costs =	NEH Funds	Cost Sharing	Total
Travel							
Regional Museums	[2]	[4]	$800	$600	$ 700	700	$ 1,400
State Humanities Councils	[5]	[10]	$750	$500	$ 625	625	$ 1,250
Directors Meeting	[1]	[2]	$400	$542	$ 471	471	$ 942

			NEH Funds	Cost Sharing	Total
Consultant Fees					
Archivist	5 days @ $100/day		$ 250	250	$ 500
Services					
Long Distance Telephone	est. 40 toll calls @ $3.00		$ 60	60	$ 120
Planning Documents	50 copies @ $4.00/copy		$ 100	100	$ 200
TOTAL DIRECT COSTS			$34,246	$34,246	$68,492
Indirect Costs					
20% of $68,492			$ 6,849	$ 6,849	$13,698
TOTAL PROJECT COSTS (Direct and Indirect)			$41,095	$41,095	$82,190

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 _____ THRU _____ mo/yr mo/yr

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

When the requested 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 _____ THRU_____
                                    mo/yr   mo/yr

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

[ ]   Current indirect cost rate(s) has/have been negotiated with federal agency. (Complete items A and B.)

[ ]   Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)

[ ]   Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)

[ ]   Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of $5,000 per year. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or $5,000, whichever sum is less.)

A. _____   _____
   name of federal agency   date of agreement

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

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

No more than 50% of total.   Must be at least 50% of total.

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

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

I. Requested from NEH:

    Outright $_____

    Federal Matching $_____

    TOTAL NEH FUNDING $_____

2. Cost Sharing:

    Cash Contributions $_____

    In-Kind Contributions $_____

    Project Income $_____

    TOTAL COST SHARING $_____

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

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

2. Indicate the amount of cash 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/Individual Applicant. Provide the information requested below when a revised budget is submitted. The signature of this person indicates approval of the budget submission and the agreement of the organization/individual to cost share project expenses at the level indicated under "Project Funding."

_____   Telephone (_____)_____

Name and Title (please type or print)

_____   Date_____

Signature

APPENDIX I

Sample Matching Schedule for the Implementation Phase

The NEH portion of the implementation challenge grants for regional humanities centers would be offered over five years of funding, but the allowable fund-raising period would extend for over seven years. The schedule for the release of NEH funds will allow the campaign's momentum to build in the early years and will allow time for fulfilling pledges in the campaign's final years. As with regular NEH Challenge Grants, NEH funds are released as fund raising proceeds, according to a formula that permits eligible donations, given or pledged in anticipation of the center's challenge award, from as early as six months prior to the application deadline for the implementation grants. The formula also includes two extra years after the last NEH funds are released to complete the matching requirement.

A sample schedule for the release of NEH implementation funds follows:

Year	2000	2001	2002	2003	2004	2005	2006	Total
Funds Offered by NEH	$1m	$1m	$1m	$1m	$1m	n/a	n/a	$5m
Nonfederal Donations								
Remaining match for previous years	n/a	$1m	$2m	$2m	$2m	$2m	$1m	$10m
This year's match	$1m	$1m	$1m	$1m	$1m	n/a	n/a	$5m
Total to be raised	$1m	$2m	$3m	$3m	$3m	$2m	$1m	$15m

As this example demonstrates, the first year's NEH allocation is released as matched one-to-one. The second year's allocation is released as matched one-to-one but only after one-half of the remaining first-year match is met. Allocations for the third, fourth, and fifth years are each released as matched one-to-one but only after the previous year's remaining match is completed. Two final years allow completion of the three-to-one matching requirement.

APPENDIX II

Certification Instructions

Certifications. In submitting an application to NEH, all applicants are required to certify (by signing Block 12 of the application cover sheet) that they are not presently debarred, suspended, declared ineligible, or voluntarily excluded from participating in federally funded programs; are not currently delinquent in the payment of a federal debt; and, if the project is funded by NEH, will have a drug-free workplace program in place within thirty (30) days of the issuance of an award. Institutional applicants must further certify that they are in compliance with the nondiscrimination statutes and NEH's implementing regulations.

These certifications are material representations of fact upon which the Endowment will rely in making funding decisions. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, the Endowment may seek judicial enforcement of the certification or may suspend or terminate the award.

Applicants who cannot certify regarding compliance with the nondiscrimination statutes, the establishment of a drug-free workplace program, or the prohibition on lobbying are **not** eligible to apply for funding from NEH. Although applicants who are unable to certify regarding federal debt status or debarment and suspension are technically eligible to submit an application to NEH as long as they provide a written explanation of their status, they are advised to discuss their particular situation with program staff before beginning work on their proposal.

Applicants who plan to use awards to fund **subgrants, contracts,** and **subcontracts** should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

(1) certification of compliance with the nondiscrimination statutes from **institutional** applicants and contractors, and

(2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive $100,000 or more in grant funds. Applicants are also required **to include without modification** the following wording in solicitations for all **grant** proposals and for contracts that are expected to equal or exceed $100,000:

(a) 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.

(b) 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.

Additional information on the certification requirements is available on the NEH World Wide Web site, http://www.neh.gov, or from the NEH Grants Office, Room 311, Washington, D.C. 20506 (202/606-8494).

The text of the certifications follows:

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-Free Workplace Requirements (Drug-Free Workplace Act of 1988).

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

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

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

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

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a 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.

5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of $100,000). The undersigned certifies, to the best of his or her knowledge and belief, that:

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

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of

Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

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

APPLICATION CHECKLIST

_____ 1. Ten copies (one original plus nine duplicates) of the application package, each copy including in this order:

     _____ NEH Application Cover Sheet, signed by authorizing official

     _____ Table of Contents

     _____ Narrative Essay

     _____ Budget

     _____ Appendices

_____ 2. Two extra copies of the signed Application Cover Sheet

NEH will not accept applications sent via FAX or electronic mail.

Send applications to:

National Endowment for the Humanities

Office of Challenge Grants: Regional Humanities Centers, Room 420

1100 Pennsylvania Avenue, N.W.

Washington, DC 20506

EQUAL OPPORTUNITY STATEMENT

Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to Equal Employment Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506. TDD: 202/ 606-8282 (this is a special Telephone Device for the Deaf).

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